SANDEEP

Organization Development Training Module

Operational Management

Kathmandu, Nepal
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Acknowledgement

Save the children USA has been working in the sector of organization capacity building and institutionalization of NGOs in Nepal over the last five years through its NGO strengthening project, locally known as SANDEEP (Sansthagat Diego Pariwartan). The project aims to strengthen the capacity of local NGOs to improve their service delivery particularly in conflict affected areas of Nepal.

SANDEEP has been working with 40 NGOs spread over 17 districts of Nepal in an OD approach, by developing the modular series to address the issues revealed through the organization assessment. It has produced training modules on governance and leadership, strategic planning and management, financial management, operational management, resource mobilization and human resource management.

The Operational Management module is designed to manage the operations of program and organization. It has focused on participatory approach to planning, monitoring and evaluation thereby emphasizing participation of key stakeholders in every step of project management cycle. It has introduced social audit as a tool to participatory evaluation. The module has emphasized on coordinated approach during the implementation of programs. Supervision through coaching and supporting and authority delegation for the development of second tier leadership are the other contents of the module. This module serves the purpose of a resource handbook for carrying out training on Operations Management independently by any person or organization. There are a number of people who deserve sincere acknowledgement for their genuine effort in the process of development and finalization of this module.

First of all, I am grateful to USAID for providing necessary financial assistance in terms of finalization of this module and the implementation of entire SANDEEP project. My sincere thanks goes to Professor Subas K.C, the Dean of Kathmandu University School of Management (KUSOM) for conceptualizing and writing the chapters of this module. Similarly, I would like to thank and congratulate the entire SANDEEP Team; Mr. Deepak Koirala (Team Leader), Ms. Manorama Adhikari (Organization Development Specialist), Mr. Dipendra Shahi (M&E Officer), CBPOs and FCBOs Ms. Ratna Tandukar, Mr. Tekraj Pokharel, Ms. Janaki Kiran Shrestha, Mr. Rabindra Thapa and Mr. Rabi Regmi for their valuable inputs in customization and subsequent finalization of the module making it applicable for the NGOs in the context of Nepal. Last but not the least; I would like to thank Ms. Santoshi Bhomjan for her support in formatting this module.

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Module Specification

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About the Modular Series on Organization Development Training

Context and Focus

Save the Children US (SC) works in partnership with International Non-Government Organizations (INGOs), Non-Government Organizations (NGOs), and local government authorities to implement its programs that promote institutional building of local organizations and government through strong leadership. As embodied in its international goals, SC is committed to building the capacity of partners, communities, and adults so as to ultimately achieve sustainable development in each country.

SC's view of capacity building goes beyond the conventional perception of training. The central concern of NGO capacity building perspective of SC is developing leadership and human resources, institutionalizing governance (developing systems and policy procedures), managing changes, enhancing coordination and linkages with donors and stakeholders, creating opportunities for sharing experiences, and empowering the community for policy influence. SC views capacity building as an ongoing and holistic effort that enhances the internal and external capabilities of an organization.

Since October 2003, SC is implementing a five-year project called "*SANDEEP*" for strengthening the NGO sector in the mid- western, far- western and eastern regions of Nepal. The strategic goal of *SANDEEP* is to enhance the capacity of the NGO sector to improve the delivery of health, education and economic support systems, especially for women, children and disadvantaged groups.

To accomplish this, *SANDEEP* aims to achieve results in three key areas:

- Strengthened and sustainable operational and financial capabilities of individual NGOs, networks and Intermediary Support Organizations (ISOs);
- Expanded linkages among and/or between NGOs, government, donors and private sector institutions to deliver effective and sustainable health, education and economic services to conflict affected communities; and
- Enhanced program learning, sharing and collective action among and/or between NGOs, government, donors and private sector institutions, to increase effectiveness and sustainability of service delivery.

As part of this support to partners, *SANDEEP* works with them to assess their organizations, analyze the results and identify strengthening activities, and then prepare capacity building plans. Based on these plans, *SANDEEP* supports organizational strengthening process by using a variety of activities such as trainings, workshops, review/reflection meetings, and exposure visits to build the capacity of partners.

As a key capacity development input, *SANDEEP* plans to bring out a Modular Series on Organization Development Training (MS – ODT) for training organizational members of Partner Organizations (POs) and Intermediary Support Organizations (ISOs) in the project area and for initiating the process of developing them. The MS-ODT covers six core areas of organization development identified through the assessment of and consultations with these organizations using the Institutional Development Framework (IDF). The series thus represents the capacity development needs of the NGOs in the project area as identified by them.

This series presently contains six training modules, each module focusing on one core area of capacity development of NGOs. More modules may be added to the series in the future after the implementation and evaluation of these six modules and as and when other capacity development needs are identified.

The modules combine the capacity building approach of training with the diagnostic process approach of organizational development. This combined approach is expected to provide NGOs with the basic resource for making informed analysis and plans to carry out organization development actions while giving less experienced organizational capacity building facilitators a structure through which they can help NGOs develop.

Goal and Objectives of MS –ODT

Development Goal

Enhance in-house capacity of the Partner Organizations (POs) and the Intermediary Support Organizations (ISOs) for initiating, implementing and sustaining the process of developing their organizational effectiveness by working in a systematic and professional way on the various aspects and issues of organizational functioning.

Specific Objectives

The modules are designed to support the members of the participating organizations to:

- Enhance understanding of the core elements of an organization and the way they influence organizational functioning, assess how they are designed, and initiate actions to improve their effectiveness for developing organizations;
- Manage their organizations strategically by planning, implementing, and controlling organizational directions and core strategies to address the evolving environmental challenges and opportunities more proactively for organizational growth and for better service delivery;
- Mobilize effectively people and non-people resources, both community-based

and external, to plan and implement their services and programs and to develop capacity of their organizations;

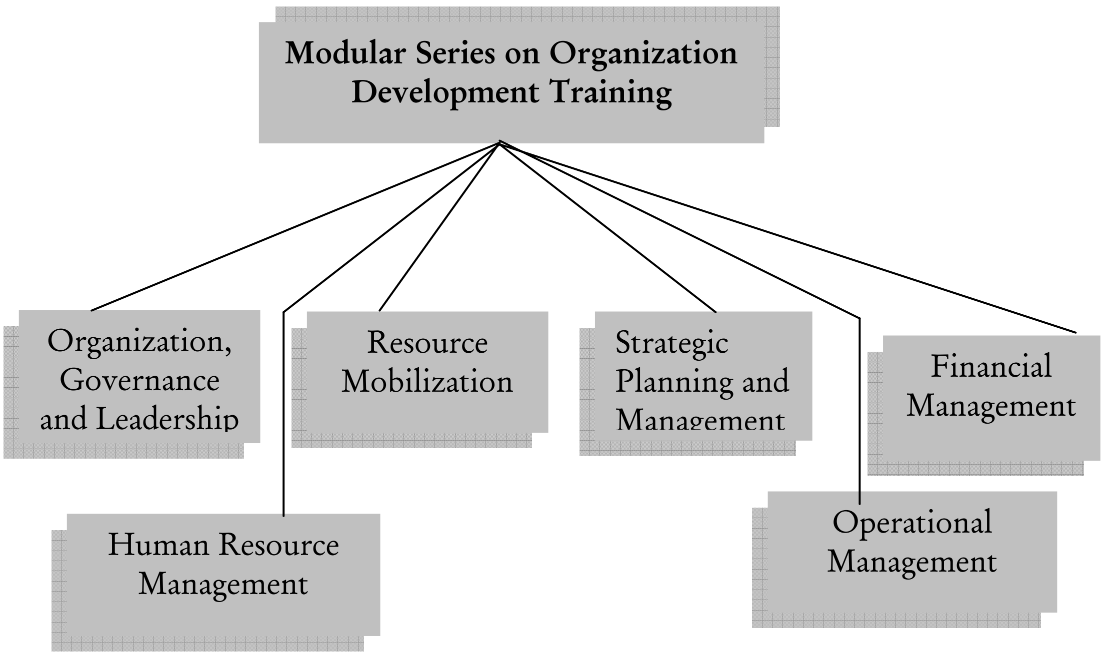
- Design effective systems, processes and methods for managing resources, services, and programs of their organizations and implement them efficiently for improving organizational performance;

- Develop and use human resource systems and capacity of their organizations for ensuring the regular availability and productive utilization of competent and committed workforce for enhanced human resource performance in the organization; and

- Develop and follow sound financial policies, systems, and plans to operate financial transactions and to achieve financial sustainability of their organizations.

Structure and Contents

MS-ODT is designed and developed in six modules, one module addressing each capacity development area as defined in the specific objectives. The six modules are as given below:



Module One: Organization, Governance and Leadership

This is a four-day module for NGOs leaders (board chairperson and members, executive directors) and senior managers. It helps them understand, assess, and develop their organizations from a strategic point of view. It explains the concepts and core elements of an organization and discusses governance and leadership in NGOs from the perspective of improving their existing structures and practices in order to develop organizational effectiveness.

Module Two: Resource Mobilization

This is a four-day module for local NGOs leaders (board chairperson and members, executive directors) and senior managers. It helps them mobilize and utilize resources for program development and management. It focuses on principles, policies and methods of fund raising and mobilization, financial sustainability, and resource utilization within local NGO environment.

Module Three: Strategic Planning and Management

This is a four-day module for local NGOs leaders (board chairperson and members, executive directors) and senior managers. It helps them manage their organizations strategically by establishing superior alignment with the environment and developing organizational capacity. It introduces the concepts and process of strategic planning and describes the techniques of planning, implementing, and evaluating strategies towards pursuing their mission.

Module Four: Financial Management

This is a four-day module for board chairperson, treasurer and members, executive directors and accountants. It helps them manage financial resources prudently and effectively. It introduces the policies, principles and methods of financial planning and control, accounting, and auditing,

Module Five: Human Resource Management

This is a four-day module for local NGO managers including executive directors, functional managers, and senior staffs (supervisors). It helps them develop and utilize the workforce in their organization productively. It covers principles and techniques of workforce planning, staff selection, job allocation, staff development, performance management, and staff relations.

Module Six: Operational Management

YOU ARE HERE

This is a four-day module for local NGO managers including executive directors, functional managers, and senior staffs (supervisors). It helps them manage their respective functions, programs, and projects systematically. It covers management concepts, processes and tools such as planning for performance, implementation of programs and services, and evaluation of results

Design Principles

The organization development training program is designed following the **modular structure** to delineate and sharp-focus specific learning outcomes. The modular structure offers flexibility in use as each module can be used as a stand-alone package to develop a particular competency or multiple modules can be combined to develop a range of competencies.

The training modules in this series follow the **competency-based approach**. Specific elements of competencies required for the performance of the roles and functions the modules cover have been identified. The training design contains such contents and processes that will ensure the learning of those elements (i.e. knowledge, ability, and orientation) to the level that is required for satisfactory performance of the roles and functions. This will help the transfer of learning from the training situation to the real work situation.

The modules are based on the **selective coverage** of the job elements and the competencies for their performance. Rather than focusing on the wide range of tasks involved in performing the identified roles and functions, only a few but critical elements have been selected to build competencies for their effective performance.

About the Modules

The six modules of this series have been prepared to address the training needs of local NGO leaders, managers, staffs, and organizational members who have roles and responsibility for developing their organizations. Each module identifies several specific target groups. These modules should be primarily used for training them. However, they can also be adapted to train other groups of people working for and with NGOs with similar job responsibilities and learning needs.

A training module can never be complete nor can it be rigid. Flexibility and continuous adaptation in the use is an important feature of any training module. Following this basic principle of module design, these six modules in the series are designed to be flexible so that the facilitators can tailor the work schedule to meet the needs of different target groups. It is suggested that the facilitators of these modules make necessary adaptations and innovations to suit specific requirements of a given situation. Users of these modules should not rigidly restrict themselves to the guidelines or contents presented here. They should build on the materials these modules contain and be flexible to the extent required by the contexts in which they use the modules. All modules have been prepared in a user-friendly style both in their contents and presentations.

The development of each module is based on three components: the **knowledge and skills** related to the functions the module addresses, the **assessment** framework and tools the learner can apply in his/ her organization, and the **action** assignment for applying the learning in the organization.

Each module contains an **entry system** setting up requirements for entering into the module, including assessment of participants against the learning objectives of the module. The **main body** of the module includes planned learning activities with detailed facilitation guidelines, materials for implementing learning activities, and background resource materials. The module also contains an **exit system** providing for learning assessment and transfer activities for application in the organization. A user guide for the facilitators accompanies each module.

Overview of the Module

Welcome to the training module **Management Functions and Processes** prepared as a basic resource for training leaders and managers of local NGOs. This module is a part of *SANDEEP*'s MS-ODT.

Why this Module?

Underlying the successful operation and planned development of organizations is the careful design and systematic implementation of management functions and processes. Management is what delivers the results in organizations, enabling them to achieve their mission. Hence it is a critical variable of organizational functioning. Managers in local NGOs in Nepal have a need to improve understanding of the way an organization can be better managed in terms of the design and operations of various management functions and processes.

This module helps local NGO managers develop and operate systematic functions and processes to manage their organizations for better performance. It focuses on the three major aspects of organizational management: planning for performance, implementation of programs and services, and evaluation of results.

Who this Module is for?

This module is for training **local NGO managers** who are responsible for managing the operations, resources and people of the organization for delivering the results. This group includes executive directors, functional managers, and senior staffs (supervisors).

The module is prepared as a training manual. The facilitators who deliver the module will be its primary users. It is important that they already have some basic facilitation skills. It is also helpful if they have some previous knowledge on issues related to management functions and processes.

Goals and Objectives of the Module

Instructional Goal

Enhance ability to design effective systems, processes and methods for managing resources, services, and programs of their organizations and implement them efficiently for improving organizational performance.

Enabling Objectives

After completion of all the activities and study materials of the module, participants will be able to:

- Prepare need-based and result- focused plans for better organizational performance using systematic and participatory approaches and methods;
- Develop and use professional processes and practices for implementing the planned services and programs effectively and efficiently;
- Evaluate the work progress and achievements to learn from and further improve organizational performance; and
- Demonstrate a more systematic and professional approach to managing organizations.

Structure and Contents

The module is organized into three learning units.

Unit One: **Planning for Organizational Performance.** This unit introduces the concept and methodology of planning for organizational performance, with focus on the participatory process of preparing plans in NGOs. It covers organizational performance planning as a core management function and tool.

Unit Two: **Implementation of Services and Programs.** The focus here is on management functions and processes critical for effective implementation of the planned services and programs, covering coordination, supervision, communication, decision-making, delegation, and monitoring.

Unit Three: **Evaluation of Results.** This unit includes the function and process that helps managers assess work progress and achievements of the planned services and programs to document and learn from the experience and to correct the deviations for achieving the planned results.

Timing **Fours days (30 contact hours)**

Entry Documents

Entry Guidelines

A. Have the participants who are taking this module read through its detailed learning objectives given in the next section.

B. If, after reading them, they feel that they can fully satisfactorily perform all or most of the activities described without studying them in the module, they may not require taking this module. So you may allow them to skip it. But, before doing so, it may be useful to have them take the entry test of the module to make sure that they really don't need the module. If the score is less than 50 percent, the participant requires the module.

C. If, after reading them, they feel that they cannot perform all or most of the activities described without studying them in the module, they require taking this module. Have them take the entry test of the module. If the score is 50 percent or less, the participant requires the module.

Learning Objectives

After completion of all the activities and study materials of the module, participants will be able to:

- Describe what is planning and what are the types of plan in organizations and explain why planning is important for achieving and improving organizational performance;
- Organize the process for participatory planning in their organizations;
- Identify the basic components of a simple organizational performance plan, describe steps of preparing it, and prepare an organizational performance plan in an NGO following a participatory process and methodology;
- Describe the concept, importance and principles of coordination in implementing programs;
- Identify program implementation aspects requiring coordination and develop and use appropriate structures and mechanisms for coordination;
- Describe the concept, importance and styles of supervision as well as the roles and skills of supervisors in program implementation;
- Develop an effective supervisory system and use various methods of supervision for program implementation;
- Explain the concept and importance of delegation of authority and

responsibility for program implementation;

- Use systematic steps for effective delegation in their organizations;
- Describe the concept and importance of participatory decision making for program implementation;
- Use appropriate and systematic process and structures for effective decision making while identifying major factors to consider for making appropriate decisions;
- Explain the concept, importance and barriers of communication in management and use important communication skills;
- Develop an effective communication system for program implementation;
- Describe the concept and importance of monitoring in program implementation and identify various indicators useful for program monitoring;
- Prepare program monitoring plan and use various monitoring tools and methods;
- Describe the concepts, importance, scope and types of evaluation and explain the concept and types of indicators as an evaluation tool;
- Analyze the present evaluation practices in their own organization, and adopt appropriate structures, mechanism and tools for effective evaluation; and
- Describe what social audit is and its importance and discuss the process and indicators of social audit.

Entry Assessment

The items for the entry test for participants follow in the next pages. The test is compulsory for all participants wanting to take the module.

A. Make copies in necessary number of the test questionnaire beforehand.

B. Administer the test before offering the module under standard conditions. The standard conditions are:

Time:	20 minutes
Modality:	Closed book written test
Type:	Trainer administered

C. Explain the test procedures, including how to answer the questions.

D. Work out test scores of participants immediately after the test. The key to scoring the test items is given in the User Guide.

E. Share the score with participants.

F. Encourage them to set goals for higher learning achievements as they study the module.

Entry Test

Answer all 10 questions. The maximum time available is 20 minutes.

Q.1 Read the following statements. Answer by putting a tick mark in the column True if you agree with the statement and in column False if you disagree.

S.N.	Statements	True	False
1.	People work together better when they are agreed about the objectives of the work.		
2.	In an organization, if long term strategic plan is prepared well, then there is no need of preparing the operational plan.		
3.	One of the best ways to motivate the staff members is to involve them in all components of planning cycle.		
4.	In program planning, it is not necessary to involve the beneficiaries while setting goals, objectives and allocating resources		
5.	Planning bridges the gap between where it is at present and where it is going to be in the future, and how		

<u>Please circle the most accurate answer in the questions below.</u>

Q.2. For the purpose of program management, coordination can be defined as:

a. the relationship between two or more persons

b. the functional and professional relationship between two departments

c. the collaboration among those who are concerned with achieving a common goal

d. the mutual connection of like minded organizations

Q.3. The most important skill required for good communication is:

a. commanding presentation

b. active listening and responding assertively

c. listening while others are talking

d. collecting new information and sharing with others

Q.4. For me supervision is:

a. getting direction from top level executives

b. finding fault and giving suggestions to the lower level staff

c. collecting information about program activities and reporting

d. joint reviewing, identifying problems, solving them and planning together with subordinate

Q.5. In an effective delegation:

a. the manager hands over only responsibilities to a co-worker in planned way

b. the manager abdicates one's responsibilities and authorities to the co-workers

c. the manager hands over authority and responsibility by possessing ultimate accountability

d. the manager will be less accountable to the delegated piece of work

6. In an NGO monitoring is done by:

a. each and every staff and board member who is responsible to the organizational work.

b. the board members

c. senior management team members

d. subject wise experts from outside

Q.7. In an organization the decision making is:

a. the responsibility of senior management team

b. to generate various alternatives and choose the one that best suits its objectives, resources, time and preferences.

c. taken as only a means of problem solving

d. avoided by junior team because it is taken as risky job

Q.8. Which you think is not one of the features of social audit:

a. critically examine how effectively and efficiently the organization has been providing the service and product to the community people

b. social audit only examine the financial matter to share with stakeholders

c. it examines the support of social causes for education, health, environment, arts, culture and other social needs

d. it also assesses the social impact or social good resulting from the social activities of the organization

Q.9. Read the following statements. Answer by putting a tick mark in the column True if you agree with the statement and in column False if you disagree.

S.N.	Statements	True	False
1.	Evaluation is done to ensure that organization is following strategic planning to achieve the objectives.		
2.	Managers are reluctant to evaluate because it points out only weaknesses of policy, procedures and process.		
3.	Evaluation helps to examine cost benefit of the program.		
4.	Evaluation supports to advocate, lobby and influence policy makers with evidences		
5.	Our organization plans evaluation because our funding agency asks for it.		

Q.10. Match the following:

Number		Number	
1.	Monitoring always	a.	Looks backwards
2.	Delegation	b.	Tomorrow's implementation
3.	Supervision	c.	Goes downward
4.	Evaluation always	d.	Looks forward
5.	Today's planning	e.	Develops individual capacity

Unit ONE

Planning for Organizational Performance

Introduction

This unit introduces the concept and methodology of planning for organizational performance, with focus on the participatory process of planning in NGOs. It covers organizational performance planning as a core management function and tool.

Learning Objectives

After completion of all the activities and study materials of the unit, participants will be able to:

- Describe what is planning and what are the types of plan in organizations and explain why planning is important for achieving and improving organizational performance;
- Organize the process for participatory planning in their organizations; and
- Identify the basic components of a simple organizational performance plan, describe steps of preparing it, and prepare an organizational performance plan in an NGO following a participatory process and methodology.

Structure and Timing

Activity One: Organizational planning and performance (One and half hours)

Activity Two: Organizing participatory planning process (Three hours)

Activity Three: Preparing an organizational performance plan (Five and half hours)

Total Time: Ten hours

........Activity One

ORGANIZATIONAL PLANNING AND PERFORMANCE

Time: One and half hour

Why do this Activity?

This activity helps to understand what is planning and why is it important in the organisation. It highlights what components are required for organisational planning and different types of plan.

Learning Objective

- Describe what is planning and what are the types of plan in organizations and explain why planning is important for achieving and improving organizational performance.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 40 minutes

Case discussion Divide participants into mixed groups of 3-4 persons each. Give them Assignment Sheet 1.1. Ask them to discuss the case *Didi Bahini ko Aawaj* in the groups based on the questions given at the end of the case and to record their findings on chart papers. Ask each group to write statements defining the term planning and to list the main components required for preparing an organisational plan based on the information they generate in group work.

Plenary Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Using the definitions generated, the groups will share the meaning of planning and its components for organisational plan. The facilitator will show visuals and explain the concept, components and types of a planning.

Step 2: 25 minutes

Presentation

Share the model **Planning as a Tool for Making Changes** (Fig.1 as given in handout) and explain the linkages among situation analysis, planning and expected changes.

Ask to participants about types of plan and explain the various types of plan as given in handout showing visuals. Relate them to the plan participants prepare in their organizations.

Step 3: 25 minutes

Pair Discussion

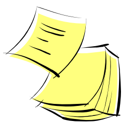
Ask participants to sit with less familiar friends and discuss on "Why planning is important in organisation?" Give clue that it is equally important in personal life, family life and professional life. But here we will be focusing in organizational plan. After ten minutes the facilitator will list down the points on Newsprint and share some importance from handout.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered in activity one...

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheets for each participant.



Handouts

- Handout 1.1: Planning for Organizational Performance
- Assignment 1.1: Case- "Didi Bahini KO Aawaj"

Handout 1.1

Planning for Organizational Performance

All organizations and their leader managers have some kind of vision of a future they want to realize. For example, the vision of Bikas, an NGO, is "creation of a prosperous and inclusive society". In order for this vision to become a reality, the functions, programs, services, and resources of Bikas must be planned well. Like Bikas, all organizations need planning for achieving their vision and fundamental purpose.

What is Planning?

Planning is a universal human function. Most individuals and groups make some sort of plans to conduct various aspects of their lives. Farmers, for example, decide in advance what they will sow in the next farming season and how they will harvest the crop. Even a housewife has some kind of rough estimates as to how she will run the household affairs in the coming months. In this sense, planning is deciding in advance what is to be done and how, when, where and with what resources it is to be done. Planning, in very simple terms, involves making implementation decisions before implementation. When a group of volunteers determine five activities they want to carry out for raising health awareness of families in a community in the next six months, they have prepared a plan for themselves.

In an organizational setting, planning is more comprehensive and systematic. As stated in Module One, planning is a critical function of managing organizations. It helps manage an organization by creating a framework for achieving the organization's objectives effectively. The framework involves two decisions: the goal or objective itself and the way of achieving it. As a managerial function, organizational planning encompasses defining the organization's objectives or goals, determining the means (strategies, actions and resources) for achieving them, and developing a specific and sequential outline of steps that integrate all of them in some logical way.

Planning involves

- **Assessing present situation and anticipating future conditions**
- **Defining objectives to achieve**
- **Determining means or ways of achieving objectives**
- **Determining resources for achieving objectives**
- **Integrating them all in a rational framework**

The example of Bikas illustrates this concept of planning. In order to realize its vision of prosperous and inclusive society, Bikas has set the building and strengthening sustainable institutional and community level initiatives for economic development through partnership at all levels as its basic goal. One of its strategies to achieve this goal is to promote organizational development and better management practices among groups or organization working for community level economic development. For implementing this strategy, Bikas has identified a series of management training and management support systems as the core activities. Similarly, it has identified the financial, logistic and human resources that would be necessary for implementing them. It has a three year outline of actions for implementing them by integrating objectives, activities and resources in a logical frame model. These activities show that Bikas is engaged in the planning process. The final outcome of the process is its three year plan.

Though planning in organizations basically involves deciding the goals to achieve and determining the means for doing it, the actual process of planning requires making a number of decisions or addressing several issues. For example, in order to decide what the organization wants to achieve and how it wants to do so, it should assess the present situation in its external environment and within the organization. It should anticipate or project the likely situations both internally and externally. It should also make some assumptions about the conditions that will prevail as it implements its plan. Importantly, the organization should develop and evaluate alternatives for making planning decisions (e.g. which objective or action to choose) and establish best integration between them (e.g. objective and activity or activity and resources).

Organizational planning is thus a rational process of deciding or addressing the following issues:

- Where is the organization now? - Situational analysis
- Where does the organization want to be in future? – Objectives determination
- How it is going to get there? – Strategy and actions development
- How will it resource the implementation of the actions? – Resource determination
- How will all the above elements be coordinated? – Implementation framework development

When all these issues are addressed, an organization will have a clear directional framework. Planning bridges the gap between where it is at present and where it is going to be in the future, and how. Planning links the organization with its future. Hence, it is a critical management tool for realizing the vision of the organization. This is illustrated in Fig. 1.

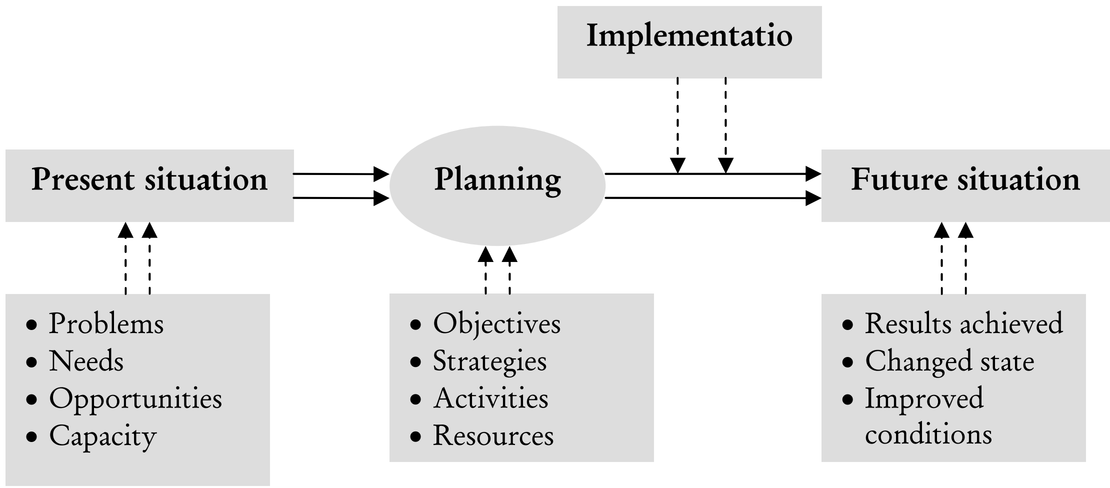


Fig. 1 Planning as a Tool for Making Changes

Planning is, however, not sufficient for performance or results. It needs to be implemented properly. It should be continuously monitored to put it on course, and periodically evaluated for assessing whether and to what extent the planned objectives have been achieved. In this sense, planning is a part of the total organizational management function. But it is the primary management function that leads to and paves the way for the other functions. A proper integration of all these functions is necessary for effective management of the organization.

Types of Planning

Planning may be informal or formal. All managers engage in planning, but it might be only an informal plan they make. In informal planning, a detailed exercise is not done to assess the situation and to determine the objectives and means of achieving them. The plan is not often written down, and the objectives and means are also not shared with others in the organization. It is simply a mental picture of what the concerned manager wants to achieve. This describes the planning process in many small organizations.

In formal planning, detailed exercise is carried out to analyze the situation. Specific objectives are formulated for a fixed period of time. Specific action programs exist for the achievement of these objectives. They are committed to writing and shared with other organizational members. For effective use of the planning function, it is necessary for organizations, including NGOs, to have a formal planning system in place.

Types of Planning

- **Formal and informal**
- **Strategic and operational**
- **Participatory and top-down**

From the perspective of time frame and the issues covered, planning may be categorized as strategic or operational. Strategic planning covers the overall organization and a longer time frame - three to five years. It basically establishes overall objectives and directions of the organization and positions the organization in terms of its environment. It addresses the issues of substantial importance for achieving an organization's vision. Strategic planning is particularly important when the context of environment within which the organization is operating is changing and the organizational vision is ambitious requiring carefully crafted strategies to achieve them. Operational planning specifies details on how overall objectives are to be achieved. It covers a short period of time – up to one year period – and identifies the targets, details activities to be carried out, and specifies the resources and responsibilities for their implementation.

Operational and strategic planning are, however, not mutually exclusive. They differ in terms of the level of details and the time frame with operational planning describing targets and actions in greater details for a shorter period of time. A better approach would be to combine them by first preparing a strategic plan and then breaking the plan down to operational plans.

Another way of looking at planning is to identify where it originates and who are involved. If a plan is prepared at the top in the organization without the involvement of others who are involved in its implementation, it is called top- down planning. On the other hand, if stakeholders, including those who are involved in plan implementation, participate in the process of planning, it is called participatory (bottom-up) planning. Obviously, participatory planning is superior to top-down planning as it reflects the true needs and problems, generates ownership, and utilizes collective judgment and capacity.

What type of planning works best for an organization? The nature of planning that is effective varies across situations. Generally speaking, a formal participatory planning at both strategic and operational levels is what NGOs need in order to achieve their vision and purpose.

Importance of Planning

Why planning is needed in the first place? Planning gives direction to all organizational members and establishes coordinated efforts. When all organizational members know where the organization is going and what they must contribute to reach the objective, they can better coordinate their activities, cooperate with each other, and work in teams. A lack of planning can foster unfocused and uncoordinated efforts, and it prevents an organization from moving efficiently towards its objectives.

Why Planning?

- **Provided direction and coordination**
- **Facilitates control**
- **Reduce uncertainty**
- **Promotes efficiency**

Planning establishes objectives or standards that facilitate control. If we are unsure of what we are trying to achieve, how can we know whether we have achieved it? In planning, we establish the objectives. In the controlling function, we compare actual performance against the objectives, identify any deviations, and take the necessary corrective actions. Without planning, there can be no control.

Planning reduces uncertainty. While planning, managers need to look ahead, anticipate change, consider the impact of change, and develop appropriate responses. Through these actions, the uncertainty associated with future can be greatly reduced.

Finally, planning promotes efficiency by making rational choices of activities and resources in relation to the objectives. It also reduces overlapping and wasteful activities as they are uncovered at the time of planning before implementation.

Planning and Organizational Performance

Probably the most fundamental issue regarding planning would be whether planning can be associated with better performance. Improvement in performance should be the fundamental justification of planning in organizations. Do organizations and managers who plan outperform those who don't? Available evidence suggests a positive answer, but this should not be taken as the universal rule. While planning has been found to have substantial positive effect on performance, we can't say that organizations that formally plan always outperform those that don't.

Reviews of the studies on the relationship between planning and performance in the profit sector present the following conclusions. First, generally speaking, formal planning is associated with improved performance measures such as higher profits and higher return on assets. Second, the quality of the planning process and the appropriate implementation of the plans contribute more to achieving high performance than does the extent of planning. Lastly, if planning does not lead to high performance, it is typically the environment which is more responsible for it.

Similar studies in the non-profits are not available. But the findings of the profit sector might as well be true for non-profits. This means that for enhanced performance of non-profits, planning is important.

Despite the value of planning, many NGOs in Nepal do not engage in systematic planning process. This may account for a general trend of low performance of non-profits. It is not so much the extent of planning in NGOs but the quality of the planning process and the appropriate implementation of the plans that are important for improving their performance.

Assignment Sheet 1.1

Case: Didi Bahini ko Aawaj

A group of women of Putali Bazar Municiality of Syanja District realized different issues of local women from observation and their own experiences. They identified various issues of women like over work, poor education, domestic violence, legal problem, poor health and no participation in decision making process. They started discussing among themselves and gradually drew the attention of other women near by VDCs. They decided to work together to improve the women's status in the community. Most of the women had good intention and ready to work in this field but they did not have idea how to do, what to do, what is required to work in social sector. The initiator Ramila Pradhan consulted some layers and Human Rights specialists and asked how to proceed. The layers and human rights specialist advised her to form an organization (NGO) and get registration from District Administration Office.

Ramila was active to get things done. In consultation with other colleagues she coined the name of their organization "Didi Bahini Ko Aawaj". It took couple of weeks to get registration. They could not start any piece of work in the community because they were not clear on what is the objective of the organization, what is required for running the organization, how to serve to the women community. Some of the members who were very excited and encouraged during the inception time started paying low attention towards the newly formed organization. The frequency of gathering and discussion was going low. Ramila was worried on how to go ahead. She got suggestion from one of her relatives to have a planning meeting among the members. So she organized a three day planning workshop of the executive and general members. The workshop was facilitated by a planning expert.

Now that planning expert is in your group and there is one Ramila in each group and others are executive and general members. Suppose you are in the planning workshop, imagine that you are actively participating in the workshop, listening and contributing to get something significant and to take your organization forward. Remember the workshop environment and discuss on the following questions:

1. How do you describe the word planning or how have you understood planning in you language? Have you ever involved in any planning?

2. Where and when do we need to plan?

3. What components need to be included in planning of the organization?

4. How much detail should the planning be? Please select one component and work out detail for an example and experience.

……..Activity Two

PARTICIPATORY PLANNING PROCESS

Time: Three Hours

Why do this Activity?

This activity helps to enrich the planning vocabulary. It supports to understand different style of planning and focuses on participatory planning. It also highlights the importance of participatory planning in the organization and explores the present practice of planning process, system and mechanism to have participatory planning in the organization.

Learning Objective

- Organize the process for participatory planning in the organizations.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 30 minutes

Group Discussion

Ask participants to be in small groups of three each. Distribute metacards with written planning vocabularies and let one member from each group pick one card. Allow time to discuss in group.

Each person will explain the meaning of a particular vocabulary. Distribute Handout 1.2 (a) to support the discussion.

Step 2: 20 minutes

Presentation

The facilitator makes presentation of Planning Cycle from the Handout 1.2(b) and describes each component with example.

Step 3: 20 minutes

Discussion The facilitator will ask to participants "What is Participatory Planning?" and list down the responses on newsprint or board. Briefly discuss about different process of planning like top down, bottom up and consultative planning. Share the meaning of participatory planning from the Handout 1.2(b).

Step 4: 50 minutes

Group exercise Divide participants into four groups. Give Assignment Sheet 1.2 (a) to each group as suggested. Ask them to discuss the questions given in the Assignment Sheet based on your experience with planning and participatory planning in your organizations.

Plenary Assemble the groups. Have each group share their group work outcomes. Facilitate discussions to draw examples. Share the importance, constraints and considerable factors of participatory planning process as given in Handout using visuals.

Step 5: 60 minutes

Group exercise Divide participants into their organizational groups. Distribute Assignment Sheet 1.2(b) to each group. Ask them to prepare participatory planning schedule as per their organization's requirement and practice.

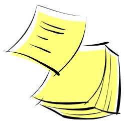
Plenary Assemble the groups. Have each group share their group work outcomes. Facilitate discussions to draw examples. Share the sample schedule from Handout.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 1.2(a): Planning Vocabulary
- Handout 1.2(b): Organizing Participatory Planning process
- Assignment Sheet 1.2(a): Group Discussion – Participatory Planning
- Assignment Sheet 1.2(b): Group Work – Organizing Participatory Planning Process

Handout 1.2(a)

Planning vocabulary

No matter whether the planning covers the entire organization or its components (a unit, program or function) and what type of planning one is engaged in, the questions one should address in the planning process are the same. However, the terms used to define the responses to these questions vary widely from one organization to another. What one person calls a goal, the next person may call an objective; and what one person calls an objective, the next person may call an activity. Whatever language one uses, the terms should be clearly defined and must respond to the questions listed below. They must be used consistently throughout the planning process.

Questions	**Response in the Planning Process**
What the organization requires to do or not to do?	The organizational mandate: A requirement placed on an organization by its enabling authority that provides legitimacy, authorization or sponsorship for its existence and operation, usually codified in the charter, constitution or policy statement.
Where are we going?	The vision statement: A broad statement of the idealized or desired future for the organization and the segment of the environment it intends to serve – a future as seen today.
What are we here for?	The mission statement: A general statement of why the organization does exist - its fundamental purpose of existence, including its basic nature, values, product/service, and targeted group.
What are we trying to achieve?	The goal: A statement of the proposed benefit for the organization's constituency or the intended change and improvement for its target group as a result of the actions it carries out.
How will we achieve it?	The strategy: A statement of how the organization's goals will be met, that is, which types of intervention methods will help the organization will help fulfill its mission and achieve its goals most effectively and feasibly.
What will each strategy achieve?	The objective: A statement of quantifiable outcome or benefit that is the expected result of implementing a strategy.
What activities does each strategy call for?	The activities: A list of interventions or actions which are necessary to accomplish each objective and a work plan that details the activities and the division of responsibilities for these activities.
What resources will we need?	The resource plan: A statement of the resources required to implement the activities with sources specified.

Handout 1.2(b)

Organizing Participatory Planning Process

As stated in Handout 1.1, the appropriate modality of planning for NGOs, and indeed for most other organizations, is the participatory planning. Hence, it is important for the leader managers of NGOs to be familiar with and develop skills in the process of participatory planning. The effectiveness of the planning process largely depends on how participatory is the process and how the process itself is organized.

What is Participatory Planning Process?

Let us first take a look at the planning process. The planning process can best be visualized as a sequence of activities leading to the formulation of plans including the provisions for their monitoring and evaluation to ensure their effective implementation. The sequence is often known as the planning cycle. Fig. 1 shows the planning cycle.

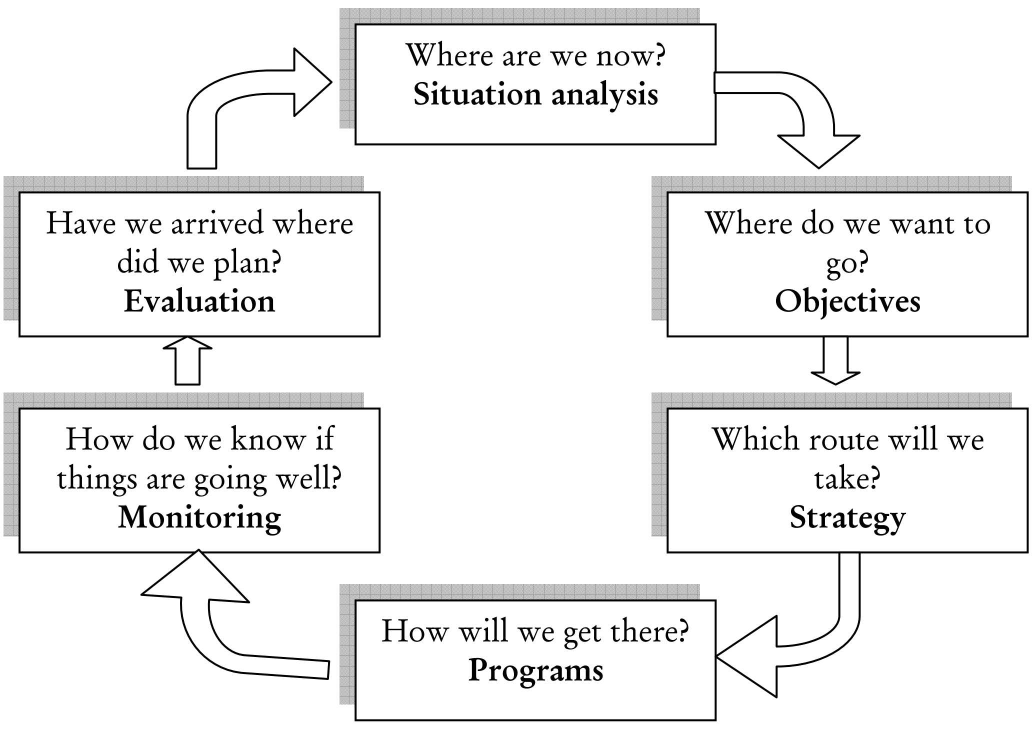


Fig. 1 Planning Cycle

Strictly speaking, the monitoring and evaluation activities are not the part of the planning process; they come later at the time of implementation and afterwards. But the provisions for monitoring and evaluation of the plans should be carefully designed at the time of planning to ensure the effective implementation of the plans. Hence, they are included in the planning cycle.

The planning process becomes participatory when all the concerned persons and groups who implement and/ or benefit from the plans are actively involved in making important decisions at all the steps of the planning cycle. In many organizations, the practice is to prepare plans only by the senior leader managers such as members of the governing boards and senior executives. At the most, they form a planning committee the membership of which again represents only the senior management team. Engaging the outside consultants either as members of the planning team or even independently for the purpose of preparing plans is also not uncommon. In all these cases, the problem is that the beneficiaries and the ground-level staff members who are involved in implementing the plans do not have their say and contributions in making planning decisions.

Participatory Planning

Involvement of beneficiaries and implementers in deciding

- **Which problems and needs to address?**
- **Which objectives to pursue?**
- **Which strategies to adopt?**
- **Which actions and methods to employ?**
- **How to monitor and evaluate the achievements?**

The participatory planning process involves beneficiaries, other stakeholders and all organizational members who are to implement the plans, in deciding the outcomes of the various phases of the planning process. For example, they jointly assess the current situations in terms of the problems, issues, needs, opportunities and capacities of the organization and the communities it serves. They decide the objectives to be achieved and the strategies to be adopted while designing the activities to be implemented. Monitoring and evaluation indicators and measures are also jointly decided.

Why Participatory Planning?

- **Generates commitment and ownership**
- **Develops better understanding of the plan**
- **Enrich the quality of plan through wider inputs**
- **Reflects and responds to the real needs**

There are a number of reasons why participatory planning is more preferable to the non-participatory approach to planning. Participation generates commitment and ownership of all the concerned people and agencies, thereby ensuring better implementation of the plan than otherwise. Commitment is generated because participation allows people to understand the rationale, purpose, process and outcomes of the plan and to contribute to their formulation. Evidence suggests that participation also enriches the quality of the plan because of the use of collective analysis and judgment of all the concerned people rather than that of only a few managers or technocrats. Participatory planning allows for understanding the real needs and problems of the beneficiaries. Hence it reflects and responds to the reality.

How to Organize Participatory Planning Process?

In order to derive maximum benefit from the use of participatory planning, the process through which it is prepared should be properly and carefully organized. While the actual process may vary from one organization to another, a typical process of participatory planning in NGOs would involve several actions.

Planning Policy, Commitment and Structures

This is the responsibility of the top management (Board and Chief Executive Officer). They must agree on the need for planning and demonstrate enough commitment to be abided by the planning discipline. There is no point in planning if the intention is not to bring organizational and managerial actions within the framework of the plans in use. If there is an agreement on the usefulness of planning, the top management should decide the types and scope of the planning the organization would prepare to guide its actions in future. Here, there are a number of choices, and the top management must be clear as to what kinds of planning exercises would be most appropriate for the organization. The top management must agree and show commitment for using the participatory approach to planning.

Once agreed on the need, type and scope of planning, the next thing to do is the allocation of time and resources for undertaking the planning exercise. Depending on the type and scope of planning as well as the size of the organization and its planning preparedness, the time and resource requirements may widely vary. For preparing the comprehensive strategic planning for a fairly large sized organization may easily take a couple of months. A small organization planning for a year can do the job within a week. With high planning preparedness such as the availability of information and other planning structures like the planning unit, procedures and formats, the actual time and resource requirements can be cut down. If such planning structures are not already in place, it may be a good idea for the top management team to create them for initiating the planning process as an initial step towards organizing participatory planning.

It would be appropriate to formalize this decision at the meeting of the Board. An agenda to this effect could be presented in the meeting and the Board should decide the broad modality of the planning process before the start of the planning exercise. At this meeting the issue of the formation of the planning team should also be decided.

Planning Team

Many organizations already have some kind of planning functionaries (e.g. planning unit or committee) in place as a part of their management structures. In any case, most managers have planning responsibility and hence they are engaged in regular planning process. These planning mechanisms would be involved in most planning exercises. However, if a major planning exercise (e.g. strategic planning, long-term planning or even an organization-wide operational planning) is to be carried out in a participatory way, it would be necessary to set up a planning team representing concerned groups of people and agencies. The main responsibilities of the team would be to lead the process of planning in a participatory way using professional and organizational expertise and producing the required plans.

Organizing Participatory Planning

- **Develop planning policy, commitment and structure**
- **Set up a planning team**
- **Prepare planning methodology and schedule**

The planning team should consist of one or two board members, chief executive officer, other functional executives, and in-charge of planning unit or committee as well as some representatives of close partner organizations, beneficiaries and other main stakeholders. If required, external consultants with planning expertise and experience may also be inducted in the team to facilitate the technical and behavioral process of planning and producing the final documents. But the emphasis should be on developing and using in-house planning capability in the long run.

The board should prepare and formally assign a Terms of Reference (ToR) to the planning team including the broad guidelines, procedures and time frame for the entire exercise with stress on the need for making the process as much participatory as possible. If necessary, the team should receive and organize orientation on the planning process and participatory techniques. This would be the responsibility of the external consultant or the experienced members of the team.

Planning Methodology and Schedule

One of the first tasks of the planning team would be to meet and agree on the participatory planning methodology to be followed for preparing plans for the organization. Participatory planning requires the involvement of a large number of concerned people and agencies at the various steps of information collection, analysis and decision process. For this, various participatory techniques would be necessary. For example, participatory field works and documents reviews are necessary for data collection and compilation. Similarly, participatory review and decision making meetings and workshops are necessary for problem, need and capacity analysis, objectives and strategies formulation, and programs and activities development. These activities should be scheduled with appropriate timing and procedures.

A sample participatory planning schedule is given in Table 1, which should be adapted to suit the conditions and requirements of each organization.

Table 1: Sample Participatory Planning Schedule

Steps in planning	Participants	Time	Activity
Review of the existing plans and their progress (if applicable)	Top management, concerned staff members, beneficiaries, partners	Jan 2	Review meeting
Review of the organizational vision, mission and strategies	Top management, concerned staff members, beneficiaries, partners	Jan 2	Review meeting
External situational analysis	Top management, concerned staff members, beneficiaries, partners	Jan 7 – 14	Survey Workshop
Internal situational analysis	Top management, concerned staff members, beneficiaries, partners	Jan 14 – 17	Workshop
Sharing of situational analysis findings	Top management, concerned staff members, beneficiaries, partners	Jan 20	Meeting Workshop
Prioritization of problems, needs and issues	Top management, concerned staff members, beneficiaries, partners	Jan 20	Meeting Workshop
Establishment of long-term goals, strategies, objectives and programs	Top management, concerned staff members, beneficiaries, partners	Jan 22 – 23	Planning Workshop
Estimation of resource requirements and availability	Top management, concerned staff members, beneficiaries, partners	Jan 22 – 23	Planning Workshop
Preparation of program/ functional targets, activities and monitoring and evaluation procedures	Top management, concerned staff members, beneficiaries, partners	Jan 26 – 28	Planning Workshop
Preparation of detailed work plans	Top management, concerned staff members	Jan 30 – 31	Meetings
Preparation of operating budgets	Top management, concerned staff members	Feb. 3 -5	Meetings
Presentation and finalization of plans	Top management, concerned staff members	Feb. 8 – 10	Document ation Meetings
Who is responsible for what? Staff and volunteers	Top management, concerned staff members and volunteers	Feb 12 – 13	Discussion

Assignment Sheet 1.2(a)

Group Discussion: Participatory Planning

In your group discuss the questions given based on your experience with planning and participatory planning in your organizations. Get ready for discussion in the plenary.

Questions for Groups **ONE** and **THREE**:

1. How is the planning process in your organization? Who are involved? (Just discuss in group)
2. What are the benefits of participatory planning process? (List on Paper)
3. What needs to be considered to make the planning process participatory? (List on paper)

Questions for Group **TWO** and **FOUR**:

1. How is the planning process in your organization? Who are involved? (Just discuss in group)
2. What are the constraints for having participatory planning in the organization? (List on Paper)
3. What needs to be considered to make the planning process participatory? (List on paper)

Assignment Sheet 1.2(b)

Group Work: Organizing Participatory Planning

In the assigned group prepare a schedule fore organizing participatory planning exercise using the given format. Get ready for presentation and discussion in the plenary.

Steps in planning	Participants (Who needs to be involved?)	Time (When?)	Activity (what actually will be done?)

……..Activity Three

Preparing an Organizational performance plan

Time: Five and half hours

Why do this Activity?

This activity highlights the steps of preparing organizational performance plan. This also covers the basic components of a simple organizational plan. It involves participants in preparing an organizational plan.

Learning Objective

- Identify the basic components of a simple organizational performance plan, describe steps of preparing it, and prepare an organizational performance plan in an NGO following a participatory process and methodology.

How to do the Activity?

Note

Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 60 minutes

Presentation

Briefly discuss the components of an organizational performance plan and the steps of preparing it using the materials in handout and showing visuals. Give examples of each component and step. Encourage participants to share their experience with planning in their organizations.

Step 2: 270 minutes

Group exercise

Give participants Handout 1.3 and ask them to study the steps, examples and formats given there.

Divide the participants into small groups and distribute the Assignment Sheet 1.3. Ask them to prepare an organizational plan for *Didi Bahini ko Awaj* organization following the steps and components discussed earlier and using the examples and formats given.

Plenary

Guide each group through the planning process to ensure that they apply the steps and components as best as they can.

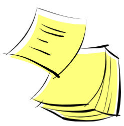
Assemble the groups. Have each group share their plans.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 1.4: Preparing Organizational Performance Plan
- Assignment 3.1: Case for Preparing Plan - *Didi Bahini Ko Aawaj*

Handout 1.3

Preparing Organizational Performance Plan

As stated earlier, the main thrust of planning in organizations is creating a framework for achieving high performance. Plans determine the level of performance and propose the means of attaining it. Usually organizational performance is planned at two levels: strategic and operational. Strategic plans set long-term performance goals and means for achieving them. Operational plans determines performance goals and means for achieving them for a short term period within the overall performance goals as laid down in the strategic plan. Both levels of plans can be described as performance plans as they set performance goals and present frameworks for implementing actions and mobilizing resources for achieving them.

Operational plans are usually derived from and are designed for supporting the strategic plan of the organization. They are prepared to implement the strategies and actions identified in the strategic plan so as to achieve the strategic goals of the organizations. Hence its preparation is closely associated with the strategic planning process or is based on the assumption that the strategic plan has already been prepared. In practice, it is difficult to separate the processes of preparing strategic plan and operational plan. Hence this note approaches the process of planning without rigidly separating them. Rather the process of preparing performance plan is described that captures the major steps of planning performance at different levels and for different time frames.

If an organization already has a strategic plan in place, that should be the basis for developing a more specific performance plan at the operational level. If this is the case, many planning steps outlined here can be skipped. For example, if strategic goals and strategies to reach them are already clearly spelled out based on external environment analysis and organizational capacity assessment, then it is not necessary to carry out these exercises again at the time of preparing operational plans. In the remainder of this note, a general yet comprehensive process of planning organizational performance is presented.

1. Review of Existing Performance Plan and Strategic Framework

In an ongoing organization, some kinds of plans – strategic or operational – will already be in place. Review of the existing plan is the starting point for planning performance for the next period. This is important because review reveals the progress – or lack of it - in the achievement of the planned targets for the period covered by the plan. It also helps to identify the constraints, both internal and external, preventing their accomplishment as well as the factors that have supported for the plan implementation. The preparation of plan for the next period must be informed by these implementation lessons of the past plans.

It is also necessary to review the existing strategic framework of the organization.

Many NGOs have some kind of strategic framework in place, expressed in terms of organizational vision, mandate, mission, goals and strategies. Some may even have a formal strategic plan under implementation. Review of these strategic elements of the organization provides a direction for preparing its performance plan.

The scope of review may vary depending on the purpose and the resources available, including the extent of participation and the availability of progress information. However, a general process of review should usually consist of the following activities:

- Compile the progress and result monitoring reports of the on-going or the previous plan. If monitoring reports are not available, information about the progress and achievements of the plan under implementation or completed should be collected from the available sources such as records in the organization and key informants from the communities where the projects and activities have been implemented.
- Prepare a review report of the implementation status and results of the plan based on the monitoring reports and/ or the information collected. The report should contain:
    - Planned outputs (objectives and targets – aggregate and/or component/ programme/ project- wise) and their degree of achievement.
    - Implementation and management activities and processes (what, when, where and how)
    - Input factors (resources) and their availability, utilisation, adequacy, timing
    - Problems, constraints and concerns faced (both external and internal)
    - Changes required and lessons learned (in terms of needs, output targets, implementation processes, and resource management)
- Compile the mandate, vision, mission, goals, and strategies of the organization, formally stated or implicitly understood, by referring to the charter, constitution or policy statements, the existing strategic plan, and other official documents as well as discussing with the top management team and organizational founders.
- Organize a review workshop/ meeting with participation of the board members, management team, staff members, and representatives of other stakeholders, including beneficiary groups.
- Present and discuss the report reviewing the progress and achievements of the existing plans. Discuss the following issues:
    - What are the achievements during the plan period? What factors account for their achievement?

  - What could not be achieved? Why? What are the problems, constraints and difficulties preventing us to achieve the planned targets?
  - What planning, implementation and organizational strengths and weaknesses do we have that are critical for successful plan implementation?
  - What lessons we have to learn and improvements do we have to make in the next planning period?
  - What challenges do we face in the next period and how can we face them?
- Agree on the planning approach, procedures and considerations for preparing the plan for the next period.
- Present existing mandate, vision, mission and values of the organization in the review workshop or meeting. Discuss the following issues:
  - Who are we as an organization (our identity)? Should we remain what we are? What should we be as an organization?
  - What are the basic social or community needs or problems we exist to address? Are these needs still valid, unmet or critical? Are there other more important needs or issues we should address?
  - What business are we in? Should we still be in it? What should our business be?
  - How should we respond to our key stakeholders and their needs and concerns?
  - What will happen if we cease to exist?
  - What should be our core values?
  - What makes us distinctive or unique as an organization in this sector or area?
- Examine the existing mandate, vision, mission, and values in the light of the outcomes of the above discussion. Further discuss the following issues:
  - Are the existing mandate, vision, mission, and values fully relevant, feasible, and valid?
  - What changes in them are needed? What new grounds should we cover? What grounds should we give up? What are the possibilities for changes?
- Redefine or reformulate the existing vision, mission, and values as needed. If there are no explicit vision, mission and value statements, formulate

them based on the discussions on the above questions.

Review helps the organization identify its implementation capability and constraints. They need to be taken into account for planning performance for the next period. For example, if the achievement of the planned targets in the previous planning period is low, the organization should be cautious about setting ambitious targets in the next plan. The next plan should find ways of overcoming the observed weaknesses in plan implementation. At this stage, the basic strategic framework of the organization is also clarified, reformulated, and understood, which helps in aligning performance plan with the strategic directions of the organization.

2. Analysis of External and Internal Situation

A clear understanding of the situation which the plan intends to influence and improve is the most critical initial step of the planning process. This requires some kind of situation analysis. If the organization already has a strategic plan in place, it may not be necessary to carry out a detailed situation analysis as the strategic plan is usually prepared after carrying out such analysis. But even in such a case a quick review of the current situation will be a useful exercise as the chance is that the situation may have changed since the formulation of the strategic plan.

The purpose of situation analysis is to establish what is the existing situation that the plan should or could address and where the organization is now in relation to its position to address it. For example, an NGO working for child rights in a district should have information about the state of children in the district for planning its performance. Similarly, it should also assess its own organizational and management capacity to address the issues of child rights in the district. Without these kinds of information, the NGO cannot plan its performance. Situation analysis is carried out to generate such information.

Situation analysis involves gathering and analyzing information about the external and internal situations relevant to the areas/ aspects of organizational performance. This helps to identify and prioritize the issues or needs to be addressed through the plan. If performance plan is to be prepared for the entire organization, situation analysis should cover the entire organization and its areas of functioning. If the purpose is to formulate performance plan for a particular program/ project (e.g. education for school dropouts) or a functional unit (e.g. advocacy unit) of the organization, situation analysis should be limited to the relevant area of functioning of the project or unit.

The planning team should take the responsibility for situation analysis for planning performance for the entire organization. The concerned manager and his/her team should carry out such analysis for planning performance of a project or a functional unit. A general process of situation analysis involves the following steps.

- Identification of the aspects of external situation relevant to organizational or project/ unit performance. The relevant aspects of external environment vary from one to another organization depending on the nature of the organization and its mission (or the nature and purpose of the project or unit, if the plan is to be prepared at that level). For example, the relevant aspects for an NGO working in the field of health may be the demographic information of the district, health related social and cultural believes and practices of the populations, health or disease profile of the communities, economic profile of the communities, existing health providers, and available health services etc. A multi-purpose and multi-function NGO would require diverse information.

- Collection and compilation of information on the identified aspects of external situation. Much of the required information may already exist in the organization if there is a practice of regular planning. If such practice does not exist or if the information system for planning is poor, the planning team should carry out an extensive exercise to collect information, including a quick survey of the community (e.g. household survey or participatory rural appraisals), study of documents available at the local government and other organizations e.g. demographics, health or literacy data, production or income levels), and stakeholders meetings and workshops. This process should be made as participatory as possible with the involvement of major stakeholders, including beneficiaries and staff members of the organization.

- Prepare a review report of the implementation status and results of the plan based on the monitoring reports and/ or the information collected. The report should contain:

  - Planned outputs (objectives and targets – aggregate and/or component/ programme/ project- wise) and their degree of achievement.

  - Implementation and management activities and processes (what, when, where and how)

  - Input factors (resources) and their availability, utilisation, adequacy, timing

  - Problems, constraints and concerns faced (both external and internal)

3. **Prioritization of Problems, Needs and Issues**

The selection of the problem among different issues gives clear direction on what the programme is going to address. The need assessment and identification of the problems is the most critical part of the organizational plan. If it is an on-going program then there will be little choice of prioritizing the problems, needs and issues unless it has been suggested by the review or evaluation of the program. A "need assessment" generally focuses on the conditions in the lives of the target population or area that the organisation wants to change. Problem statement which described focusing on the "needs" usually describes those of particular group of people in a particular place. For examples, (a) Education: Seventy percent of schools going age children, of the dalit family of two VDCs (Sarkuwa and Kunuwar) in Dhanusha district, are not enrolled in Primary schools. (b) Child Labour: Twenty-two girls and sixty-four boys of under 16 years of age are working as hotel workers in Damauli Municipality of Tanahu district.

A problem statement looks at a particular situation, relates it to similar situation that exist in other communities (other VDCs, districts and countries) and shows the broader implication of the program. If an organisation tries to address such issue then the program will be potentially beneficial to people beyond the boundaries of specific community. There are so many issues which are related with children (girls and boys). For examples, child sexual abuse; this prevails in every community, every religion, all economic classes, and every country. Likewise there are other issues, girl trafficking, drug abuse, child labor, etc. If the organization decides to address such type of broader issue then this needs more understanding and detail planning. Suppose an organization is going to work in the issues of "Child Rights". The organization needs to define what does "Child Rights" means to the organization, to the board members, to the staff, to the beneficiaries who are going to get the benefit from the project and community people and donors etc. Under "Child Rights" there are so many issues like birth registration, Primary Education, Early Childhood Development, Street Children, Child sexual abuse, Child labor, Children with Disability etc. Now the organization has to give priority what the organization is going to do. On the basis of problems and causes analysis the planner can prioritize the problems to be addressed. An example of problem and cause analysis is given below. What problems will be addressed?

The Manager and the planning team need to select, decide and priorities the problem to be addressed between two areas, whether to go for need based problem or go for wider issues. Following are some criteria that may be helpful to priorities the problems.

1. Organizational goal: While prioritizing the problems or issues it should be clearly related with the goals and vision of the organisation.

2. Information: Without having enough required information it will be difficult to choose the problem area. A well organized situation analysis will facilitate to have required information. It should be supported by the evidences drawn from the experience, with the help of authentic data gathered from different documentation or on the basis of given information by the knowledgeable person who is aware of the situation. If the organization starts any programme in the absence of the information then it has to spend more time and resources to collect the information later on.

3. Realistic: It should be reasonable dimension a concern that the organisation can realistically do something to bring the changes of people's life.

4. Select the options: Break down the problems in small components under one main issue as we mentioned earlier about the 'Child Rights'.

5. Specify the issues: Suppose rescue the child labour from small restaurants

and provide them education.

6. Place: What would be the coverage of the programme? Will it cover only small area of VDC, Small town or big city area?

7. Target population: Who will be the target population? For example, women, all children, only girls, street children, child domestic workers, children of dalit community etc.

8. Time factor: What would be the duration of the program? Some how, this will decide on the basis of funding source by the Donors.

9. Capacity: Does the organisation have experiences of working in that area? It is obvious that if the organisation has some sort of experience, expertise then it is likely to be successful. Selecting new sector may be costly.

10. Scope: What particularly will the program are doing? Suppose if it decides to work for and with the child labour in the restaurant then what will be limitation. Limitation in age, say 8-18 years, Limitation in gender, limitation in the programme only primary education or beyond that etc.

11. Resources available: Of course the resources are the main factor for selecting and prioritizing the problem area.

12. Others involvement: Are there other organisations working in this field? In one hand this helps not to duplicate the program in same area and helps to share experiences, expertise and resources on the other.

Answering these questions leads the planning team to a point of decision. Moving in a direction of meeting the needs of a greater number of children in the community, leads to a service programme. Moving in the direction of problem solving approach leads to influencing in policy and resource allocation.

Ordinarily the planner should avoid saying that the problem is the lack of the method. For example: The problem in the community that it has no center for child club in the community. It shows that the need of this community is to have a child club center. This leads to different direction.

- The need is for a child club center.
- The objective is to establish or create a child club center.
- The method could be to plan for building a child club center.
- The evaluation questions is their now a child club center.

Such kind of priority can not bring any changes and the organization can not measure the impact. This type of problem priority would be quite confusing because it does not tell how many children are there in that particular area, what is their issue, what issue will be addressed by establishing that child club center.

While setting the priority sometime the manager has to set the priority among the priorities e.g. what would be the priorities for an organization under the issues of child rights. While setting the priority the manger can use the participatory method with others. In this process the stakeholders can also be involved and analyze the situation. The main thrust of this point is to specify the area of work on the basis of situational analysis.

4. Establishment of Long-term Goals, Objectives, Strategies and Programs

After prioritizing the issues or problems to be addressed then the manager or planning team has to set the long term goal to be achieved. If the organization chooses to work in children's issues it may set the long term goal as "by the end of 2015 Tribhuvan Municipality of Dang district will be free of child labor,"

Once further information about the problems and its causes have been gathered and specific area of work identified, aims an objectives should be set to help and guide the work. A plan of action can then be drawn up, bringing together activities designed to achieve the objectives. Organizations sometimes summarize goals and objectives into a mission statement and / or a vision statement:

> A Definition of Vision in a dictionary: 'An Image of the future we seek to create'. It may describe how they see events unfolding over 10 or 20 years if everything goes exactly as hoped.
>
> A definition of Mission in a dictionary: purpose, reason for being

Many people mistake vision statement for mission statement. They are fundamentally different. Mission statement defines the purpose or broader goal for being in existence or in the service, program or product delivery. It serves as a guide in times of uncertainty, vagueness. It is like guiding light. It has no time frame. The mission can remain the same for decades if crafted correctly. For example, "Reduce number of child labor by strengthening the capacity of poor family through self employment, income generating activities and developing mechanism of community care." is a mission statement. To make the mission statement effective it needs to be aligned with the prevailing culture in that organization.

Criteria for mission statement

- Clarity and lack of ambiguity
- Describing a bright future (hope)
- Easy to remember and engaging expression
- Realistic aspirations, achievable
- Related with organizational values and culture, Rational
- Time bound if it talks of achieving any goal or objective

In order to become really effective, an organizational vision statement must become assimilated into the organization's culture. Managers have the responsibility of communicating the vision and mission regularly with staff, own self and other stakeholders.

Aims

Aims are the broad long term goals set for the work. They may be set as a result of discussion with different people involved, especially those who will need to actively supportive of the programme if it is to succeed. The long term goals or aims of the program should be based on:

- Long term goal should be based on:
- Situational analysis and identification of the problems
- The organization's broader goals and vision.
- Capacity of the organisation in terms of people and non-people resources.
- The goal and objective of government, communities and other organisation involved
- The organization's policies, principles and values
- What the agency can realistically hope to achieve in addressing the problems

Objectives

The following terms have been used in the literature: desired end states, plans, policies, goals, objectives, strategies, tactics and actions. Definitions vary, overlap and fail to achieve clarity.

Objectives are development of the set aims and they are problem- related outcomes of program. Program objectives: are the "outcomes" of all the activities, not to be confused with the activities themselves. The difference between objectives and activities is as means and ends. All the activities are means (methods) whereas objectives are ends (outcomes). They are the bridge between vision, values and aims and what the program will actually be doing day to day.

A good objective should be telling what the point is your action how it fits in with everything else you and others are doing. It expresses concretely, but not in detail tasks, what the organization is aiming to accomplish. Objectives are one stage more specific than the aims. They express the point of activities, not the activities themselves. We can stress how important this stage is:

a. For helping each individual worker to know precisely what their own work target is and why and how it fits into the whole;

b. for giving the information on how to be more rigorous about where the time and resources is spent.

c. For providing to the public, agreed and clear basis for monitoring, for individual appraisal, and for program evaluation. Objectives are more specific. To the useful programme planning and development objective should be SMART;

S = Specific

M = Measurable

A = Achievable

R = Realistic

T = Time Bound

Where organizations have a particular focus, this should also be reflected in the objectives. For example, organization working for the benefit of children should have child focused objectives. When objectives are clear, it is possible to clarify the ultimate purpose of all the activities of a program. It is then possible to see whether the program is achieving anything or being effective. In practice the process of clarifying objectives can be difficult because there are often different levels of objectives from the specific to the more general.

Objectives need to be flexible if they are to be relevant. Sometimes during the course of program it becomes clear that the original objectives are no longer relevant. Lesson learned from program experience can show what the new objective should be? One objective of a review or evaluation is often to establish new objectives for an existing programme.

If following words are used in the statement then we are likely be talking about objectives:

To increase...; To decrease...; To reduce...; To promote...; To ensure....; To develop........; To eliminate....;etc.

(To increase enrollment in schools, to decrease infant mortality rate, to reduce maternal mortality rate, to ensure labor laws are implemented, to eliminate street children from the town etc.)

Program objectives that are measurable become those criteria by which we can judge the effectiveness of the program. To be really useful program objectives should:

- Tell who is going to be doing what?
- When and for how long?
- For how much?
- How we will measure it?

Strategic planning

Strategic planning consists of the process of developing strategies to reach a defined objective. As we label a piece of planning "strategic" we expect it to operate on the grand scale and to take in "the big picture "Strategic" planning tries to "create" more desirable future results by:

(a) Influencing the outside world to develop and implement policy, laws, procedures, capacity or

(b) Adapting current programs and actions so as to have more favorable outcomes in the external environment.

Strategic planning takes place primarily in organizational activities. Within an organization, strategic planning may provide overall strategic direction to the management in such areas as:

- Financial strategies
- Human resource/organizational development strategies
- Information technology and knowledge management
- Development projects
- Marketing strategy
- Fund raising strategy
- Resource mobilization

Why Strategic Planning?

The strategic planning is to:

- Have the capability to obtain the desired objective
- Fit well both with the external environment and with an organization's resources, it should appear feasible and appropriate
- Have the capability of providing an organization with a sustainable competitive advantage - ideally through uniqueness and sustainability
- Prove dynamic, flexible, and able to adapt to changing situations

Why strategic plans fail?

In general, strategic plans can fail due to:

- Failure to define end states (objectives) correctly
- Incomplete strengths, weaknesses, opportunity and threats (SWOT)

analysis with respect to the desired end state(s)

- Lack of creativity in identifying possible strategies
- Over-estimation of resources and abilities
- Under-estimation of time, personnel, or financial requirements
- Failure to coordinate
- Failure to follow the plan

5. Estimation of Resource Requirements and Availability

The resource part is vital for implementing the program so the Planning team has to analyze and identity the availability and possibility of funding sources. Finding resources is challenging job for the management. The prepared budget with the program plan is an estimate of what the costs will be. The funding source will provide you with a degree of latitude in actually spending your money, as long as you do not exceed total amount of your budget.

Funding source require varying degrees of detail in the budget portion. There are two ways of budgeting. (1) In one hand the managers and planning team plan the programs, objectives, activities then seek resource to implement and complete those programs. (2) In other hand, the mangers and planning team identify and analyze the availability of resources then prepare a program plan. Usually in Nepal NGOs prepare program and plan in advance then forward proposals to the donors for funding. If the proposal is rejected by one donor then the management moves to another donor for funding support. Some of the organization put same proposal to different donors at a time and wait for funding. This practice has created dependencies. Only depending in the external funding sometime creates risks for programming. There are evidences that due to unavailability of resources developed program are remained as proposal without being implemented. In the second option the planning team and management look for different alternatives externally and internally like, levy from staff remuneration, renting out properties, selling the expertise of staff to other organization, local fund raising scheme, collecting resources in cash, kinds and volunteer services, conducting some income generating programme, get funds from government structure, taking local donation etc. Therefore, second one is less risky than the first one. There are varieties of ways of preparing budget but here one example is given. In the following table general components are given and as per policies, market price we can put and calculate the budget. This needs to be further broken down as per the requirement. We have to estimate the program budget as per its nature. As per the requirement other components can be added.

Budget Sheet

S.N.	Components	Rs.	Total in Rs.
1.	Personnel		
	A. Staff Salaries (annual) i. Project Manager ii. ii. Finance and Admin officer iii. 4 supervisors iv. Office secretary v. Driver vi. Support staff vii. Consultants Trainer Rs 30,000/month 20% time in a year. B. Benefit to staff i. Staff Insurance 5% of basic salary ii. Children education allowance Rs 400/ month per child. iii. Provident fund 10%		
2.	Non-personnel		
	A. Rent for office building B. Utilities Electricity Water Phone Postage Sanitary item C. Office equipments Two computers One printer One fax machine One photocopy Repair and maintenance D. Transport One car Two Motor bikes Insurance Fuel Repair and maintenance Three Bicycles E. Furniture and fixtures Two executive tables Ten ordinary Chairs Four office tables Two Computer chairs One Cupboard Two Computer tables Two Filing cabinet One cash box		

	Three Carpet Eight Curtains F. Office supplies Files Other accessories G. Travel: Local travel Airfare for field visit (different sectors) Land transport for supervisory function Daily Allowance		
3.	Programme Budget (If the organization is going to run five days OD training then detail budget need to be calculated e.g. i. Food and accommodation for trainees and facilitators ii. Travel to and from training venue iii. Rent for Training hall iv. Telephone v. Email/Internet vi. Trainer's remuneration (if any outsider) vii. Stationeries for training (files, pens, newsprint, OHP sheet, Markers etc) viii. Photocopy of the reading materials ix. First aid or medical expenses x. Certificate printing xi. Report preparation cost xii. Miscellaneous		
	Total		

We should not feel that the estimated and received funds need to be spent. As with the programme and budgetary item the amount should be as specific as possible while budgeting for a programme. Along with this, most of the organizations add 15% extra as overhead cost for the organization. This is based on the negotiation with donor organization.

The team can do an exercise on preparing a budget sheet. They could be,

- Running an outreach health clinic (bi-monthly)
- Organising five days training on HRD
- Organising a field visit to India to observe others Organizational Development Programme.
- Awareness programme in village on HIV/AIDS

6. Preparation of Program/ Functional Targets, Activities and Monitoring and Evaluation Procedures

When needs and problems have been described, and aims and objectives are stated, the next step of the planning team is to choose and clearly spell out the methods or activities. The chosen methods and activities must ensure that the stated objectives are fulfilled. Different terms are used like, “activities”, “procedures”, “methods”, “methodologies” and “steps” may be used but here the planning team needs to describe the steps to be taken to achieve the desired objectives or results for the target population. Activities are the tasks to be performed which leads to achieve the objectives. Some people are confused with the term objectives and activities but they are different. Activities are the methods or means whereas objective is the ends for itself. If we begin the statement with word like these, we are sure to be talking about methods not objectives. To provide….; To establish….; To create…….; To form….; To build…; To conduct…;To organize etc. To be really useful program activities should:

- Tell what actions are going to be performed.
- When and for how long the action will be done?
- What methods will be used and whether they are in sequence?
- How the resources will be managed and used?

For an example, let’s see aim, objectives and activities of health service development of save the children in sequence.

Aim: To improve health conditions, particularly of women and children in Dang district by promoting Primary Health Care.

Objectives: To ensure the long term accessible of basic Primary Health Care services for 1200 families especially women and under five children through out the project area.

Activities For objective 1: To ensure the long term accessibility of basic Primary Health Care services for 1200 families through out the project area.

- Ensure 80% of pregnant women are regularly checked by trained FCHW or TBA during pregnancy and delivery.
- Refer 90% high risk pregnancy and complicated cases of mother and newborns to district hospital.
- Provide full dose of immunisation to 200 under one age children.
- Provide awareness training to 1000 family especially women and children on personal and environmental hygiene.
- Provide antenatal care for 150 pregnant women and post natal care for 50 women.
- Conduct monthly outreach clinic in sub-health posts.

Monitoring and Evaluation

Once the programme activities are set the Planning Team has to think how the program activities are going to be monitored and evaluated. It is necessary because the management team, staff and stakeholders should ensure that they are doing the right tasks in right track, the programme is moving in same direction as planned before and resources are utilized properly to achieve the stated objectives. In most of the organizations the planner and management team give less priority to think and put the components and process of monitoring and evaluation in the planning document. The problem with such informal approach to planning a programme activity is that after sometime, those involved are no longer sure exactly what they are trying to achieve. The purpose of individual activities may be clear, but not the overall objectives and aim. Large amount of money might be being spent with no clear evidences and it is being spent in the best way possible. Could it be spent more effectively elsewhere, or by undertaking different activities?

At the same time the environment in which projects and programme operate is constantly changing –economically, socially, politically and physically. These changes may be gradual or sudden. So to check the deviation and make instant correction in program implementation the planners should set the qualitative and quantitative indicators, means of verification and process and methods monitoring and evaluation during the panning phase.

Monitoring: Monitoring is the systematic and continuous collecting and analyzing of information about the progress of a piece of work over time. It is a tool for identifying strengths and weaknesses in a piece of work and for providing the people responsible for the work with sufficient information to make the right decisions at the right time to improve its quality. Every unit, section and individual is involved in monitoring their work and performance regularly.

Evaluation: Evaluation is an assessment at one point in time that concentrates specifically on whether the objectives of the piece of work have been achieved and what impact has it brought in the society. Evaluation is done at one point e.g. if a program is conducted for five years then the organization could do mid-term evaluation half way through the program implementation or it could be done after the completion of the programme in five years. Evaluation focuses on the impact assessment. This could be done by external or internal team or mix of both.

There are wide range of tools and methods of monitoring and evaluation like (Focus group discussion, semi structure dialogue, questionnaire, observation, interview, interactive discussion and looking the document). The management team, staff and implementers can choose and use different methods and tools. While setting the indicators, methods and means of verification there should be involvement of planning team, senior management team, board members, and the representative of stakeholders. In this module we will be discussing the monitoring, review, evaluation and public audit in Unit Three. Here, some examples are given.

Objective 1: To ensure the long term accessibility of basic Primary Health Care services for 1200 families through out the project area.

Indicators, methods and means of verification

S.N.	Activities	Indicators	Methods	Means of verification
1.	Ensure 80% of pregnant women are regularly checked by trained FCHW or TBA during pregnancy and delivery	1.1 80% pregnant women consulted and checked by trained FCHW or TBA. 1.2. 80% Pregnant women attended by trained TBAs or FCHW during delivery.	Observation; reading record of FCHW and TBAs, Interview with Pregnant women	Antenatal record form, Diary of FCHW, interview record.
2.	Refer 90% high risk pregnancy and complicated cases of mother and newborns to district hospital.	2.1 High risk cases identified. 2.2. 90% complicated cases referred to hospital	Medical checkup, observation, Interview with the patient	Health post register, Lab test slip and X –ray, Antenatal card, Referral slip, Hospital records
3.	Provide full dose of immunization to 200 under one age children.	3.1 200 children immunized.	Observation in the HP or immunization camp, study of Immunization record	Immunization register, Immunization card of children, vaccine Supply register in store
4.	Provide awareness training to 1000 family especially women and children on personal and environmental hygiene.	4.1No of awareness training run, 4.2 No. of participants attended the training	Discussion with the trainees, Observation of training, study of training report	Training attendance register, Sessions of training. Observation report.
5.	Provide antenatal care for 150 pregnant women and post natal care for 50 women.	5.1 150 pregnant women consulted TBAs and FCHW 5.2 50 women got post natal service.	Observation, interview with women, study of record and register	Check up register, Antenatal cards, interview record.

6.	Conduct monthly outreach clinic in sub-health posts.	6.1 No. of out reach clinics conducted in all sub health posts 6.2 No. of children and women attended the clinics and checked up.	Observation, interview with children and women, study of the record.	Outreach clinic register, Patients cards, observation record.

Note: The facilitator and the participants design indicators (qualitative and quantitative), methods and means of verification.

7. Preparation of Work Plans

After preparing the aims, objectives, activities, strategies, budget, setting monitoring indicators the planning team has to prepare detail work plan with activities, time and responsible person. This will guide to every one concerned to do her/his own performance. It will be helpful if the yearly plan is prepared in the team because unit or section team can prepare their section's action plan. This will facilitate every individual to develop his/her action plan. Different people use different model of action plan. The overall plan of the organization helps to coordinate the efforts of each section, department and individual. Here, we have given one sample to fulfill two objectives. This needs further break down in three monthly, monthly, weekly and even daily plan.

Sample Work Plan of Save the Children Aug. 2006 – 2007 Dec.

S.N.	Objectives	Activities	Time	Responsible person
1.	Objective 1: To ensure the long term accessibility of basic Primary Health Care services through out the project area.	Ensure at least one trained female nurse in each health post and sub-health post is available. Find out how many female nurses are placed in and how many required. Inform to DHO and request for female staff in writing. Placement of Female staff at least in two Health posts. Placement of ANM in five sub-health posts	By December 2007. 30th November 06. 7th December 06. 1st April 2007 September 2007	Program manager Health coordinator Program Manager Health coordinator and DHO Health coordinator & DHO

		Promote the use of trained female community health workers and traditional birth attendance during child birth. Make policy decision to have two CHW and three TBAs in each VDC. Agree to train FCHW and TBAs with DHO. Conduct quick survey to identify TBAs and potential CHW. Make selection of the Trainees. Send the trainees to the training center for one month training. Organise 15 days TBAs training in Local health post. Placement of FCHW in each HP and S-HP.	15th November 2006 1st December 2006 10th December 2006 15th December 2006 2nd January 2007 20th December 2006 to 4th January 2007 15th March 2007	Programme Manager Programme Manager Programme Manager Health coordinator Health coordinator District Health Officer Health coordinator Health coordinator and HP In charge.

Note: Program Manager and Health Coordinator have to prepare three monthly, monthly and weekly plans on the basis of this yearly plan.

Sample Detail Work Plan of Program Manager (PM) regarding Training and Placement of FCHW and TBAs in Health Posts and Sub-health Posts.

Objectives: Promote the use of trained female community health workers and traditional birth attendance during child birth.

Key Tasks	Start Date	Dead line	Staff responsible	Nov. 2006				Dece. 2006			
				1st week	2nd week	3rd week	4th week	1st week	2nd week	3rd week	4th week
Work out the reasons for having FCHW and TBAs	5/11/06	9/11/06	PM	----							
Present	10/11/0	10/11/	PM		----						

the reasons for having FCHW and TBAs to board members	6	06									
Agree on the policy to have FCHW and TBAs	15/11/06	15/11/06	PM and Board		---						
Meet with DHO about the placement of TBA and FCHW in HPs	20/11/06	20/11/06	PM			---					
Write letter to DHO about policy decision and make request for cooperation	25/11/06	25/11/06	PM				-----				
Make Follow up of the letter	26/11/06	28/11/06	PM								
Get Approval		29/11/06	PM +DHO				-				
Agree to train FCHW		01/12/06	PM +DHO					--			

and TBA with DHO											
Set criteria for selecting FCHW and TBAs	2/12/06	4/12/06	PM+ HC					---			
Conduct quick survey to identify potential candidate for the FCHW and TBA training	4/12/06	10/12/06	Health Coord. (HC)						------		
Preparation of TBA training	11/12/06	19/12/06	HC and HP in charge						--		
Selection of Trainees for FCHW and TBAs	11/12/06	15/12/06	PM+ HC						----		
Organise TBAs' training in Health Post	20/12/06	04/01/07	HP In charge								---
Completion of TBAs training		04/01/07	HP in charge								
Send 10 trainees in training center	1/01/07	1/01/07	HC								--

Completion of one month training of FCHW	4/01/07	03/02/07	Training officer of DHO									
Placement of FCHW in all HP and Sub-Health Post	1/03/07	15/03/07	Health coord									

8. Preparation of Operating Budgets

In point 5 of this document we have discussed the estimation and availability of the resources and general out line of the budget sheet. Now to implement the work plan a detail budget is required. There are two ways of preparing the budget. (a) First each and every unit prepares action plan and detail budget and forward it to Management team during planning. (b) Once total budget is approved then each unit requests for budget for each programme designed by the unit. The first one is more reliable because this process helps to justify the program and budget. Let's make a sample of detail operating budget:

Sample of Operating Budget of TBA training

Objective of the training: Develop skills, knowledge and attitude of the participants so that they will be able to provide basic health services to the pregnant women and children in project area.

No of Participants: 16
Training duration 15 days

TBA Training in a Health Post of Dang

S. N.	Components	Unit cost		Total cost	Remarks
1.	Remuneration to the out side trainer	Rs.200/ session, 10 sessions	200x10 =	Rs. 2000.00	Some session will be led by DHO trainer
2.	Travel expenses for participants to and from training	Rs 50.00/ day /participant	50x16x15 =	Rs. 12,000.00	This is non-residential training

	venue	for 16 participants			
3.	Tea and snacks	Rs 40/day /participant and trainers	20x40x15 =	Rs. 12,000.00	Add four facilitators including support staff
4.	Copy, Pen and clear file to the participant	Rs 40/participant and trainer	40x18 =	Rs. 720.00	
5.	Stationeries Makers, newsprint, masking tape Stapler with pin Ruler	12 pieces 200 pcs 2 Rolls 2pcs 2pcs	Rs.40x12 Rs.3x200 Rs.60x2 Rs.60x2 Rs10x2	Rs 480.00 Rs. 600.00 Rs. 120.00 Rs, 120.00 Rs. 20.00	
6.	Soap Towel	12 Pcs 2Pcs	Rs.25x12 Rs.75x2	Rs. 300.00 Rs. 300.00	
7.	Model of pelvic and neonatal baby	One pc. each	Rs2000.00	Rs 2000.00	Learning materials
8.	Gloves	32 pcs	Rs20x32	Rs. 640.00	For practice
9.	Jeevan jal packets	32 pcs	Rs. 5x32	Rs. 160.00	Demonstration
10.	Daily subsistence allowance	Rs.100/day /per participant	Rs. 100x16x15	Rs.24000.00	
11.	Miscellaneous			Rs. 1500.00	If some one fall sick
	Total			Rs.56,960.00	

Note: The participants can develop detail budget as per their program.

If the organization decides to take the staff and board members for observation visit to India then they have to budget accordingly.

9. Presentation of the Plan

Once the plan is ready then management team has to share the planning with all board members, staff and other related stakeholders. The management team can organize half day sharing meeting in the office. Not necessarily everyone should be there in sharing but at lest there should be representative from each section and group of stakeholders. This gives the opportunity to be transparent from the planning phase and it supports in public audit as well. People participating in sharing session will be helpful to monitor the program and give constructive feed back.

Assignment Sheet 1.3

Case for Preparing Plan: Didi Bahini ko Aawaj

Carefully study the same case of *Didi Bahini ko Aawaj* as given in Activity One. Following the steps and components discussed, prepare an organizational performance plan for *Didi Bahini ko Aawaj* as best as you can. Make assumptions as needed to prepare plan. Study examples of planning formats attached.

A group of women of Putali Bazar Municiality of Syanja District realized different issues of local women from observation and their own experiences. They identified various issues of women like over work, poor education, domestic violence, legal problem, poor health and no participation in decision making process. They started discussing among themselves and gradually drew the attention of other women near by VDCs. They decided to work together to improve the women's status in the community. Most of the women had good intention and ready to work in this field but they did not have idea how to do, what to do, what is required to work in social sector. The initiator Ramila Pradhan consulted some layers and Human Rights specialists and asked how to proceed. The layers and human rights specialist advised her to form an organization (NGO) and get registration from District Administration Office.

Ramila was active to get things done. In consultation with other colleagues she coined the name of their organization "*Didi Bahini Ko Aawaj*". It took couple of weeks to get registration. They could not start any piece of work in the community because they were not clear on what is the objective of the organization, what is required for running the organization, how to serve to the women community. Some of the members who were very excited and encouraged during the inception time started paying low attention towards the newly formed organization. The frequency of gathering and discussion was going low. Ramila was worried on how to go ahead. She got suggestion from one of her relatives to have a planning meeting among the members. So she organized a three day planning workshop of the executive and general members. The workshop was facilitated by a planning expert.

Now that planning expert is in your group and there is one Ramila in each group and others are executive and general members. Suppose you are in the planning workshop, imagine that you are actively participating in the workshop, listening and contributing to get something significant and to take your organization forward.

Tasks

1. Analyze external and internal situation (make necessary assumptions).
2. Prioritize problems, needs and issues (make necessary assumptions).
3. Establish vision, mission, goals, objectives, strategies and programs choosing a couple of prioritized problems or needs (make necessary assumptions).
4. Estimate resource requirements and availability (make necessary assumptions).
5. Prepare program/ functional targets, activities and monitoring and evaluation procedures (make necessary assumptions).
6. Prepare work plan (make necessary assumptions).
7. Prepare operating budgets (make necessary assumptions).

Unit TWO

Implementation of Services and Programs

Introduction

This unit introduces management functions and process critical for effective implementation of the planned services and programs. It covers coordination, supervision, communication, decision-making, delegation, and monitoring as basic implementation functions and process. The unit explains the basic principles, techniques and tools associated with these core implementation functions.

Learning Objectives

After completion of all the activities and study materials of the unit, participants will be able to:

- Describe the concept, importance and principles of coordination in implementing programs;
- Identify program implementation aspects requiring coordination and develop and use appropriate structures and mechanisms for coordination;
- Describe the concept, importance and styles of supervision as well as the roles and skills of supervisors in program implementation;
- Develop an effective supervisory system and use various methods of supervision for program implementation;
- Explain the concept and importance of delegation of authority and responsibility for program implementation;
- Use systematic steps for effective delegation in their organizations;
- Describe the concept and importance of participatory decision making for program implementation;
- Use appropriate and systematic process and structures for effective decision making while identifying major factors to consider for making appropriate decisions;
- Explain the concept, importance and barriers of communication in management and use important communication skills;
- Develop an effective communication system for program implementation;

- Describe the concept and importance of monitoring in program implementation and identify various indicators useful for program monitoring; and
- Prepare program monitoring plan and use various monitoring tools and methods.

Structure and Timing

Activity One: Understanding coordination (One hour)

Activity Two: How to coordinate for program implementation? (Two hours)

Activity Three: Understanding supervision (One and half hour)

Activity Four: How to supervise program implementation? (One and half hour)

Activity Five: Understanding delegation of authority and responsibility (One hour)

Activity Six: How to delegate effectively? (One hour)

Activity Seven: Understanding decision making (One hour)

Activity Eight: How to make effective decisions? (One hour)

Activity Nine: Understanding communication and communication skills (One hour)

Activity Ten: How to effectively communicate? (One hour)

Activity Eleven: Understanding monitoring (One hour)

Activity Twelve: How to monitor program implementation? (One hour)

Total Time: 14 hours

……Activity One

Understanding coordination

Time: One hour

Why do this Activity?

This activity helps to understand what coordination is and why is it important in implementing programs and services. It highlights the basic principles and practices of coordination while identifying program implementation aspects requiring coordination for result-oriented performance.

Learning Objective

- Describe the concepts, importance and principles of coordination in implementing programs.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 25 minutes

Case Discussion Divide participants into mixed groups of 3-4 persons each. Give them Assignment Sheet 2.1 (a). Ask each group to discuss the case based on the questions given at the end of the case. Ask them to note their findings on what is coordination and why is it necessary.

Plenary Assemble the groups. Have each group present their findings taking their turn. Facilitate discussions on what coordination is and why is it necessary. Share the definition of "coordination" and its importance as given in the hand out using visuals.

Step 2: 35 minutes

Group exercise Divide participants into four groups. Give Assignment Sheet 2.1 (b). Ask them to sit in a circle in their respective groups. Distribute newsprint and a packet of color pens to each group. Ask each group to draw within five minutes anything they like following the rules given in the Assignment Sheet.

After the first round, give Assignment Sheet 2.1 (c). Ask again to repeat the drawing game in same group, this time following the rules as given in the Assignment Sheet.

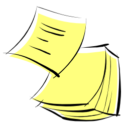
Plenary Assemble the groups. Have each group share their experiences. Facilitate discussions on the principles of coordination. Share the principles of coordination as given in the hand out using visuals.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheets for each participant.



Handouts

- Handout 2.1: Understanding Coordination
- Assignment 2.1(a): Case- Immunization That Never Took Place
- Assignment 2.1 (b): Group Exercise – Group Drawing (Part One)
- Assignment 2.1 (c): Group Exercise – Group Drawing (Part Two)

Handout 2.1

Understanding Coordination

"Coordination joins the efforts of people and the elements of activities"

Coordination is one of the important functions of management. An NGO can not imagine achieving its objectives without effective and smooth coordination. Managers and other staff members should have regular coordination internally and externally for better performance in the organization. Board members are equally responsible to coordinate with other concerned organizations like with related government line agencies, donors, and other NGOs.

Despite such importance of coordination, it is a major problem in most NGOs. There are several reasons for this such as feeling of competition with others, lack of transparency, poor coordination skills or mechanisms, or even coordination not receiving importance. Most NGOs in Nepal start working in a small scale and hence do not often realize importance of coordination. They continue with the working style even though they expand the volume of work and increase number of employees. It gives rise to coordination problem. Coordination is usually done on personal basis rather than on the basis of a professional approach.

Concept of Coordination

"Coordination is bringing activities of different persons or units or departments into proper relation to each other to make certain that everything that needs to be done is performed and there is no duplication or gap in performing the required actions".

When people's performance and the elements of their activities are coordinated, everything goes smoothly towards achieving the objectives. For example, for the successful implementation of primary education program it is necessary to bring all relevant people or agencies (e.g. children, parents, community people, school teachers, head masters, education supervisors, School Management Committees, Village Development Committees, District Education Offices, Education Department, private sectors and other social organizations) and their resources and activities together in a proper relationship.

For the purpose of program management, coordination can be defined as the planned collaboration of two or more persons, departments, programs or organizations who are concerned with achieving a common goal. Such collaboration is important to achieve the goal most adequately, effectively and efficiently. For example, in order to reduce poverty of poor women through micro finance program the Microfinance Manager needs to coordinate and work in collaboration with the external sectors like banks, community people, local employers, local training institutes who provide skill trainings, other social organizations, women's group, landlords, shop keepers and market sectors, farming and non farming sectors, insurance company, local industries and government organizations. The manager has to ensure the functional coordination within and among the sections and departments. When an activity is not coordinated it is liable to fail in its objective. It is proven that an uncoordinated activity is ineffective, inefficient and unsuccessful. For example, if the Finance Manager fails to coordinate with above mentioned groups and people then there is a very minimum chance of achieving the objective of poverty reduction.

So the coordination is the means of:

a. Dividing responsibilities: In a smoothly coordinated work the responsibilities are distributed among the individuals or units or sections. For example, in the micro finance program bank is responsible to deposit and provide loan to the poor women, social workers are responsible to raise awareness of the poor women and convince them to be the group member, training institution is responsible to give quality skill training to the group members and their family members, and microfinance supervisor is responsible to organize regular meeting, make sure everyone has paid loan in time and account is maintained properly.

b. Providing channels of communication: Once the tasks are distributed then there should be a regular interaction to ensure that the information is shared among the persons in the right time, tasks of each group are in right track and the issues raised are resolved. This is done through sharing information and resources, reporting back the progress, and raising issues and resolving together. The coordinated work itself creates the channel of communication between the persons, sections and organizations. For example, in the microfinance program each concerned bank manager, microfinance supervisor, women group need to have communication regularly.

c. Distributing authority: In a coordinated work it ensures that enough authority is provided to perform the assigned tasks or responsibility. The coordinator should inform to other concerned group or individual what authority is being given to a particular person or section. The coordinator needs to monitor and ensure that the authorities are not misused. For example, a microfinance supervisor should have authority to explore every possibility and implement the action if a woman can not pay the loan in time.

d. Encouraging team work: The coordinated function creates forum for working together and encourage for team work. It helps to bring the people's expertise and competencies together and give space for having regular communication. The coordination is the arrangement of work so that the rights things are done in the right place at the right time in the right way by the right people.

Importance of Coordination

Coordination is for better performance in the organization. A manger can not fulfill its objectives without having proper coordination internally and externally.

With effective coordination, each party can focus on its strongest areas. By collaborating with all interested parties, the Microfinance Managers can provide different service required to the poor women and family in reducing poverty. This is equally applied to all managers of any organizations. It is difficult to establish effective coordination mechanisms but once it is done and regularized then it gives following benefits:

- Coordination makes the most efficient and effective use of staff; equipment, supplies, physical facilities; funding; services provided; knowledge, experience and skills; evaluation results; educational activities and materials; and access to client groups.

- Coordination improves services by having more effective programs which reach a greater number of people, reaching new and different client groups, discovering any gaps in services, and creating a larger service program with greater impact.

- Coordination builds trust and decreases competition and conflict among the service providers. By identifying and discussing their common problems and concerns, individuals and organizations will realize that they are not fighting all the battle alone, and that it is to their advantage to work together.

- Coordination makes it possible to share information and the lessons learned from the experience of others, thereby helping to overcome program planning and implementation difficulties and avoid wasteful and unnecessary programs and efforts.

- Coordination reduces or eliminates duplication of or gaps in services. This happens because the concerned individuals and organizations will know what others are doing and hence they can use their resources and efforts in such a way that they do not duplicate the programs and activities but rather meet the gaps that exist.

- Coordination enlarges the scope of activities by assigning activities to those individuals and organizations which are best suited to carry those activities out, thus putting an end to duplication of services. This should free up both funds and personnel to take on new activities, and thus broaden the scope of the services provided.

- Coordination standardizes policies. This makes the implementation of the programs easier as all individuals and organizations are guided by and comply with the same set of rules, norms and procedures.

- Coordination brings greater influence by bringing all the concerned individuals and organizations together and presenting a common stance on issues strongly and advocating resolving the issues even in policy and strategic level.

Importance of Coordination

- Efficient and effective use of resources
- Improved services
- Building of trust and decreased conflicts
- Sharing of information and lessons
- Reduced duplication
- Enlarged scope of activities
- Standardization of policies

Principles of Coordination

It has been quite often heard that the tasks are not performed or the goal is not achieved because of proper and smooth coordination. To make the coordination smooth and effective, there are some principles to be followed.

Objective	Each group of tasks must have an objective that contributes to the objectives of the organization as a whole.
Definition	Each group of tasks must be clearly defined so that every one knows exactly what the tasks are.
Command	Each group of task must have one person in charge, and all concerned must know who this person is.
Responsibility	In each group there should be one in charge and s/he should be responsible for the performance of the people in his group.
Authority	Each and every in charge of a group of task must have authority equal to his responsibilities.
Span of control	Each in charge of the groups of task should only be managing only six to ten people. It will be difficult to manage more than that.
Balance	There should be some balance of work (responsibilities and authorities) in each group person in charge.

Constraints in Coordination

Despite many obvious benefits of coordination, it is often difficult to achieve it in practice. Most of the social organizations, government organizations, NGOs and business organizations are also facing similar type of difficulties in coordinating with others and getting the results as expected. Many times the delivery of different services like medical, education, financial support, health service interventions suffer because of the lack of coordination within the organization and also between various organizations. There are several potential problems in coordination.

- Fear of being used or manipulated by other individuals or organizations for their own benefits.
- Territorial battles resulting when some individuals or organizations view coordination as a threat to their role or as causing a loss of autonomy.
- Crediting success of the coordinated effort as the success often creates disagreements among individuals and organizations as to who deserves the credit for the success.
- Leadership vacuum caused by the lack of a person or organization taking on the role of leading the coordination effort
- Narrow perspective and agenda limiting oneself to own programs and efforts without seeing the total picture and appreciating the need for coordination with others for achieving the broader goals.
- An unwillingness to do too much work that may be required to initiate and maintain coordinated efforts.
- Fear of revealing secrets or weaknesses and sharing ideas and resources with others.
- The competing interests of donors who may impede coordination among organizations by deciding to fund a program without investigating the activities currently being carried out in the area or by setting up a program that duplicates or contradicts the work of other programs.

Constraints in Coordination

- ❖ Territorial battles
- ❖ Leadership vacuum
- ❖ Narrow perspective
- ❖ Unwillingness to do much work
- ❖ Fear of being manipulated
- ❖ Disagreement on crediting success

Assignment Sheet 2.1(a)

Case: Immunization That Never Took Place

A local NGO had planned to organize an immunization camp in a Village Development Committee of Kailali district. Two weeks before the camp, there were awareness campaigns. Women's groups, school children and teachers, and community people were involved in the awareness campaigns. They organized street drama, rally, posters and door to door visits to motivate the mothers and guardians of the children. Every one who had children below one year of age was asked to bring her/his child to be immunized in the health posts.

On the day of immunization, every household brought their under-one children in the health post from the early morning. The health post in charge and NGO supervisor were very encouraged to see the presence of the people with their children. They waited and waited but no technicians appeared in the health post from the district health office till 3:00 p.m. The people were tired, hungry and furious. They started blaming to the organizers. Mothers slowly started going back. The in- charge of the program went to the district health office and found that the technician was sick. The store keeper said there is no enough immunization vile in the store. The office vehicle that was supposed to be in the camp was taken by Chief District Officer to control riots in another town. The in-charge was frustrated.

Questions for discussion

1. What positive things did you find in this case?
2. Why children did not get immunization though they were brought in the health post?
3. What did happen?
4. What was lacking for not being able to perform the task?
5. So what is coordination?
6. Why it is necessary?

Assignment Sheet 2.1 (b)

Group Drawing (Part One)

<u>Rules</u>

No one is allowed to communicate verbally to one another.

1. ***One person will have to start drawing a part of anything without telling what s/he is going draw. The first person has to pass on the newsprint to the next colleague to her/his right side.***
2. ***The second person has to draw her/his part by adding on the first draw. Then the second person has to transfer the newsprint to the right side colleague.***
3. ***The third one will also repeat the same process of adding on the drawing. It will be continued until each member has got the opportunity to draw.***
4. ***In five minutes the game will over. Each group member will observe own drawing. On the basis of that drawing, let them think critically and discuss about the process and outcomes.***

Questions for discussion

1. How the drawing looks like?
2. Was the drawing exactly the same as thought by the first person? Why?
3. What were the positive things in the drawing?
4. What did you find that need to be improved? What were lacking in the process and outcomes?
5. How you could have done this in a better way?
6. Do you think you can do it better if you find the opportunity?

Note: Facilitator will strictly follow the time.

Assignment Sheet 2.1 (c)

Group Drawing (Part Two)

<u>Rules</u>

1. Every one can talk and communicate to one another.

2. Each group will get five minutes to plan what they are going to draw.

3. Like first part, one person has to draw a part of the picture on the basis of their plan.

4. The first person will pass on the newsprint to the next friend to the right side and s/he has to add her or his part.

5. This process will be continued until everybody finishes the drawing. After five minutes each group will review the process and outcomes of the game within their group.

6. Each group will present their drawing to the large group.

7. The facilitator will lead the discussion by asking attached questions and list the responses (in points) on the board.

Questions for Discussion

1. If you compare two drawings, which you find satisfactory? And why?
2. Who started the planning? What did you exactly do in the planning?
3. Who did take what responsibility? While taking responsibilities did you think about the capacity of yourself and others?
4. Who was monitoring the overall work? Who was coordinating the process?
5. Why coordination is necessary? Recall from first activity.
6. So what are the principles of coordination?

Note: Facilitator will strictly follow the time.

........Activity Two

How to Coordinate for Program Implementation?

Time: Two hours

Why do this Activity?

This activity helps to understand program implementation aspects requiring coordination for effective program implementation. It also describes structures, mechanisms and tools for effective internal and external coordination.

Learning Objective

- Identify program implementation aspects requiring coordination and develop and use appropriate structures and mechanisms for coordination.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 40 minutes

Group exercise Ask participants to form their own organizational groups or groups of similar organizations. Distribute Assignment Sheet 2.2(a) (a blank format and a model example) to each group. Ask them to identify a number of program implementation aspects or issues which require coordination in their organization. The aspects could be broad (e.g. policy) or specific (e.g. arranging a venue for training). Also ask to identify with whom coordination is required. This could be internal and external agencies or persons.

Plenary Assemble the groups. Have each group share their findings. Facilitate discussions on the implementation aspects which require coordination and whom to coordinate with based on the practical examples generated by the groups. Use visuals as necessary.

Step 2: 80 minutes

Presentation Showing visuals, briefly introduce various structures, mechanisms and tools of internal and external coordination based on the materials in the handout. Show model examples given in the handout.

Group exercise Ask participants to work in the same group as before. Distribute Assignment Sheet 2.2(b) to each group. Ask them to prepare coordination checklist, coordination schedule and coordination matrix for the selected program implementation aspects or issues (i.e. the outputs of the previous group work).

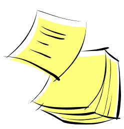
Plenary Assemble the groups. Have each group share their findings. Generate feedback on the group works.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheets for each participant.



Handouts

- Handout 2.2: How to Coordinate for Program Implementation?
- Assignment 2.2 (a): Program Implementation Aspects Requiring Coordination
- Assignment 2.2 (b): Preparation of Coordination Tools

Handout 2.2

How to Coordinate for Program Implementation?

In an actively-functioning organization coordination needs to be done both internally and externally. Here, internally means within the organization itself and externally means outside the organization.

Internal Coordination Mechanisms

Internal coordination is a priority function of management, and it is necessary to take place before coordinating with external agencies. Internal coordination refers to the process of bringing activities of different persons or units into proper relation to each other within a program or organization. A program or organization should make sure that its own activities and people are well coordinated for its effective functioning.

Internal coordination becomes important as the size and variety of activities and staff increase. As the organization or program grows, it has to adopt the principles of division of labor and specialization to operate, dividing works into several functional units and allocating them to different persons or groups. Under a differentiated structure, each person or group will tend to focus on their own activities and interests, and loses sight of what others are doing, unless management creates some kind of integration mechanisms. This pattern of isolated activities can become institutionalized and lead to organizational inefficiencies. It is important that people and units see the "big picture" of the organization or program and understand how all the program or organizational components interact with each other and how the entire program or organization relate with the external environment.

Internal coordination is relatively easier to carry out than coordination between organizations, due to the presence of a single formal authority structure. If certain principles of organization are applied, internal coordination will be effective.

The implication is that the concerned manager of a program or organization must create appropriate work structures and processes within the program or organization applying these principles to ensure proper coordination of activities.

There could be two possible situations for internal coordination; coordination within the program or team and coordination between different units, functions, or programs within an organization. Various mechanisms based on the above principles would help achieve coordinated efforts in both the situations.

Some of the possible mechanisms for effective internal coordination within the team or program are outlined below.

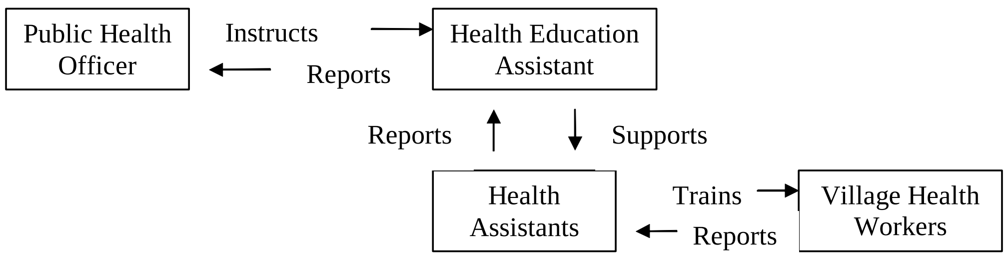
1. Prepare a clear **roles and relations structure** of persons working in the program or team, identifying the specific roles of the people involved and

describing their relations with each other. How communication takes place between the different levels of a system for the purpose of coordinating the program and the activities of the team should be determined. The structure should specify:

~ Who instructs others in what they are to do at each level of the organization.

~ Whom each person reports to on job progress or problems and what will be the reporting modality.

For example, one possible role and relations structure for the training program of Village Health Workers in the District Health System could be as follows:



2. Prepare **job/ functional descriptions** for individuals/ teams clearly identifying the responsibilities, relationships and accountabilities in relation to other persons and groups in the program or organization.

3. Manage **information flow** effectively within the program or team in such a way that people receive the information they need. In the course of day to day operations, the manager will continually receive information and produce information. The manger and persons in charge need to review the information and identify whether the relevant information has been followed or not. He/she should constantly evaluate the importance of the information and determine who else need to be informed. The incoming and outgoing information should then be sent to the appropriate people in a timely manner.

4. Prepare an **activity schedule** for each program by reviewing the program components in terms of the following components:

   ~ What should be done? Program contents (e.g. contents of an immunization program.

   ~ How it should be done? Procedures to be followed (e.g. technical, administrative).

   ~ Who should do it? People responsible for the different tasks (e.g. social workers, health workers, administrative staff).

   ~ When it should be done? Time targets to be followed.

   ~ How much it costs? Budget.

~ Why it should be done? The planned outputs reflecting the needs.

A partial illustration of the activity schedule is presented at the end of this handout. The schedule can be a tool for coordinating activities and people within a program or a team.

External Coordination Mechanisms

An organization can not achieve its objectives in isolation; so a manager has to coordinate with others outside the organization. At the beginning of its establishment the organization puts efforts in internal coordination but when the program expands then it will have to coordinate externally like multi-donors, new group of target population, government offices, other social organizations, private sectors, training institutions, consultants, researchers, local political bodies, existing indigenous organizations etc. It is equally important to have external coordination but this task is very challenging and tough for the manager. It seems tough because different organizations have their own priority, they may feel competitive, other organizations may have diversified structure and working culture, distribution of responsibility and authority may be different to their staff.

In NGOs there is practice of being involved in the activities once the request comes from other organizations (reactive involvement) and there are evidences that once the task finishes then relationships come down or even close. Similar practices are found in the proactive type of coordination. While involving in external coordination people feel frustrated and give up in between the work but this does not help. The manager and person in charge for coordination should be proactive and persistent and keep the relationship after finishing the assigned tasks.

External coordination is useful for sharing and collecting resources for accomplishing the tasks. If coordination happens among the like minded organization then it helps to cover wider population. External coordination facilitates to influence the policy makers in higher level e.g. government and donors. External coordination always makes possible to accomplish the larger tasks which would not have been possible for an organization. There will be the combination and contribution of the diversified expertise, like research, strategic planning, policy development, fund raising, advocacy and influencing others. In addition to ensuring coordination within a program or a team, managers are responsible for coordinating various programs and units within the organization. For effective coordination some additional coordination mechanisms would be required.

1. Create temporary structures such as **inter-departmental and inter-disciplinary teams** to conduct major program activities such as work planning and evaluation that will serve as a coordination link among various units or programs.

2. Conduct **staff meetings** on a regular basis involving all the relevant units or programs to ensure an exchange of information on current activities, problems and plans.

3. Require each department to make a **presentation** on its current program of

activities to the rest of the organization.

4. Develop mechanisms to **share information** on a regular basis such as coordination meetings of various units or programs.

5. Use the **coordination matrix** to identify the more common coordination issues and activities. The matrix identifies the various responsibilities of the organization shared by the various units or programs and relates them to each other. A partial illustration of the coordination matrix is presented in Annex .

6. Create a **coordination team** for identifying and addressing the issues and activities to be coordinated by representing all the relevant units or programs, and hold regular meetings of the team.

7. Form an external **networking team** of different section experts e.g. Human Resource Development team, Trainers team, Researchers' network and organize bi-monthly or quarterly meeting.

8. Managers can form their **association** where they can share information, generate new ideas and make informal plan which then can be formalized and accomplished.

Tools for Coordination

Coordination Checklist

A Coordinating the activities

1. What is to be done?
2. Where will this take place?
3. When will this action take place?
4. What resources are needed?
5. How will this action be arranged?

B Coordinating the people

1. Who will take responsibility?
2. Who will do what actions?
3. What authorities need to be given to each person in charge?
4 What skills, knowledge and attitude is required to perform the tasks?
5. Who will lead the group and coordinate peoples' efforts?

C Communication

1. Is all necessary information available?
2. Has the information being communicated?
3. How frequently the information will be shared?
4. What will be the mode of communication to share the information?
5. Is the information being communicated in right time to the right person?

Coordination Schedule

S.N.	Area and issue	Activities (What tasks need to be performed)	Person responsible	By when the tasks need to be completed?	Who to report?	How to report?
1.						
2.						
3.						
4.						

Coordination Matrix

A Partial Illustration of Coordination Matrix

Program/ Function	IEC	Family Planning	Finance and Logistics	Service Delivery
IEC		• Develop materials for FP awareness programmes. • ...	• Provide information about IEC materials requirements. • ...	• Supply IEC materials for distribution to the visiting customers.
Family Planning	• Give requirements for IEC materials. • Develop messages and programmes. • ...		• Provide information about the planned FP camps. • ... • ...	• Supply FP contracepti ves for distribution to the visiting customers. • ... • ...
Finance and Logistics	• Prepare budget for IEC materials preparation. • ... • ...	• Provide budget and logistics for FP camps. • ... • ...		• Work out user fees. • ... • ...

Service Delivery	• Give feedback about the reactions of the customers about the IEC materials. • …	• Distribute FP contraceptives to the visiting customers. • …	• Participate in developing use fees. • … • …	

A Partial Illustration of Activity Schedule Format

District: Banke Office: Public Health Office Programme: Safer Motherhood

Objective: Sixty percent of the population of the district are aware of safer motherhood practices and 30 percent women of reproductive age make use of the health facilities available in the district.

Operational Targets	Activities	Time Frame	Responsible Person	Report to	Budget	Remarks
1.Twenty awareness programmes conducted in as many VDCs.	Selection of VDCs	1- 2 wk, Magh	Health Ed Asst	PHO	Rs xx	
	Selection of participants	2- 4 wk, Magh	''	PHO	Rs xx	
	Programme design	1- 4 wk, Falgun	'' + PHO	DHO	Rs xx	
	Materials collection	1-4 wk, Falgun	Health Ed Asst	PHO	Rs xx	
	Logistics arrangements	1-4 wk,Chaitra	Admin Asst	PHO	Rs xx	
	Programme delivery	1-4 wk,Chaitra	HEA+ Public Health Nurse	PHO	Rs xx	
	…………					
	…………					
2. ………						

Assignment Sheet 2.2(a)

Program Implementation aspects requiring Coordination

Carefully study an example of program implementation aspect or issue requiring coordination as given below.

S.N.	Areas and issues	Responsible person or section	Coordination with	
			Internal	External
1.	Hire two ECD supervisors	Administrator or HR section	Program team, Manager, Finance section.	Other organization working in ECD sector, advertising agency or local journalist, training institute.

Now using the given format, identify several program implementation aspects or issues in your organization that require coordination.

S.N.	Areas and issues	Responsible person or section	Coordination with	
			Internal	External
1.				
2.				
3.				
4.				
5.				

Assignment Sheet 2.2(b)

Preparation of Coordination tools

Carefully study examples of some coordination tools as given below.

A Coordinating the activities

1. What is to be done?
2. Where will this take place?
3. When will this action take place?
4. What resources are needed?
5. How will this action be arranged?

B Coordinating the people

1. Who will take responsibility?
2. Who will do what actions?
3. What authorities need to be given to each person in charge?
4 What skills, knowledge and attitude is required to perform the tasks?
5. Who will lead the group and coordinate peoples' efforts?

C Communication

1. Is all necessary information available?
2. Has the information being communicated?
3. How frequently the information will be shared?
4. What will be the mode of communication to share the information?
5. Is the information being communicated in right time to the right person?

1. Coordination Checklist

2. Coordination Schedule

S.N.	Are a and issu e	Activities (What tasks need to be performed)	Person responsibl e	By when the tasks need to be completed?	Who to report?	How to report?
1.						
2.						
3.						
4.						

3. Coordination Matrix

A Partial Illustration of Coordination Matrix

Program/ Function	IEC	Family Planning	Finance and Logistics	Service Delivery
IEC		• Develop materials for FP awareness programmes. • ...	• Provide information about IEC materials requirements. • ...	• Supply IEC materials for distribution to the visiting customers.
Family Planning	• Give requirements for IEC materials. • Develop messages and programmes. • ...		• Provide information about the planned FP camps. • ... • ...	• Supply FP contraceptives for distribution to the visiting customers. • ... • ...
Finance and Logistics	• Prepare budget for IEC materials preparation. • ... • ...	• Provide budget and logistics for FP camps. • ... • ...		• Work out user fees. • ... • ...
Service Delivery	• Give feedback about the reactions of the customers about the IEC materials. • ...	• Distribute FP contraceptives to the visiting customers. • ...	• Participate in developing use fees. • ... • ...	

Now using the given formats, prepare coordination tools for the selected program implementation aspects or issues in your organization.

……….Activity Three

Understanding Supervision

Time: **One and half hour**

Why do this Activity?

This chapter introduces the concept, importance and styles of supervision for organizational performance. It also identifies roles and skills of supervisors in program implementation.

Learning Objective

- Describe the concept, importance and styles of supervision as well as the roles and skills of supervisors in program implementation.

How to do the Activity?

Note

Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 20 minutes

Presentation / discussion

Open the floor discussion by asking: "What is supervision?" Write all the responses on the board. Take the points from individual and discuss and develop a simple meaning of supervision. Facilitate discussion on what is supervision and what is not supervision.

Step 2: 30 minutes

Group work

Divide the participants in small groups of four each. Ask each group to discuss and come up with their views on:" Why supervision is necessary in an organization?” Each group has to record discussion outcomes on chart paper.

Plenary

Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings. During the discussion facilitator should encourage to the group member to give some of the practical examples. Also discuss the roles of supervision in program implementation.

Step 3: 40 minutes

Presentation / discussion Lead a discussion on the concept of a supervisor in the context of program implementation.

Role Play Ask two participants to volunteer for a role play exercise. Assign the respective role briefs them as given in Assignment Sheet 2.3. Ask others to observe based on the observers' briefs. Have them play a short role play exercise.

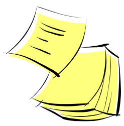
Plenary Debrief the role play exercise inviting feedback from the role players and the observers based on the questions given in the Assignment Sheet. Facilitate discussion on the roles and skills of supervisor as well as the styles of supervision.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.3: Understanding Supervision
- Assignment Sheet 2.3: Role Play: Supervisory Roles, Skills and Styles

Handout 2.3

Understanding Supervision

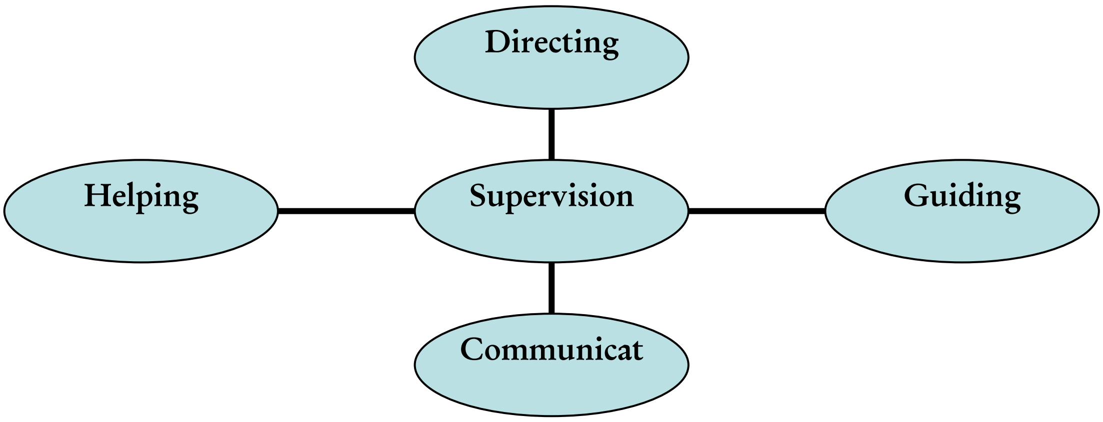
Supervision is a primary and regular part of managing performance of people involved in the implementation of planned programs. It is essential to get things done and achieve planned results. Hence, in an NGO the board and executive members with responsibility for program implementation must carry out supervision as part of their regular duty. The supervision is not an easily understood function because supervisory process focuses on individual's knowledge, communication, problem solving and decision making skills, behavior, attitude and ways of doing things. Therefore, most of the Executive and Board members give low priority in supervision, even if they plan supervision with their staff members they do focus on controlling process rather than focusing on appreciation, motivation and learning process.

What Supervision is?

"Supervision is a process where managers work with individual and team to achieve work objectives through joint planning, reviewing, identifying issues and solving the problems."

This definition shows that the supervision function is the continuous process of joint planning the activities for better performance, reviewing the progress, identifying the problems, solving the problems together with the co-workers and taking care of subordinates and motivating them towards achieving organizational performance.

"Supervision is the process of guiding and helping people or co-workers to improve their own performance". This is presented in the diagram form.



Every individual in the organization needs access to the necessary resources and management support in an agreed process. Whatever your role in the organization , and whatever your work situation, office, project, home base you have a right to a supervision process which enables you to participate in decision making about your work and which encourages you to learn and develop. Supervision can help you to gain a sense of clarity and accountability concerning your work. It can help you to increase your effectiveness and improve your performance in achieving objectives.

Supervision is not:

- Leaving the subordinate without proper guidance and direction is not supervision.
- Only fault finding and blaming other staffs is not supervision.
- Not supporting the subordinates with skills, resources and authorities is not supervision.
- Not allowing staff to participate in decision making process is not supervision.
- Not giving immediate feedback to improve the performance is not supervision.
- Supporting only in technical and administrative field is not supervision. The supervision should also be focusing on human relation part.

Why Supervision is Necessary in an NGO?

The basic purpose of supervision is to ensure continuing improvement in performance by guiding and supporting staff to perform well in carrying out their responsibilities in program implementation. More specifically, supervision aims to:

- To ensure that individual's jobs have been done effectively and efficiently.
- To enable every staff and board members to have control and influence over his/her work
- To ensure that the individual staff has got enough support, resources, skills and authority to perform the planned job.
- Effective supervision will foster continuous learning and development both professionally and personally
- Encourage employees and volunteers by giving the feeling that there is really some one senior who looks after him/her and taking care of his/her jobs in the organization.
- To identify and plan the development need of each individual staff.
- To develop and retain the capable staff in the organization.

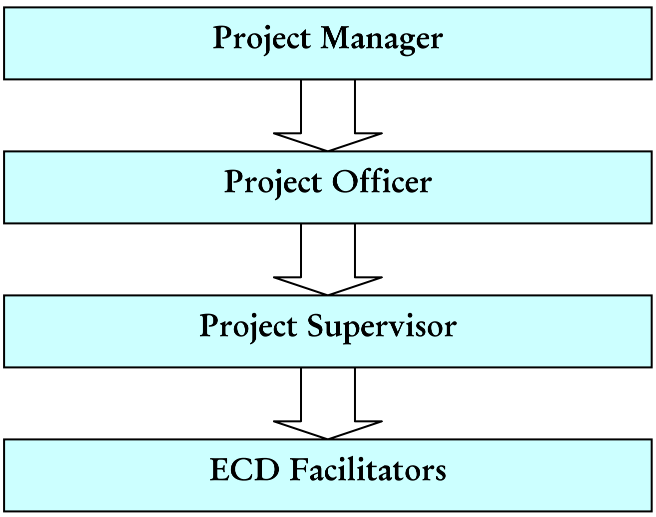
Role of Supervision in Program Implementation

Program implementation basically involves carrying out the planned activities by the people within the agreed framework of resources, time and place. Staff performance is thus a critical input for the successful implementation of programs. In order for the program staffs to perform effectively, it is necessary to direct their actions and behaviors, which is usually done by developing policies, rules, standard operating procedures, work manuals, instructions, and training sessions. These are all good methods for communicating what the manager wants done and how he/she wants it done. However, no matter how well these methods are applied, every manager will find it essential to have direct personal contact with the program staffs on a regular basis to observe and guide them for better performance.

Without supervision, even the best planned operations do often achieve only limited results. Supervision keeps the planned action on the right track, identifies and corrects deviations, addresses the problems as they arise at the level of implementation itself, informs the responsible officials about the actual status of the program implementation, energizes staffs to carry on with their good work, and supports them for enhancing their performance. It also helps in coordinating and monitoring the actual activities while keeping the managers in touch with the ground realities of program implementation. Hence, supervision is essential for each category of staff and at each level of program implementation in the organization.

Supervisors

This is a widely misunderstood term. Many people believe it applies only to people who oversee the productivity and development of entry-level workers. That's not true. The term "supervisor" typically refers to one’s immediate superior in the workplace, that is, the person whom you report directly to in the organization. For example, a middle manager’s supervisor typically would be a top manager. A first-line manager’s supervisor would be a middle manager. A worker’s supervisor typically would be a first-line manager.



Supervisors typically are responsible for their direct reports' program planning, activities and progress in the organization. Supervision often includes conducting basic management skills (decision making, problem solving, planning, observing and giving feedback, addressing performance issues, and delegation). Supervisors should have strong working knowledge of the activities in their group, e.g., how to plan their program, how to improve services in the community and how to deliver quality goods to the people.

Roles of a Supervisor

In general the following are the:

- Keeping the planned actions on the right track
- Identification and correction of deviations
- Addressing the problems as they arise
- Energizing and supporting staff for performance
- Coordination and monitoring of actions
- Identify the development need of staff and implement.
- Help staff and manager to build trust between each other.
- Support staff to develop the capacity

Key Skills and Responsibilities of a Supervisor

Effective supervision requires a broad range of skills. In supervision both parties the manager and subordinate need to be skilled in listening and questioning. Listening and questioning skills get little attention. Supervision session will involve both in solving problems, setting objectives, planning action and managing change. The line manager will need to understand how to develop and increase motivation and to delegate tasks and projects. Throughout supervision the manager should take advantages or opportunity for learning and staff development.

Supervision is two- way process. To be effective it requires a positive contribution from manager and staff. If you are a manager, you are responsible for ensuring an effective supervision process for the staff you manage. But every member of staff is responsible for participating constructively in the process. Since an important element of supervision is joint problem-solving, the contribution of both staff member and manager are equally valuable.

Supervisory roles differ from those of higher management only in degree. Higher management spends much time on planning and while supervisors spend more time on facilitating, guiding and helping the co-workers. Following are the skills required for an effective supervisor.

Technical skill: This involves job know how and knowledge of special work e.g. s/he is supervising (micro financing, income generating activities, forestry, agriculture and medical activities) and their process, procedures, issues and ways of solving them.

Administrative skills: This involves knowledge of entire organization e.g. its mission, partnership procedure, structure, policies related to program and people in the organization, function of the board of director, decision making procedure, financial activities and policies, documentation, record of information etc. This also concerns the ability to plan, implement and monitoring activities.

Human Relation skills: This involves knowledge of human behavior and ability to work with the individual, small group of people, peer groups, co-workers and supervisors. In NGOs the staff should have skills to work with the volunteers as well. In the present context, the role of supervisors has been shifted from administrative and technical concern to human relation concerns. All the managers or supervisors no matter or how few people they supervise can view their jobs as getting the work done through other people. This involves people and which are complex by its nature. People differ from one another, and changing behavior from one day to the next, people's needs vary; expectations are changed day by day. For these reasons the job of supervision is demanding and challenging. Supervisors should have the roles and skills of communicating, motivating; encouraging, guiding and helping to the people who do they work within the organization.

Developmental skills: Supervisors ensure new employees are oriented to the organization, its policies, facilities, etc. They develop training plans with employees to ensure employees have the necessary expertise to carry out their jobs. They provide ongoing guidance to employees, often in the forms of ongoing coaching, mentoring and counseling. Supervisors often provide career counseling, as well, to help employees develop and advance in their careers. Supervisoral development refers to the activities involved in enhancing one's ability to oversee, guide and evaluate activities of immediate subordinates in the organization.

Different Styles of Supervision

There are three main style of supervision:

1. Autocratic: In NGOs you might have seen or worked with the supervisor who are very directive and dictatorial who usually say "Do what you are said, and don't ask questions". They do practice an autocratic style of supervision. They do have very little listening skills. Those, who work with such type of manger, do not have choice to be creative and critical. Autocratic supervision tends to humiliate people and make them irresponsible. In such type of organization people feel insecure. It is not that people should be free to do whatever they like but people in the organization should have frame and guideline towards achieving the objectives ***"Do what I say"***

2. Anarchic: In some organizations we may find the supervisors who say "Do what ever you like and don't disturb me". This style of supervision can be called Anarchic. The employee and volunteers enjoy complete freedom to do the job but they do not get any support, help, guidance and encouragement from their supervisors. ***"Do what you like"***

3. Democratic: If we are lucky and fortunate enough we may find the manager or board member who says "this is the objective, and we need to produce this result, these are the tasks to be done. "Let's agree and plan how best we can do it!" This style of supervision is called Democratic or participatory. Democratic supervision helps staff and volunteers to grow and to become responsible for their own work. **"Let us agree what we are going to do"**

A supervisor may instinctively be more inclined toward **task- oriented** (giving direction) or **relationship- oriented** (giving support) supervision approach. No one particular approach is appropriate in all situations. The use of supervision approach depends on the kind of work to be done (job factors) and the kind of people to be supervised (personal factor).

The main **job factors** include the complexity of the job, the difficulty of the job, the need for quick decision, the need for consistent results, and the need for creative work. Similarly, the **personal factors** include the skills, reliability and experience of staff and their willingness to accept responsibility and to make decisions. A task-oriented approach is appropriate when the job is complex and difficult for the employee to perform and requires consistent results and the employee is less experienced, skilful and willing to take up the responsibility. On the other hand, the supportive approach is most useful when the work is not very difficult and demands creativity and the employee is competent, reliable, experienced and willing to accept responsibility.

A supervisor would do well to analyze both the job and personal factors to determine which approach to use in any given situation. In any case, he/she should always consult with employees before making judgments and decisions which affect the employee's work. He/she should also try to balance between the two approaches most of the time within the framework of a particular situation.

Assignment Sheet 2.3

Role Play: Supervisory roles, skills and styles

Role for Sanjaya

You are an HIV/AIDS training facilitator. Your plan for the current six month period is to run four training programs on HIV/AIDS for Community Health Workers. Beena is your line manager. Now you and Beena are having monthly supervisory meeting in your office. Discuss about your progress, achievement and problems in performance.

Role for Beena

You are line manager of Sanjaya, who is an HIV/AIDS training facilitator. Sanjaya's plan for the current six month period is to run four training programs on HIV/AIDS for Community Health Workers. Now you and Sanjaya are having monthly supervisory meeting in Sanjaya's office. Discuss about his progress, achievement and problems in performance as his supervisor.

Note for Observers

Sanjaya is an HIV/AIDS training facilitator. His plan for the current six month period is to run four training programs on HIV/AIDS for Community Health Workers. Beena is his line manager. Now Sanjaya and Beena are having monthly supervisory meeting in the office.

Closely observe how Beena carries out the supervisory meeting and give feedback in the plenary covering the following issues:

1. What supervisory activities did Beena perform during the meeting?
2. What skills she used as a supervisor?
3. What was her style as a supervisor?
4. What are the basic responsibilities and roles of a supervisor?
5. What are the skills necessary for a supervisor?
6. Which style of supervision would be more appropriate in an NGO environment?

………Activity Four

How to Supervise Program Implementation?

Time: **One and half hour**

Why do this Activity?

This activity helps to develop an effective supervisory system and use various methods of supervision for program implementation.

Learning Objective

- Develop an effective supervisory system and use various methods of supervision for program implementation.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 20 minutes

Discussion Distribute Assignment Sheet 2.4 to all participants. Ask them to fill in the checklist in the Assignment Sheet individually on the basis of the practices followed in their respective organizations. Lead the discussion and draw out the practical examples regarding supervision practices.

Step 2: 40 minutes

Role Play Divide participants into several pairs, preferably from the same organization. Give Assignment Sheet 4.2 to each pair, assigning the role of a supervisor to one participant and the role of a supervisee to another. Allow time to make preparation based on the given monthly plan. After preparation, have each pair hold a supervisory meeting.

Plenary

Assemble the group in plenary and discuss learning from the exercise. Let them discuss and identify the points to be kept in mind. Also ask them to come up with real examples of some of the factors they identify based on their experience.

Step 3: 30 minutes

Presentation / Discussion

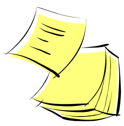
Taking example of supervisory meeting as a supervisory method and component, lead a discusssion on the other methods and components of an effective supervisory system. Explain and illustrate the various supervisory methods and the components od the system with the help of materials in the handout.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.4: How to Supervise Program Implementation?
- Assignment Sheet 2.4(a): Checklist of Supervision Practices
- Assignment Sheet 2.4(b): Supervisory Meeting Preparation Sheet

Handout 2.4

How to Supervise program Implementation?

Effective supervision involves development of a supervisory system and use of appropriate methods. This note presents components of a supervisory system and various methods of supervision.

Development of a Supervisory System

In any organization or program, much is demanded of supervisors. They must guide, assist, motivate, develop, and support their staff to do the best job they can as well as manage conflicts and resolve problems to meet staff performance objectives so that the program will meet its goals. This would be possible only when a supervisory system is developed and put in place.

A supervisory system is a framework for carrying out supervision of staff performance within the context of a program and consists of a set of principles, rules, process, and methods to follow. It guides supervisors appropriately in planning, directing and controlling the performance of their subordinates while allowing the employees for receiving the supervision they need to improve performance. The important elements of such a system are outlined below.

Objectives and Policies of Supervision

The general objectives of supervision are stated earlier. Each organization or program should adapt them and develop new ones, if necessary, according to the nature of a specific situation of supervision, including the program goals and activities, jobs assigned to the employees, and the personal characteristic of the persons to be supervised.

Similarly, what policies are to be followed in supervising staff performance should be spelled in advance. The policies need to be developed in relation to the various elements of the supervisory system such as the when and how frequently supervision is to be carried out, what aspects of program and staff performance are to be supervised, and what methods and tools are to be used.

It is important that the objectives and policies are formally developed and documented in consultations with the staff members. Once developed, they should be communicated to them so that they can understand the value of supervision and seek and receive it positively.

Supervisory Responsibilities

As part of the work relationships structure in the organization or program, it should be clearly worked out who is to supervise whom. Preparation of organization structure and job descriptions for all employees would help identify supervisory responsibilities in clear terms. Based on them, a supervisory responsibility chart should be developed identifying supervisors and the employees they are to supervise in relation to specific programs or functions.

Supervision Areas/ Aspects

While the exact scope of supervision may vary from one case to another, there are some key aspects of work performance that should be generally covered in carrying out supervision. They include:

- Work performance (i.e. the achievement or progress, quality, and effects of expected or planned performance goals or results)
- Performance input factors (i.e. the use, adequacy, efficiency, availability, quality, and economy of financial resources, physical resources and facilities, and logistics)
- Human resources (i.e. ability, suitability, utilization, problems solving, development needs of staff involved)
- Work processes and systems (i.e. the use and effectiveness of methods, techniques, procedures)
- Organizational factors (i.e. nature and appropriateness of work environment, nature and level of work relations, adequacy and appropriateness of systems, policies, rules and procedures, and nature and degree of problems and constraints for performance)
- User satisfaction (i.e. the quality of and satisfaction with the services received as experienced by the users, their feedback)

Supervisory Checklist

This is a list of areas for supervisory focus at the time of carrying out supervision and serves as a framework for supervisory actions. The checklist should be comprehensive enough to cover all the potential areas of supervision. It would be advisable to prepare different checklists for different programs or levels of organization to be supervised as it allows for more focused and intensive supervision. Alternatively, a master checklist could be used for general supervision of all programs or organizational units with additional checklists for specific program or unit attached to the general list.

It would be better if the checklist also included other aspects of performance such as organizational factors, work processes and systems, and user satisfaction. One way of doing it would be to add an extra sheet listing the various elements of the supervision aspects not covered in the present checklist.

What is also needed is a checklist for regular supervision of the employees. This would be part of a day-to-day supervisory responsibility of the NGO Manager. This could and should be locally developed and regularly used to carry out regular staff supervision in the office.

Supervisory Schedule

Every supervisor should prepare a periodic supervisory schedule. It is important as it provides advance notice of the supervisory session to staff at all locations, and allows them to prepare. It also makes it possible for supervisors to coordinate their supervision activities, including supervision visits, and make necessary preparations for supervision including the review in advance the necessary materials for the supervisory session.

Two kinds of supervisory schedule would be helpful: a yearly schedule/ calendar and a monthly or weekly detailed schedule. The annual schedule is an outline plan of supervisory actions to be carried out in a year that specifies the program and staff to be supervised, the supervisory actions/ visits, and their timings. Such a schedule should correspond with the annual plan implementation cycle of the organization or program. Once prepared, the annual schedule should be communicated to all the people involved for information and necessary preparation for the supervisory sessions.

Within the framework of the annual schedule, a more detailed supervisory schedule should be prepared closer to the time of the supervisory actions. This schedule should specify the dates, times, places, people involved, supervisory methods to be used, and the issues to be addressed and discussed. It would be better to prepare the detailed schedule for each month, or even each week if there is frequency and magnitude of supervisory actions justify it, on the basis of the annual schedule.

Supervision Methods

The supervision system developed within the organization should clearly identify the methods that will be used for carrying out supervision. Various methods can be used to supervise staff performance. Some of the important methods, which may be used simultaneously, include:

- Supervision visits to the work place/ field
- Supervisory sessions with the employees
- Problem-solving and skills development sessions
- Meetings and discussions with the service users/ beneficiaries
- Reports and documents study

In particular, the first three are very important as they involve direct interaction between the supervisor and the supervisee. In case of the ECD and health, which mainly involves field-based implementation of the programs, they provide the most useful basis for supervising performance. The supervisory visits should be carefully planned in advance so as to get the most effective results from supervision in terms of sustained better performance.

The supervisory session should generally involve a review of the work itself and how it is being carried out, an overview of recent progress and problems, learning from specific recent work experience, discussion on potential difficulties and ways of overcoming them, development of the performance plan for the next period; identification of support needs, and agreement on how and when to provide supports. Other information can be obtained through direct observation, documents and record analysis, and discussion with the beneficiaries. For addressing the implementation problems and development needs, separate problem-solving and development sessions such as performance coaching or guidance can be organized during the time the supervisor is available in the field.

Supervision Reports

Taking place towards the end of one supervision cycle, both are important activities for successful supervision. Supervision reports document the key findings of the supervision actions, and are particularly useful when supervision visits and sessions are used. But in all instances of supervision, even in case of informal and regular supervision taking place with the staff working at the same workplace as opposed to the distance workplace, some kind of reporting after each supervision cycle or a at a regular interval is necessary.

The supervision report should include the personal and work details of the supervisees, the main aspects of performance observed and discussed, the progress and achievements, the problems and gaps in performance, actions taken or should be taken for addressing them, the comments of the supervisors, the support and development needs, the supports and guidance provided or to be provided, and agreement on the follow-up actions.

Process of Supervision

If a well designed supervision system is in place, it automatically guides the process of supervision, and the results can be expected to be effective. The district health system needs to build an effective supervision system. However, supervision can be made effective by following some major steps in most of the situations. **Planning SMART**

Objectives:

As you discuss each item on your agenda consider how you can develop agreed objectives for the future. Think of an example in your work. Write it down and apply the following questions:

Specific Is it exactly what needs doing?

Measurable How will you be able to judge success or achievement? Can the whole task be broken down into manageable sizes?

Agreed Do you and your manager both understand what is to be done? Can you both agree with the task? Is there common ground about what is to be done and by whom?

Realistic Is this course of action achievable? Are there obstacles which will prevent success? Have you got the skills/knowledge/ time/ resources/ authority required to perform the task?

Timescale Have you got a target date for completion? Will you set review dates before the deadline? Is the time frame sensible taking account of holiday cover and other constraints?

Preparation for Supervision

Certain activities before the start of the actual supervision may help to make supervision effective.

- Checking of supervision requirements like supervision schedule, checklist, session plan, and methods and adjustments in them as required.
- Collection and study of relevant documents such as program plan, job descriptions, performance plans, previous supervision reports, progress reports.
- Information to the supervisees about the supervision actions, including visits, and about making necessary preparations on their part.

Implementation of Supervision Actions

This stage involves the actual supervisory actions.

- Establishment of contacts with the supervisees as planned in the schedule.
- Conduction of supervision visits, sessions and meetings as planned following the checklist and schedule.
- Study of reports and documents about the work and its progress.
- Review of work objectives, achievements, progress, problems with the concerned employees.
- Consultation with the other concerned persons such as beneficiaries.
- Identification of problems, gaps, development needs, and actions to address them.

- Provision of on-site supports, guidance, coaching, motivation, and instructions.
- Agreement on the performance plan for the next period and identification follow-up actions.

Reporting and follow-up

This stage involves post-supervision actions.

- Preparation and submission of supervision reports.
- Implementation of the follow-up actions as agreed in time.

An Illustration of Six Monthly Supervisory Schedule

Programme Coordinator (Supervisor): Yogendra Chaudhari, District: Dang

Supervisee Unit	Timing of Supervision	Action/Method
ECD Centers Area 1	1st Sunday of every month	Supervision visit, Supervisory session, Observation of facility and ECD centers, Documents study
Health Units, health posts Area 2	1st Monday of every month	Supervision visit, Supervisory session, Observation of facility and health service delivery, Documents study
Microfinance and economic activities, Area 2	1st Wednesday of every month	Supervision visit, Supervisory session, Observation of facility and Income generating activities, Documents study
Outreach clinics in health post, Area 1	2nd Sunday of every month	Supervision visit, Observation of service delivery, Documents study
Child clubs activities	2nd Saturday of every month	Supervision visit, Observation of child club meeting, their functions, Documents study
Child clubs facilitators	Every 2nd Tuesday of the month	Supervisory session, Documents study
Admin and Finance staff	Friday 2nd and 4th week of the month	Supervisory session, Documents study

A Partial Illustration of Detailed Supervisory Schedule

Supervisor: Yogendra Chaudhari, Programme Coordinator, Office: Sahara District:

Dang
Month: Mangsir

Date	Supervisory Details
Sunday 1	Supervisory visits to ECD Centers Area 1, from 9:30 AM – 3:30 PM; Supervisory sessions with ECD facilitators for one-hour each at the respective offices; Observation of the centers and interact with children and parents and documents study 30 minutes each. To discuss: progress, problems and next month plan and orientation on new planning procedures with the ECD facilitators.
Monday 2	Supervisory visits to the health post Area 2, from 11:00 – 1:00; Supervisory sessions with health staff for one hour; Observation of health post activities and services, interaction with patients. To discuss: progress, problems and next month plan and orientation on new planning procedures with the health staff.
3rd Wednesday	Supervisory visits in microfinance group. Supervisory session with Saving and credit supervisor from 11 AM – 12 Noon; Interaction with group members of saving and credit group. To discuss: progress, problems and next month plan and orientation on new planning procedures with the saving credit supervisor. Study of financial document.
Wednesday 4	…

Assignment Sheet 2.4(a)

Checklist of Supervision Practices

Individually fill in the checklist as given below and be prepared for discussing the supervision practices in your organization.

S.N.	Activities	Yes	No
1.	I never get opportunity to discuss about my performance and things need to be improved with my line manager.		
2.	In my organization most of the staffs are doing their job perfectly so we do not need to plan any supervisory activities.		
3.	In my organization performance review is done once a year by the line managers.		
4.	We always get immediate feedback from our supervisors for the improvement of our work performance.		
5.	I do plan my activities and review in monthly basis and agree together with my line manger.		
6.	In my organization there is mix of paid staff and volunteers members so it is not necessary to conduct supervisory meeting.		
7.	I am overwhelmed with my job so I do not have time to hold the supervisory meeting with my subordinates.		
8.	Supervision is waste of time because this does not recommend for salary increase or promotion in the organization.		
9.	Nobody supervises in our organization so I also do not bother to have regular supervision with my subordinates.		

Assignment Sheet 2.4(b)

Supervisory Meeting Preparation sheet

Make preparation for a supervisory meeting in the assigned role with the help of the checklists given below. Use the monthly plan given below as a basis for preparations.

Preparation by staff member (supervisee):

1. What activities were accomplished?
2. What changes were brought by accomplishing activities?
3. What activities could not be performed? Why?
4. What problems occurred while doing the activities? How the problems were solved?
5. Are there any problems which are not solved yet? What are those?
6. What did I do to solve the problems?
7. What resources, skills, supports and authorities are required to perform the tasks?
8. Did I get enough support and guidance from my line manager?
9. What I will be doing in the next month?

Preparation by supervisor:

1. What planned activities have been achieved?
2. What changes has it brought to the target group?
3. Which activities have not been performed? Why?
4. What problems were faced?
5. Why do you think the problems occurred?
6. How it could have done in better way?
7. What knowledge, skills, resources are required to perform the tasks?
8. Did you, as a line manager give enough support and instant feedback to the staff?
9. What training or coaching is required to the staff?
10. What are the plans for next months? (use first sheet for planning)

Monthly Performance Plan of a Staff Member

Name of the staff:
Month: August 2006
Supervisor's name:

S.N.	Activities	When to start?	When to complete?	What support is required?	Whose support?
1.	ECD Facilitators Training	2 August	12 August	Training materials, Trainers, Training hall. Budget	Office, Line manager, Trainer
2.	Awareness for ECD programme in three VDCs	13 August	20 August	Banners, Posters, Pamphlets	Parents, Teachers, Community people, child clubs
3.	Enrollment of children in the center	21 August	Ongoing		Facilitators, parents and community, child clubs
4.	ECD class starts in three VDCs centers	26 August	Ongoing		

Agreed by:

Supervisor
Date

Agreed and prepared by

Staff

........Activity Five

Understanding Delegation of Authority and Responsibility

Time: One hour

Why do this Activity?

This activity helps us develop a good understanding of the basic concepts and importance of delegation of authority and responsibility.

Learning Objective

- Explain the concept and importance of delegation of authority and responsibility for program implementation.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 35 minutes

Case Discussion Divide participants into small groups of four - five persons each. Give them Assignment Sheet 2.5. Ask each group to discuss the case based on the questions given at the end of the case.

Plenary Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Step 2: 25 minutes

Discussion/ Presentation Based on the discussion ask participants: What is their understanding of delegation? Why delegation is necessary for program implementation? What are the obstacles for effective delegation?

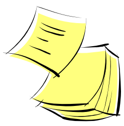
Facilitate the discussion on the concept, importance and obstacles of delegation showing visuals based on the materials given in handout. Give practical examples and encourage participants to share their practical experiences with delegation of authority and responsibility.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.5: Understanding Delegation of Authority and Responsibility
- Assignment Sheet 2.5: Case: In Absence of Director

Handout 2.5

Understanding Delegation of Authority and Responsibility

To get things done by others, a manager or leader has to delegate not only responsibility but also authority to subordinates regularly. But in most organizations it is not practiced effectively. Those mangers or leaders who usually delegate tasks and authority to others do not follow the principles and skills required for effective delegation. Ineffective delegation is better than no delegation. Effective delegation of responsibility and authority is crucial for the efficient and effective performance of managerial tasks. Those of us who lead and manage organizations must develop a good understanding of the basic concepts and steps for effective delegation.

What is Delegation?

The concept of delegation arises from the fact that the manager has the overall responsibility for and the authority over the work of the team. In the organization people want, and have the rights, to know where their leaders get their authority. People usually ask two questions: By what authority (power) are you doing this? Who gave you this authority (power)? The manager's job is to get the work done using other members of the team. This requires that s/he should assign tasks to them as well as the authority necessary to carry them out.

Delegation means handing over the responsibility and authority required to accomplishing a task without relinquishing final accountability. Delegation does not mean abdicating one's responsibilities. Delegating effectively is, in fact, a prime responsibility of the manager. It is a means by which results can be achieved through empowering and motivating team members to carry out tasks, for which the manager is ultimately accountable, to a specified level of performance. It is vital to understand three major words which frequently come in delegation function. They are (a) Responsibility, (b) Authority and (c) Accountability.

Responsibility

Responsibility means duty which one is bound to perform by any natural, legal or moral obligation. For example, a mother is naturally responsible to feed, clean, love and take care of her child. Law and rules are another source of responsibility. All the employees are bound to fulfill their responsibilities assigned by rules and regulation of the organization. As a human being we all have moral responsibility to respect others rights, and protect our environment where we live. But in delegation we will be focusing on legal responsibility.

Authority

Authority means to have the right and the power to command and to take action. In delegation responsibility and authority should go side by side and the delegatee should be appropriately utilizing required authority to accomplish the assigned responsibility. We can receive authority or we can create it. We can give it to others through delegation. We can use it wisely or we can abuse it. Authority can be an instrument for good or a weapon for evil, depending on how it exercised. There are different levels of authority that can be delegated to someone such as:

Low

- "Look into the situation. Get all the facts and report them to me. I will decide what to do".
- "Identify the problem. Determine alternative solutions and the advantages and disadvantages of each. Recommend on for my approval".
- "Examine the issues. Let me know what you intend to do but don't take any action until you check with me".
- "Solve the problem. Let me know what you intend to do then do it unless I say no".
- "Take action on this matter and let me know what you did".
- "Take action. No further contact with me is necessary on this matter".

High

Accountability

Accountability means liability or answerability. In the delegation process a manager can delegate responsibility and authority to his/her subordinate(s) but he/she can not transfer liability or answerability. A manager is always liable to the wrong or right performance of his/her subordinate staff and can not escape from his/her answerability by blaming the staff.

Need for Delegation

The inability to delegate results in overloaded managers and under-utilized subordinates. From organizational as well as personal points of view, these consequences are undesirable, and they will have negative implications. However, some managers have a belief that their jobs cannot be delegated. But, as a matter of fact, this is not true. The following questions help the manager determine whether or not s(he) needs to delegate:

- Is there someone who can do the task better than I can? Am I really benefiting from the expertise of my staff?
- Is there someone who, while doing the task slightly differently from me, or in slightly more time, can still achieve an acceptable level of performance?
- Is there someone who is paid lees than me who can do the task satisfactorily thus lowering the cost of task performance?
- If I cannot do the task until tomorrow, is there someone who can do it today?
- Is there someone who would benefit from doing the task, in terms of personal development?

Why Delegation?

If practiced effectively, delegation offers many benefits to both the manager and his/her subordinates. In particular, delegation:

- Makes for more efficient use of time by relieving the manager of routine and less important tasks and releasing him/her for crucial and proactive tasks.
- Reduces delay in decision making by allowing for decisions closer to action points and often improves the quality of decisions by bringing to bear information from subordinates who are close to the day-to-day problems.
- Develops and motivate staff by giving them opportunity to:
  - Perform their jobs well
  - Demonstrate ability
  - Develop skills
  - Experience new challenges
  - Be visible within the organization
  - Experience success
- Take decisions for their actions.
- Demonstrates a manager's trust and confidence in subordinates, which leads to more effective performance and better interpersonal relationships for all.
- Enhances the personal power of the manager within the organization.

Obstacles for Delegation

Delegation is an important function of the management for better performance but due to various reasons this does not happen effectively. The obstacles may come from both manager and subordinate sides.

Obstacles from Manager's Side

- Job priority: It is reasonable and easy to delegate the operational tasks to the subordinate but in NGOs most of the mangers prefer to perform the operational tasks rather than managerial functions because the managers understand the task better and have skills to perform operational tasks. Such kind of behavior and attitude blocks the delegation function in the organization.

- Skills: Most of the managers or unit heads do not have the delegating skills e.g. identifying the tasks to be delegated, training and coaching to the subordinates, monitoring the progress and giving and receiving feedback from the subordinates.

- Authority: Delegation of responsibility may equally demand the delegation of authority but most of the mangers do not want to delegate the authority. They are scared of loosing the power so delegation does not happen effectively.

- Mind set: Another obstacle from manager's side is her/his mind set. Some of the managers or leaders think that they can work in their unit better than others. They also feel comfortable to do things by themselves and think they can do quicker than others. Most of the higher authority in NGOs usually decides in crisis condition so they do not practice delegation. Unwillingness to share the expertise by the superior is the main obstacle.

- Upward delegation: There is fear of upward delegation by the subordinates so the mangers do not want to delegate. If the manager delegates the task then there is tendency of coming and asking every now and then by the subordinate which is a waste time for the manager. After waiting for a long time for the tasks to be accomplished some mangers have to complete the delegated job by themselves. This is ultimately upward delegation. So to avoid upward delegation the mangers do not practice delegation in the organization.

Obstacles from Subordinate's Side

- Time factor: If the staffs are already overloaded then they refuse to take extra job from the manager. Some jobs demand too much time so staff may not be ready to work for longer period.

- Skills: If the subordinates do not have knowledge and skills on how to do the job then they are reluctant to take more responsibilities. If there is no provision of training and coaching in the organization then effective delegation does not happen.

- Fear of criticism: Most of the subordinate staffs are scared of criticism on the mistakes by their superior so they do not feel comfortable to take responsibility from the manager or supervisor. If staff fear criticism and avoid risk.

- Trust: Effective delegation is implemented if there is mutual trust between the manger and subordinate. Very few managers allow subordinates to learn by their own mistakes but this is the main obstacles in the organization.

- System: In some organizations the system itself is a barrier to delegation. Some NGOs are seriously understaffed and they have to do all the works by themselves and there is no question of delegation. If higher authorities do not practice delegation then it won't happen in mid and lower level.

Assignment Sheet 2.5

Case: in Absence of Director

Sahara is an organization where 23 orphans are getting shelter. This organization was established 8 years back to provide services to the conflict affected children in Kaski. In Dashain it has a system of providing new clothes to all boys and girls in the shelter. Executive director used to go and buy the clothes for all children.

In one year's Dashain cloth distribution date was approaching but the director had to go out of country to attend Donor's meeting. He asked to the shelter in- charge to buy nice, colorful new clothes and distribute to the boys and girls before Dashain holidays. The shelter in- charge took all the responsibilities and rush to choose nice clothes. For her it took four days to get right color and size for all children. The shelter in- charge organized a happy hour in the organization. She asked one of the board members to distribute the clothes to all boys and girls in the presence of staff and board members. It was great fun; all the children were cheerful and happy.

After Dashain all children and staff joined the organization everybody was busy to perform their work. Children started studying and playing in the Hostel. Some teenagers shared with executive director that they got very nice clothes than previous years. After couple of days the executive director called the shelter in- charge and accountant in his office. He was furious with them because he found that cost of the clothes were high than previous years. He blamed to the shelter in- charge that she bought very expensive clothes for poor children who never had put on such clothes. He started blaming to the accountant for not giving the budget hints to the in-charge. He threatened them to deduct their salary.

Questions for discussion:

1. If you were shelter in-charge and accountant how would you have felt?
2. Why was the executive director not happy?
3. If you were shelter in-charge, what factors would you have considered before taking the responsibility?
4. If you were the executive director, what factors would you have considered before delegating the task?

……..Activity Six

How to effectively delegate?

Time: One hour

Why do this Activity?

This activity is designed to develop ability of participants to use a systematic process for effective delegation.

Learning Objective

- Use systematic steps for effective delegation in their organizations.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 15 minutes

Presentation Introduce the nine step process for effective delegation as given in handout giving examples of each step.

Step 2: 45 minutes

Group Exercise Divide participants into groups of their organizations. Provide Assignment Sheet 2.6 to each group. Ask them to choose one major task or assignment their organization is undertaking and prepare a delegation plan based on the nine steps.

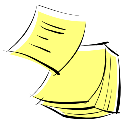
Plenary Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.6: How to Effectively delegate
- Assignment Sheet 2.6 Preparation of Delegation Plan

Handout 2.6

How to Effectively Delegate?

Effective delegation requires advance thinking and proper planning. Following are some steps which facilitate for effective delegation. This could be the guideline for the managers and leaders for successful delegation.

Steps	Tasks
Step 1 Define the task	The manager needs to be confirmed in her/his mind that which task is suitable to be delegated to the subordinate.
Step 2 Select the individual	The manager has to be clear to whom s/he is going to delegate the responsibility and authority. What are the reasons for delegating to that person?
Step 3 Assess ability and training needs	Is the other person capable (knowledge, skills, attitude and competencies) of doing the task? Do they understand what needs to be done? If not, you can't delegate.
Step 4 Explain the reasons	The manager must explain why the job or responsibility is being delegated and why to that person? What is its importance and relevance? Where does it fit in the overall objectives and performance?
Step 5 State required results	What must be achieved? Clarify understanding by getting feedback from the delegatee. How will the task be measured? Make sure they know how you intend to decide that the job is being successfully done.
Step 6 Consider resources required	Discuss and agree what is required to get the job done. Consider people, location, premises, equipment, money, materials, other related activities and services.
Step 7 Agree deadlines	There should be clear deadline fixed between two on when must the job be finished. Or if an ongoing duty, when are the review dates? When are the reports due? Methods of checking and controlling must be agreed with the other person. Failing to agree this in advance will cause this monitoring to seem like interference or lack of trust.
Step 8 Support and communicate	The manager need to think about who else needs to know what's going on, and inform them. Involve the other person in considering this so they can see beyond the issue at hand. Do not leave the person to inform your own peers of their new responsibility. Inform your own boss if the task is important, and of sufficient profile.
Step 9 Feedback on results	It is essential to let the person know how they are doing, and whether they have achieved their aims. If not, you must review with them why things did not go as planned, and deal with the problems. You must absorb the consequences of failure, and pass on the credit for success.

Assignment Sheet 2.6

Preparation of Delegation plan

In the assigned group of your organization, choose a major task assignment and prepare a delegation plan based on the following steps.

Step 1: What is the task or responsibility?
Step 2: Who do you want to delegate the task?
Step 3: Do the person/team has necessary ability? What training does the person/ team require/
Step 4: Why the task is important and why the person / team is to perform it?
Step 5: What results are expected?
Step 6: What resources are required for performance?

Step 7: When the task is to be completed?
Step 8: Who else is to be informed about the delegation and what supports from whom are needed?
Step 9: How feedback will be given to the performer?

........Activity Seven

Understanding Decision making

Time: One hour

Why do this Activity?

This activity will help us to understand the concept and importance of decision making, particularly participative decision making, for program implementation.

Learning Objective

- Describe the concept and importance of participatory decision making for program implementation.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 30 minutes

Group Discussion Divide participants into small groups. Provide Assignment Sheet 2.7(a) to each group. Assign each group one incident given in the Assignment Sheet and ask them to discuss the incident and arrive at some kind of decision based on the questions given. The discussion would be based on how each group moves forward and comes to the conclusion and decide.

Plenary Assemble the groups. Have each group share their outcomes on how did they arrive at the decision. Facilitate the discussion by asking such questions as: What is required for making a decision? How the alternatives generated? Who analyzed the alternatives? How did you reach to choose the best alternative?

Explain what is a decision and decision making based on the discussion and the materials given in handout. Also discuss what the categories of decisions are and why decision making is necessary for program implementation.

Step 2: 30 minutes

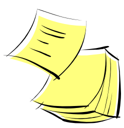
Group Discussion	Divide participants into small groups. Provide Assignment Sheet 2.7(b) to each group. Ask them to discuss the case based on the questions given.
Group Exercise	Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.
Plenary	Explain the different approached to decision making with focus on the participatory decision making process based on the materials given in handout. Give practical examples and encourage participants to share their experiences of having taken participatory process of decision making.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.7: Understanding Decision making
- Assignment Sheet 2.7(a): Critical Incidents – Time to Decide
- Assignment Sheet 2.7(b): Case Study – Reduction in Salary

Handout 2.7

Understanding Decision making

"A CHOICE MADE BETWEEN TWO OR MORE ALTERNATIVES."

Decisions and process of decision making are fundamental to all management process, just as they are to everyday life. A manager's role is to make a series decisions - some very critical, others routine. Making a right decision is always a challenge to a manger or leader. A decision can be made instantly but more often it involves the decision makers in a process. To arrive at a decision, a manager must identify issue, define the purpose of making a decision, generate and list the available alternatives, choose between or among the alternatives, and turn that choice into action. It is equally important to have participatory structure, system and methods to make the appropriate and right decisions in an organization. In most of the organizations, the staffs including the senior management team members and even board members make quick and unilateral decisions without following the principles and process of decision making. Such ad hoc decisions often lead the organization to a wrong direction.

Concept of Decision Making

Decision making undoubtedly is one of the most critical of all leadership and management functions. Decision making is primarily an attempt to answer the ever growing questions of "What shall we do?" "Which way shall we go from here?"

"Decision making involves identifying alternative courses of actions and choosing an appropriate one to address a situation, issue or problem based on the values, criteria and preferences of the decision maker".

This definition highlights the information gathering function of decision making. To generate various alternatives information needs to be gathered. Very few decisions are made with high certainty because complete information about all the alternatives will not be available. Thus, every decision involves a certain amount of risk.

Making a decision implies that there are alternative choices to be considered, and in such a case we want not only to identify as many of these alternatives as possible but to choose the one that best fits with our objectives, resources available, time factors, criteria, desires, preferences, and values etc. The choice of option should be based on either organizational or group or individual purpose. For example if an organization wants to replace the old computer then there might be some objective for replacing it. The decision can not be made only on the basis of objective but it needs to be looked at the resource available. There are varieties of computers in the market, some are relatively cheap and others are expensive. The organization should assess the budget and choose the best one suitable to the resource available. Time factor also influence the decision, e.g. some decision can wait bit longer and some need immediate action. Looking the urgency of the action the decision maker either can wait for some time or make quick decision. Some managers intentionally delay in deciding. This practice has advantages and disadvantages. Delay in decision making hampers the program, performance and achievements where as it has some advantages as well. Delayed decision may gradually reduce the external and internal pressure to make unwanted decision, may allow time to gather more information and create more alternatives.

Categories of Decisions

The manager or leader of an organization has to make different categories of decisions. Those categories include strategic, operational, emergency and routine decisions. The most important job of the manager is to make strategic decision to take the organization forward. It includes analyzing internal and external factors, setting organizational aims, objectives, approaches, strategies and transfers those in specific and doable action. This is very time consuming and important task.

The manager has to make operational decisions in the organization. The operational functions are related with the people in the organization like hiring, firing, motivation, staff development etc. so this needs to be dealt very sensitively. Sometime manager has to deal with unforeseen situation and make emergency decisions such as sudden strike by staffs. Emergency decision is quite tough because it needs quick response. In day to day operation the managers have to make routine type of decision. This category of decision making may be relatively easy because there may be lots of experiences e.g. contributing in regular health meeting organized by District Health officer. The manger can delegate such type of decision making to the subordinates whom she/he thinks capable of doing.

Why Decision Making?

Decision making is important in management for the following reasons:

1. **Gives direction to the organization:** A creative thinking and rational decision making process always gives direction to the organization. Actions in organizations are generated through effective and appropriate decisions.

2. **Develop analytical capacity:** Those who are regularly involved in the decision making process develops their capacity and competencies in identifying the issues, information collection, generating alternatives, choosing best options and implementing the action. Those who are involved in decision making activities will be more capable to solve the problems.

3. **Reduce uncertainty:** We can say that the major challenge of decision making is uncertainty, and a major goal of decision analysis is to reduce uncertainty. Ad hoc decision may lead the organization in wrong direction but if the managers, staff and board members follow the steps and process of decision making then it helps to

reduce the uncertainty. In the decision making process all the involved gather information, generate alternatives, analyze the pros and cons of each alternative and choose the best one for implementation. But it can not eliminate the uncertainty.

Approaches to Decision Making

There are two major approaches to decision making in an organization, the authoritarian method in which an executive figure makes a decision for the group and the participatory method in which the group decides what to do.

1. Authoritarian. The manager makes the decision based on the knowledge s/he can gather. S/he then explains the decision to the group and gain their acceptance of it.

2. Participatory: The group shares ideas and analyses, and agrees upon a decision to implement. Studies show that the group often has values, feelings, and reactions quite different from those the manager supposes they have. No one knows the group and its tastes and preferences as well as the group itself.

Each and every person in the organization is involved in making the decisions in his/her own working level. For example, executive managers, board members and senior team members are involved in making policy and strategic decision, developing different guidelines, designing personnel and financial policies. Implementing staff are involved in making routine level of decision within their job.

The decision making process becomes participatory when all the stakeholders and related persons are actively involved in making important decisions and implementing the decisions for better performance in the organization. In many organizations, decisions are made by only senior management team and board of directors and other concerns are told to implement the decisions. Some of the organizations form different types of committees to facilitate the decision making process but again such committees are formed where only senior members are the representative.

In participatory decision making process all organizational members, board members and the stakeholders who are the implementers and the beneficiaries need to be involved in understanding the issues, collecting information, generating options, analyzing pros and cons of each alternative and choosing the right options. Obviously, it is not possible due to various reasons to involve everybody in every type of decision making process. Every time and moment the senior team members, who are accountable for all the decisions, may not be in a position of making participatory decisions. For example, management may not be in a position to decide the salary as demanded by the staff members. So participatory decision making depends on the situation and nature of the job to be performed.

The participatory decision making is more preferable than authoritarian type of decision making. The reasons are: the participation of all members generates commitment and ownership in the decisions which they have made. It ensures better implementation of the decisions. The participatory process generates commitment of all involved because it allows people to understand the rationale; purpose, alternatives, pros and cons of each alternative and people will be clearer why one option was chosen in stead of others. In participatory process there are evidences that decisions are more rationale and quality because everyone involves in collecting and analyzing information from different perspectives. Participatory decision making allows for addressing the real situation and need of the people and program.

Why Participatory Decision Making?

- It develops better understanding of the decision made in all level
- All staff and concerned people contribute to make the decision rational and quality
- It generates commitment and ownership to implement the decisions
- It creates acceptance and possibility for implementing for better performance.

Time spent in two types of decision making process:

Approaches to decision making	Actual decision making	Explaining decisions to others	Getting acceptance
1. Authoritarian	5 min	30 min	30 min
2. Participatory	30 min	0 min	0 min

Clearly, just from an efficiency standpoint, participatory decision making is better. More than this, it has been shown many times that people prefer to implement the ideas they themselves think of. They will work harder and more energetically to implement their own idea than they would to implement an idea imposed on them by others. Everyone loves her/his own ideas and decisions, and s/he will always work harder on a decision supported by own vision.

How much participatory a manager could be? Let's see one example:

Issue: Board members are asking for meeting allowance.

Process 1: Chairperson, Executive Manager and Treasurer sit in a meeting and decide giving Rs.150.00 per meeting per person to the board members and announce in the meeting.

Process 2: Executive Manager puts the issue of "meeting allowance" in the board meeting and asks them to discuss and decide.

Process 3: Executive Manager facilitates by putting the agenda and asking what information do we need to decide. Then people may generate following questions:

Why do the board members need meeting allowance? How frequently the meetings will be held? Who participate in the meeting? How many members take part in a meeting? How much money is required in a meeting? How much do we need in annual basis? What is the financial situation? From which heading will we be giving the allowance? Is there enough money to spend in allowance? What is the practice of other organizations? Can we continue giving allowance in future? If yes, how will we generate fund? Will poor people be more benefited from that amount than distributing allowance to the Board members? Is this fair? By when, we must take the decision?

If all the involved start seeking the answers of each questions generated then the process will be participatory. In this situation all the concerned will be involved in collecting information to answer the question and analyzing them. This process will develop the capacity of the people involved and whatever decisions they made they will own it. In order to derive maximum benefit from the use of participatory decision, the process through which it is prepared should be properly and carefully planned.

When to Decide?

Basically there are four different types of events when managers require focusing and making the effective, appropriate and rational decisions.

Disturbances: When problems occur in the organization then manger has to be involved in resolving the problems. If it is found that organizational structure is not suitable to implement the program and to achieve the objectives then management should be ready to take hard decision of changing the structure as well. Sometime an organization faces emergency due to internal crisis or external uncontrollable situation, at that time also managers have to make instant decision.

Opportunities: Managers have to make decisions to take the new opportunities for the good of organization and people. The opportunities may come through the capacity and growth of the organization, changing in people's needs, changes made in government policy and donor's strategies. For example, the government and donors have enforced the law that same person should not have dual role as board member and paid staff in the same organization. The management should ensure that the policy is implemented in their organization. For some organizations this will be tough decision. An active organization always should be ready to manage the changes occurred inside and outside the organization. The management team needs to be consciously analyzing the opportunities and ready to decide for change. Of course change is painful but it is inevitable.

Resource allocation: Resources (money, human resources and supplies) are always limited so to make the rational use of those resources manager need to make decisions. Sometimes the management should reallocate the budget as and when needed. Likewise it can change the role and responsibilities of certain staff or through reengineering the structure.

Negotiation: Managers need to make decision to negotiate with other individuals and institutions on behalf of the organization.

Assignment Sheet 2.7(a)

Critical Incidents: time to decide

In small groups, discuss the given critical incident and arrive at a decision based on the questions listed at the end of each incident.

Incident 1

Your organization is formed for ensuring access and quality education for poor children in Bharte VDCs of Lamjung district (Mid-hill). All school going age children are out of schools due to economic condition. How to start and continue their education?

1. How do you bring them to schools?
2. What options are available?
3. How would you choose the best option suitable to that situation?

Incident 2

You are 10 KM away from the hospital. Very quickly you have to go there to see one of your sick relatives.

1. How would you go?
2. What options are available?
3. How would you choose best option?

Incident 3

Your sister has recently passed SLC exam in first division. She likes to continue her education.

1. What subject would she go for?
2. What alternatives are available?
3. How she will choose the subject?

Incident 4

You have to urgently hire two Child Club Facilitators. There are five candidates in the interview.

1. What options will you take for selecting facilitators?
2. How will you select two facilitators out of five?

Assignment Sheet 2.7(b)

Case study: Reduction in salary

In small groups, discuss the case based on the questions given and be prepared fore sharing your findings to the larger group.

Sahara is an NGO working in the field of children. At the beginning Sahara had low number of staff and funding was not a problem. Gradually it expanded its programs. To implement the expanded program Sahara slowly hired staffs and trained them. Obviously, Sahara had to pay high amount of money in the salary and benefit. The Board Members who were volunteers could not keep quiet. Thinking its long term life and economic sustainability of the organization, the board members put pressure on the management to deduct 20 percent amount from staff salary and deposit in the name of the organization. Under the direction of the management team the accountant started to deduct 20 percent amount from the salary of individual staff. Some of the staffs were shocked when they got reduced salary. The staff asked to accountant but she said this is the order from management.

Discussion Issues

1. What type of decision is this?
2. Who made the decision?
3. What could be the consequences of such decision?
4. If you were a manager how would you have decided?
5. What is participatory decision making and what is its importance?

.........**Activity Eight**

How to make effective decisions?

Time: One hour

Why do this Activity?

This activity will help use appropriate and systematic process and structures for effective decision making. It also presents factors to consider for making appropriate decisions in the organization.

Learning Objective

- Use appropriate and systematic process and structures for effective decision making while identifying major factors to consider for making appropriate decisions.

How to do the Activity?

Note

Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 15 minutes

Presentation /Discussion

Discuss with participants the possible structures that may be set up for making various decisions in NGOs based on their experiences and the materials given in the handout.

Share with participants the format and example of decision making process as given in Assignment Sheet 2.8.

Step 2: 45 minutes

Group Exercise

Divide participants into small groups. Provide Assignment Sheet 2.8 to each group. Assign to each group one of the following issues for discussion and decision.

Group Work

1. Offering program job to the accountant.
2. Organize public audit
3. Stop giving two roles to the same person as board member and staff
4. Provide a motorbike to a supervisor

Ask them to discuss the issue following the structure and process as given in the example.

Plenary

Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

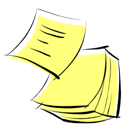
Explain the major factors to consider for making appropriate decisions. Give practical examples and encourage participants to share their experiences of having taken participatory process of decision making.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.8: How to Make Effective Decisions?
- Assignment Sheet 2.8: Group Exercise: Decision Making

Handout 2.8

How to make effective decisions?

Making effective decisions for program implementation requires the establishment of certain decision making structures and following a systematic process.

Decision Making Structures

Many organizations form various committees and groups for making decisions in different level. These may be policy making team, planning team, and thematic team with role and responsibilities as a part of their organizational structure. There may be the representation from mid level managers but the representation of supervisory and implementation level people do not often exist in decision making body. Being a small organization NGO managers are involved in all the committees and influence in decision making process. In some of the organization partner staff also closely work with the team of local organization and directly or indirectly they also influence in the decision making process.

This is the responsibility of the top management (Board and Chief Executive Officer). They must agree on the need for participatory decision and show the commitment to follow the appropriate process and principles of decision making in the organization. It is not only following the process of decision making but also commitment to implement the decision made. If the decision is implemented then the people involved will be encouraged to practice it in the future too.

In an organization there are different sectors and functions to be decided so some structure and forum will facilitate the process. If it is for policy decision then a structure of senior staff and some (two or three) board members, a representative from the partner organization, representative from the concerned section or department, a few (two) representative form the stakeholders will be appropriate. Likewise in functional level decision there should be representation from senior management team members, one member from concerned section and a few members from the implementation level. This needs to be agreed beforehand. Once decision is made then, there should be a forum for sharing the decisions.

Steps for making decision

A well defined procedure or logical steps facilitate in performing the tasks easily and reaching into meaningful objective. There are some steps to be followed in decision making process. In a typical decision making situation, as the decision makers go from step to step, s/he will probably find moving back and forth necessary.

Identify the Issues

First of all the decision makers need to be clear on what is the issue to address. In broader term the decision making issues may arise from opportunities, disturbances, resource allocation and negotiation. There may be different issues in the organization so before making the decision the manager needs to be clear which issue is s/he going to pick up? In another term the manager needs to find out from which categories the issue has been raised e.g. is it routine type of decision, is it from emergency, is it from operational level or is it from strategic point of view. After identifying the issue the manager has to determine the scope and limitations of the decision. For example, let's take an issue to follow through all the steps. Suppose a person has dual role as a paid staff and board member in the organization. This is an issue for the manager to be dealt with.

Set the Purpose of Decision Making

After identifying the issue, the manager needs to set the purpose of making the decision. Why the dual role should be eliminated or keep it as it is? If the organization is going to keep the position as it is then there is no need of dealing this issue but if it is going to be changed then manger need to be clear in the objective. Why this needs to be change?

Collect Information

The manager with the help of other should collect relevant information. Why it needs to be change? Has the government policy changed? What problem has it brought in the organization? How many of them are taking dual role? What is the practice in other organizations? What will it bring if it is changed? Who will oppose for changes? How you will convince those people?

Get as many facts as possible about a decision within the time limits and your ability to process them. But remember that all the required information can not be collected. If so, then decision must be made on the basis of partial information. Lack of complete information must not be allowed to paralyze your decision. A decision based on partial knowledge is usually better than not making the decision when a decision is really needed. There is a proverb that "any decision is better than no decision." Also as part of your collection of facts, consult those who will be affected by and who will have to implement your decision.

Develop Alternatives

Make a list of all the possible alternatives you have, including the choice of doing nothing. In the dual role issue there may be different alternatives e.g.

a. Resign from board member and work as paid staff

b. Resign from paid staff and stay as board member

c. Keep quiet for the time being and let it be, unless the pressure comes

d. Minimize the role as board member (no contribution in policy decision)

e. Change the position (From executive role to general member role)

f. Ask to resign from both positions

Also be sure to think about not just identifying available alternatives but creating alternatives that don't yet exist. For example, keep that person as staff and ask her/him to resign from board member but give space to take part in board meeting as an expert.

Analyze Pros and Cons of Each Alternative

This is the evaluation of each alternative. Consider the negative of each alternative (cost, consequences, possible problems to be created, dissatisfaction of the member, no acceptance by others, etc.) and the positive of each (money saved, time saved, happiness to the person, contribution etc.). From the above issue let's take one alternative as an example;

a. Resign from board member and work as paid staff

Advantages	Disadvantages
1. Organization will follow the government policy.	1. No contribution in policy decision
2. There will be no complaining from others.	2. Loose opportunity to be the chair person of popular organization
3. Another person will have opportunity to be the board member	3. Loose social prestige
	4. May loose job after the project is finished

It would be better to involve the concerned person to analyze the advantages and disadvantages to each alternative.

Make the Decision

If you are making an individual decision, apply your preferences (which may take into account the preferences of others). Choose the path to follow, whether it includes one of the alternatives, more than one of them (a multiple decision) or the decision to choose none. If it is group decision then put your views with analyzed facts. In this example if other agree then newly created alternative “keep that person as staff and ask her/him to resign from board member but give space to take part in board meeting as an expert” will be the best option. Share the decision with other concerned people e.g. other board members, stakeholders, donors, government body. Thank that person for being very professional and helping the organization in such crucial decision. And of course, don't forget to implement the decision and then monitor the implementation.

Steps for Decision Making

1. Identify Issues (What exactly has to be decided?)
2. Collect information (What information is required to make the decision?)
3. Undertake analysis (What are the options?)
4. Evaluate options (What are advantages and disadvantages?)
5. Identify choices (What option is the best?)

Such kind of systematic methods of making a decision ensures that all the correct issues are addressed, necessary information is gathered, all alternatives are properly considered and compared, difficulties are identified and feasibility assessed and consequences are taken fully into account.

What factors need to be considered while making decision?

Knowledge

Knowledge is an important factor in good decision making. Without a wide range of knowledge, sound decision making is impossible. It provides one with materials from which a manager may construct the various alternatives related to a good and appropriate decision. One must store knowledge in one's mind through reading, listening and observing. The people gather information and facts with out knowing their meaning. Information with out understanding has little practical value. Relevant information need to be documented properly for future use.

Experience

A manager's experience is valuable in decision making process. From her/his experiences a manager can relate knowledge to cause and effect. It helps decision makers understand how knowledge can be applied in practice. The value of experiences increased when we learn how to interpret it. Improper interpretation leads to wrong decision.

Skills

As mentioned earlier decision making is a challenging job so who are involved in making decision should have certain skills. This is an art as well. Here are some essential skills mentioned which a manager needs to have. If a manager lacks some skills then s/he must have opportunity to learn those skills.

- Ability to recall: This ability to remember events and information which will help in making a good decision. Ability to recall can be improved through training, coaching, practicing and reviewing.
- Ability to form a comprehensive overview: A decision maker needs to have an ability to see all the related information, external and internal situation, policy and practices, events and action comprehensively. Many

people have difficulties in seeing a broad picture of the issues and circumstances which are existed before them.

- Ability to identify the issues: There may be so many issues arise in the organization but manager should be able to identify the issue to be dealt with. He/she should have ability to specify the issue for what he/she is going to make decision and why.

- Ability to break down the major issue into the smaller parts: It will be difficult or impossible to put the larger into the process of decision making so a manager should be able to simplify the issue into smaller part.

- Ability to interpret the information: The manager should be equipped with the skills of interpreting the collected information.

- Ability to construct alternatives: The task of decision making is to choose the best option from available alternatives. A manager should not only be able to create possible and available alternatives related to the issues but also to generate new alternatives with the help of gathered information and experiences.

- Ability to make the right choice: The manager should have ability to make the best choice out of generated alternatives. While choosing the best option he/she should consider the consequences and cost (in terms of money and value of the work).

Organization

A professional decision maker always needs to organize her/his resources, time, work and facilities. This requires self-discipline and planning. S/he must provide time for constructive and creative thinking. Very few leaders make this provision for themselves. An effective manager must delegate smaller and routine decision making part to the coworkers so that s/he will have more time to think about strategic decision.

Tips for decision making

1. Be clear on the issue (s)
2. Develop understanding about the purpose of making decision
3. Collect information and facts
4. Explore possible alternatives which are related with the issue.
5. Analyze advantages and disadvantages from different angle of each alternative.
6. If you find that previous decisions are workable then make use of them

7. Make long term decisions with the short term in mind.
8. Change decision that are no longer appropriate
9. Consider the implication of each decision.
10. Assess your decision making abilities.
11. Always give your reasons if rejecting a decision made by the delegate.
12. Never postpone vital decisions make them quickly.
13. Be aware of who will be affected by your decisions.
14. If you found difficulties then take advice from others.

Assignment Sheet 2.8

Group exercise: decision making

Carefully study the attached example of a format for making decisions. In small groups, discuss the assigned issue to your group and make decisions following the process and structure as shown in the example.

Format for Making Decision

S.N.	What is the issue?	What are the purposes of making a decision?	What are alternatives?	Pros and cons of each option	Who decides?	Who is responsible?

Example and Suggested Format for Making Decisions

S.N	What is the issue?	What are the purposes of making a decision?	What are alternatives?	*Pros and cons of each option	Who decides?	Who is responsible?
1.	Pay meeting allowance to the Board members.	a. To get contribution from all Board members in decision making. b. To compensate for their time.	1. Stop this idea. 2. Pay them in hourly basis. 3. Change the demanding members. 4. Honor/award socially rather paying cash.		Board members and program manager.	Chairperson of the organization

*Analysis of pros and cons:

Alternatives	Advantages	Disadvantages
1. Stop this idea.	1.i. People will not come for money, whoever comes contribute openly 1.ii. It saves money for other work 1.iii.It won't create precedent and the organization has not to pay now and then	1.i. Board members may not come to the meeting, if they come contribution may not be as expected.
2. Pay them in hourly basis.	2.i People will be motivated and contribute properly. 2.ii Decision making process will be smooth because the number will be fulfilled	2.i Decision making process will be slow because members would like to come next time to get money 2.ii. There will be no volunteerism 2.iii. How long the organization will be paying? 2.iv. Create precedent for future.

……..Activity Nine

Understanding Communication

Time: One hour

Why do this Activity?

This activity will help develop a better understanding of the meaning and importance of communication in program implementation. It also introduces barriers to effective communication. It covers some important communication skills such as listening and questioning.

Learning Objective

- Explain the concept, importance and barriers of communication in management and use important communication skills.

How to do the Activity?

Note	Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 20 minutes

Group Exercise	Divide participants into small groups. Provide Assignment Sheet 2.9(a) to each group. Ask them to discuss the issues.
Plenary	Assemble the groups. Have each group share their findings orally. Discuss the concept and importance of communication in organizations based on the discussion. Encourage them to share their real experiences and present the concept and importance of communication based on the materials in handout. Explain the styles of communication based on the materials given in handout.

Step 2: 15 minutes

Discussion	Distribute Metacards to each participant. Let them identify the barriers to communication in work situation and list a few points on the Meta card. Every individual has to write one barrier in one card with a marker.

Ask each individual to stick his/her card on the board. Let one of the participants read the points loudly and facilitate them to give some practical examples. Avoid duplication while sticking the cards on the board. Explain main barriers to communication**.**

Step 3: 25 minutes

Presentation Introduce various questioning and listening techniques as important communication skills on the basis of the materials given in handout. Give examples.

Role Play Ask four volunteers for role play. Pair them up into two dyads. Give Assignment Sheet 2.9(b) containing role play situations. Ask one pair to perform role situation one. Another pair is to perform role situation two. Ask other participants to observe the two role plays.

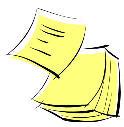
After role plays, ask feedback from the role players and observers. Give your feedback.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.9: Understanding Communication
- Assignment Sheet 2.9 (a): Case Discussion – A Day in a Health Post
- Assignment Sheet 2.9 (b): Role Play – Questioning and Listening

Handout 2.9

Understanding Communication

Good communication is the lifeblood of organizations. It takes many forms such as speaking, listening, reading and writing. Managers, staff and others are involved in communicating to one another for gathering and disseminating information, to make decision, increase understanding and relationship, and mange information for getting things done. The manager spends most of his/her time in communicating with others e.g. guiding and giving direction, supervising people and giving feedback, motivating staff, negotiating with others, attending meeting inside and outside, writing reports, memorandums, receiving and forwarding email etc.

What is Communication?

"Communication is a process in which two parties try to exchange the meaning, ideas, feelings and symbols and develop understanding and relationship". Communication is not only transferring the information from one person to another but also exchanging the meaning and feelings between two people or one person to the group of people.

Communication happens all the times: In the organization managers spend most of their time communicating with others in different form e.g. negotiating with others, organizing and participating in meeting, motivating staff, supervising the coworkers and giving feedback, writing memos and letter, making participatory decision etc.

Communication helps to understand rather than blaming: In effective communication people ask questions, listen to other, seek logic and options, look for facts and opinions and give and receive feedback that helps them to understand each other and minimize blaming.

Communication is the process of influencing and convincing: There is some confusion that once the information or message is passed on to another person then the process of communication is finished. But it is not only telling to people but getting their responses (positive or negative), influencing others to act on that.

Communication is also a non-verbal process: While communicating information and messages people use their body language too. Through their body language and facial expression people communicate intended or unintended message without being aware.

Communication develops relationship: Communication is a two way process. It is communication which helps to develop and maintain the relationship with people. The managers' job is getting tasks done and needs to motivate staff, coordinate work and people and build the relationship with staff and others by effective and assertive communication.

Two way and smooth communication helps:

To strengthen team work

To generate accountability and ownership

To establish effective coordination

To develop understanding and relationship

To minimize conflict

Helps to give and receive immediate feedback for improvement

What communication is not?

- Communication is not assumption.
- Communication is not an easy process; people do have their own perception, which makes the communication process complicated.
- Communication is not just to say and hear words and sentences.
- Communication is not to impose with meaning that you already know,

Communication Styles

Passive

This is where a person takes no action or never stands up for himself/herself. They continually put others first and always gives in to what everyone wants. They remain silent when something hurts or bothers them; in fact, they are the ones who apologize a lot. The person having such type of communication style does not want to embarrass others and always tolerate. They do have psychological feeling that no one should be hurt due to their own reason. The people who are in this category can not say "NO" to others, do not give and ask logics and reasons in any decisions, ideas and views. They usually keep quiet, agree by nodding, say yes to others, always feel pressure, they put their concern through others if they have any. Such types of persons feel easy if they are asked by the seniors. The managers and senior members should be encouraging them to express by asking questions, letting them to ask questions and responding, giving specific tasks and providing opportunity to work in pair and small group.

Aggressive

This is one who stands up for their rights without considering the other person's rights and feelings. They put themselves first at the expense of others and try to overpower and put other party down. In their mind, it is important to achieve their own goals no matter what happens to anyone else. These people blame others rather than dealing with the problems and never care long term relationship with other people. They do not listen to others and allow question. By nature they are very directive and pushy. Such types of managers look autocratic and create fear on other.

Assertive

These persons are able to stand up for their own rights or beliefs without putting someone else down. They respect themselves and they also respect the other persons. They listen and talk to other people with logics and reasons. The assertive people always try to deal with the problems rather than blaming others. They are able to express both positive and negative feelings. They are confident, convincing and persuasive but never "pushy". They reserve their judgments and manage their aggression. It is said that this type of person has very good negotiation and leadership skills because they are concern with solving the problems, giving and receiving feedback and building and maintaining the relationship with others. Such managers are more participatory in decision making believe on team work. It has been proven that assertive style of communication is more effective but needs more practice.

Here are some features of assertive type of manager:

Contents	Methods or Process
They are result oriented They set and focus on objectives They enjoy performing the tasks They concern on achievements They develop efficiency They take responsibility They deal with problems	They seek opinions and facts They do follow the procedures and process They work in planned way. They give and receive feedback for better performance. They share experiences with others and respect other's experiences. They seek alternatives for decision making. They look for evidences and logics.

Common Barriers in Internal Communications

i. If I know it, then everyone must know it: Perhaps the most common communication problem in organizations is managers' assumption. They usually assume that staff should be aware of the required information. Usually staffs are not aware unless management makes a deliberate attempt to carefully convey information.

ii. We hate bureaucracy because we are small in size: When organizations are just getting started, managers and senior staff do not want to take burden of writing the policies and procedures. Due to its small size everything is done through oral communication. Writing something down can be seen as a sign of bureaucracy and to be avoided. As the organization grows, it needs more communication and feedback to remain healthy, but this communication isn't valued. As a result it increases confusion among internal staff. So the management should realize the need for increased, reliable and frequent communications within the organization. Writing policies and procedure sets standard and makes communication easy within the organization.

iii. I told everyone, or some people: Another barrier is not really valuing the importance of communication by management and assuming that it just happens. So they're not aware of what they told to whom, even when they intended for everyone to know the information.

iv. Bias in providing information: In expanded organization with increasingly diverse workforce, it's easy to believe that managers have conveyed information to someone, but managers aren't aware that the staff interpreted differently than they intended. Unfortunately, managers won't be aware of this problem until a major problem or issue arises out of confusion.

v. Our problems are too big to listen to each individual: In larger organizations managers express that they do not have time to listen to every one’s problems or each department issues. Particularly when staff is tired or under stress, it's easy to do what's urgent rather than what's important. So people misunderstand others' points or understand their intentions. This problem usually gets discovered too late and takes time and resources to resolve them.

vi. No problems, no communication: Communication problems can arise when inexperienced management interprets its job to be solving problems and if there aren't any problems/crises, then there's nothing that needs to be communicated. As a problem shooter if the manager does not share experiences, give required information to the staff then communication breaks. They forget to realize that smooth communication and flow of information prevent many problems to be occurred within the organization.

vii. Data is must: As organizations grow, their management tends to focus on matters of efficiency. They often generate systems that produce substantial amount of data, raw information that doesn't seem to really be important. All the people are busy in collecting information and documenting them and they do not have time to communicate other important factors among themselves for the better performance.

Viii. If I need your opinion, I will ask you. Lastly, communications problems can arise when management simply sees no value whatsoever in communicating with subordinates, believing subordinates should shut up and do their jobs as per their instructions and directions.

Apart from these there are other barriers to communication. People have different behaviors and attitudes that block communication. Following strategies may help to reduce the behavioral barriers to communication.

Barriers	Strategies
People have denial attitudes.	Be patient, persistent
Some people have prejudice thinking.	Listen them, ask them, respect them, use them as a resource persons
People have Interrupting behavior	Tell what objectives are; Remind them about the purpose of the discussion. Some Ignoring also help to monitor the interrupting behavior.
Language may be the barrier even they speak local dialect.	Use understandable language/Local language with the receiver.
Some are frightened to communicate with others.	Talk to male and female both Empower them with communication skills like asking. Listening, presenting skills. Listen them and encourage talking in peer then in small group.
Cultural Values	Do not try to change others cultural values Facilitate them to explore several alternatives. Maintain confidentiality
Lack of Trust	Create supportive environment Talk about family and their own work environment Be informal Low task oriented
Shy	Mix with similar age, cultural and occupation group Give examples, share own experiences Communicate separately so that shy will be reduced.
No time	Ask for their schedule and place Bring the service into the door
Too much information	Make message short and concise Build on what do they know Focus on must learn Be to the point

Effective Communication

Effective internal communications start with effective skills in communications, including basic skills in listening, speaking, questioning and sharing feedback. These can developed with some concerted review and practice. Perhaps the most important outcome from these skills is conveying that you value hearing from others and their hearing from you. A key ingredient to developing effective communications in any organization is each person taking responsibility to assert when they don't understand a communication or to suggest when and how someone could communicate more effectively.

Listening

In personal and professional life, for smooth communication listening techniques are vital but many people lack this skill. How you listen to others conveys the meaning to the other person and helps to exchange the information and develop understanding. Managers are always in search of information, looking for consensus, negotiating with others, getting suggestions and feedback and developing the working relationship so they should be listening to others very actively and attentively. Good listening habit not only helps to gather information but also encourage other person to speak and share more information.

As a leader or motivator the manager has to deal with the personal and professional issues in the organization. In different situation manager should be empathetic to her/his staff and listen their concern attentively. Here empathizing means is to imagine own self in other person's situation, trying to understand what they are thinking, what problems are they facing and letting them to feel comfortable. The manager can be an empathetic listener by talking less, asking open question, listening attentively without interrupting the speaker and paraphrasing some words in between.

To make good decisions a manager needs to be analytical. The process of analysis requires more depth information which comes from active listening. For such purpose the manager has to use analytical questions to discover the reasons behind the speaker's statements, problems or issue. The manager has to ask questions very carefully so that she/he can get the clues and put the facts into sequence. It does not mean that manager should not speak while listening to others. The manager can ask important questions and response to the speaker's questions. This will help to synthesize the information and helps to make decision.

A person (manager) as an active listener should:

Focus attention on the subject matter: Stop all non-relevant activities beforehand to orient yourself to the speaker or the subject matter. For example, avoid phone calls, stop entertaining visitors, distract from other paper, mails and documents etc.

Review mentally what you already know about the subject: If the manager is going to attend a meeting, or exploring very important facts and information, or negotiating to some one then he/she has to read and review the relevant materials (previous discussion notes, minutes, TV programs, newspaper articles, web sites, prior real life experience, etc.) in advance which helps to explore the facts, issues and to respond the questions of other party. This makes listening very easy and fruitful.

Set aside your prejudices: While listening to others a manager should put all the prejudice aside like gender biasness, age differences, educational status, posts ands occupations. The manager is there for learning what the speaker has to say rather than instructing to others. For example, the manager should forget his/her status for a while because it helps other party to express freely.

Avoid distractions: This is necessary when the conversation exactly happens. Seat close to the speaker, avoid distraction e.g. looking through window, whispering to next person, moving eyes around etc. The distraction de-motivates the speakers to provide necessary information.

Listen Actively: Listening is not only the skills but this is an art. While listening to others the manager or the listener should be thinking that he/she is going to maximum utilize such opportunity to gather information and build the relationship with others. There are certain ways which ensure that you are listening actively. For examples, leaning towards the speaker, keeping eye contact time to time, Paraphrasing in between, giving positive nodding, asking open questions, responding to the other party's questions, observe body language of other party, taking notes if required, cross checking the facts and information.

Listen → **Respond** → **Take Action**

Questioning

Think first "what do I want to know"? Think next "How would I find that out"?

Appropriate questioning helps manager to collect relevant information and this is the vital part of communication. Questioning skills not only helps to collect information from others, but helps own self to generate ideas, critically analyze the situation and respond own self. How you ask questions is very important in establishing a basis for good communication.

What, why, how and when are very powerful words. Use them often to seek, either from yourself or from others, the answer needed to manage effectively. The right questions open the door to knowledge and understanding. The art of questioning lies in knowing which question to ask when. In an active organization the manager usually collects information by asking relevant and appropriate questions. For this, a manager has to prepare some questions in advance. When preparing questions in advance, always look at the type of question the best meets your aims. Keep asking questions until you are satisfied that you have received the answer you looking for.

Here are some tips for questioning:

- Ask a specific question if you want to hear a specific answer.
- Use open question to gain insight into the other person's character, and to invite a response.
- Write a list of question before you start a meeting, negotiation, supervisory meeting, interviewing a new person, etc.
- Do not be afraid to pause while thinking of your next question.

Appropriate types of questions:

Open question: Using such questions the manager gets some one to talk. If you ask such type of question then the person can offer what s/he think is most important e.g. tell me what ideas you have about improving the communication system within the organisation? What experience do you have in staff development sector? How do you feel having six days as working days .....?

Probing question: That can dig out the really interesting areas and details of a particular topic. They often start with How, What, Why? e.g. What exactly did you say to him/her? What options did you explore? How did you go about it? Why was that option selected? This type of questions facilitates in decision making and problem solving.

Reflective questions: This is useful to draw people's concentration and help them to have their own thinking. They consist of reflecting back the content or feeling of previous answers e.g. You said he overreacted how? "You said you did not understand the procedures- what parts don't you understand?"

Closed Questions: Question requires a one or two word answer and used to establish single specific facts. They are also useful to put a brake on an over talkative individual e.g. what time did it happen? How long did that take you? Where were you when the meeting was on?

Comparison Questions: There are alternatives to the closed questions but more likely to extract information as they can easily be followed by why? how? or what? e.g. Which would you prefer, to come in earlier or work later? Which training would you prefer?, Gender and development or poverty reduction.

Assignment Sheet 2.9(a)

Case discussion: a day in a health post

Carefully study the case given below in the group. Discuss the issues given at the end of the case and be ready for presentation and discussion in the plenary.

In the early morning a Health Assistant Mr. Rakesh remembers that there is an urgent and important meeting of District Development Committee (DDC). It is important because the DDC is going to allocate the fund (budget) for a drug store in the Health Post. He has the construction estimation made by an overseer. Around 8:30 he takes the jeep and goes to DDC 25 Kilometer far from the Health post.

The senior staff nurse Ms. Rupa comes to the health post around 9:30 and starts her duty. One of the support staff asks her to examine a woman who had arrived in the health post with labor pain around 4:30 in the morning. Rupa finds that the woman has prolapsed arm and she needs to be urgently referred to the hospital. Rupa asks support staff to call the driver to take the woman to the District Hospital. The support staff comes and reports to Rupa that there is no jeep and driver. Driver's wife only knows that her husband has gone to office duty. At that time Rupa asks the visitors of that woman to get a private vehicle (hired). The visitors started to be furious and everybody started shouting and yelling to Rupa. Rupa surprises and asks to call the Health Assistant Rakesh. No one finds him at his home, clinic and around. There were lots of patients in the health post to be examined. Around 12:00 noon local leader comes to the health post and sees the tens situation. He also takes the side of the public. Around 2:30 the Health Assistant Rakesh appears in the Health post and finds that the patients, with special diseases, waiting for him have already gone home.

Discussion Questions:

1. What positive things you find in this story?
2. What are the problems?
3. Why the problems encountered?
4. How could we have stopped those problems?
5. So what is the importance of communication in the organization?

Assignment Sheet 2.9(b)

Role play: listening and questioning

Role Situation One: Questioning

ECD Officer has planned bi-monthly meeting with the Executive Manager. Two of them will have conversation. Executive Manager will focus on questioning and getting more information about the program, personal problems of the ECD Officer. The Officer also asks questions for clarification. After three minutes role play the facilitator will lead the discussion by asking following questions?

1. What was the behavior of the Executive Manager?
2. What was the behavior of the ECD Officer?
3. What types of questions were asked by the Executive Manager?
4. What questions would have helped to generate more information?
5. Why questioning is important?

Role Situation One: Listening

A Field Supervisor recently comes from the field. She had visited one ECD center, attended one child club's meeting and taken part in a rally for birth registration. As usual practice, she talks to the Program Manager. Perform role play. After the role play the facilitator asks following questions:

1. What were the behaviors of the supervisor?
2. What was the behavior of the Program Manager?
3. Was the manager listening to the supervisor? How did we know s/he was listening actively?
4. How listening can be improved?
5. Why listening is important?

……..Activity Ten

How to effectively communicate?

Time: One hour

Why do this Activity?

This activity will give practice opportunity to plan and use various mechanisms for communication in organizations. It also introduces a plan for effective communication.

Learning Objective

- Develop an effective communication system for program implementation.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 25 minutes

Group Exercise Divide participants into groups of their own organization. Provide Assignment Sheet 2.10 to each group. Ask them to identify the communication needs in their organizations (what needs to be communicated and who need to be communicated?).

Plenary Assemble the groups. Have each group share their findings. Discuss both communication needs of the organization and the process of identifying them.

Step 2: 35 minutes

Presentation Briefly introduce the various mechanisms and methods of communication applicable in development organizations on the basis of materials given in handout.

Group Exercise

Divide participants into small groups. Ask them to discuss the following issues and get ready for sharing in the plenary.

1. What mechanisms and systems are in place for communicating within the organization?
2. How do you develop a mechanism so that there will be regular communication within the organization?

Plenary

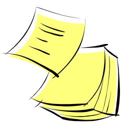
Assemble the groups. Have each group share their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others outcomes.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.10: How to Effectively Communicate?
- Assignment Sheet 2.10: Group Work – What and Who to Communicate?

Handout 2.10

How to effectively communicate?

Communicating effectively for the purpose of program implementation involves developing certain mechanisms, following certain practices and preparing a systematic plan for communicating as per the requirements of the program and organization.

Identifying Communication Needs

Identifying communication needs is the first step for effective communication. One example of identifying communication needs is illustrated below.

S.N.	What needs to be communicated?	Who needs information?
1.	Vision , mission, goals of the organization	To all staff, board members and stakeholders.
2.	Policy, procedure of the organization, personnel policy, Financial procedures,	Staff, members, stakeholders, if required to Govt. Officials.
3.	Program and project profile.	All staff.
4.	Program Budget and funding source.	All staff.
5.	Organizational structure chart	All staff.
6.	Role of board members and staff	All staff, Board members.
7.	Meeting minutes	Concerned staff.
8.	Monitoring, review and evaluation report of the organization,	Manager, staff, donors
9	Periodic reports, success stories if any	Donors, Government Officials
10.	Other information, reports of other organizations	Senior and mid level staff
11.	Supervisory meeting report	Concerned staff and line manager
12.	Performance appraisal report	Concerned staff and HRD
13.	Human Resource development plan	All staff
14.	Public audit report	Stakeholders, Govt. officials, other organizations, community people
15.	Copy of Job description of each staff	Each and every employee

Mechanisms to Support Effective Internal Communications

To make the organization dynamic and active the management should be thinking to have certain structures for improving the communication flow within the organization. Of course, participatory communication brings benefits to the management, organization and staff but there should be some mechanism and structure for smooth flow of communication. This mechanism and system can be looked at as communications downward and upward.

Downward Communications

1. **Strategic Plan:** Ensure every employee receives a copy of the strategic plan, which includes the organization's mission, vision, values statement, strategic objectives and activities about how those goals will be reached.

2. **Personnel Policies:** Ensure every employee receives a hand book of personal policies and that contains all up-to-date personnel policies.

3. **Administrative Procedures:** Develop a basic set of procedures for how routine tasks are conducted and include them in standard operating manual and make sure all employees are aware of it and using in day to day work.

4. **Job Description:** Ensure every employee has a copy of their job description and the organizational structure chart.

5. **Fortnightly management meeting:** Regularly hold management meetings even if there's nothing pressing to report. If you hold meetings only when you believe there's something to report, then communications will occur only when you have something to say. If the management do not hold regular meeting then the communications will be one way and the organization will suffer. Have meetings anyway, if only to establish and affirm the communication flow.

6. **Monthly staff meetings:** Hold full staff meetings every month to report how the organization is doing, major accomplishments, concerns, announcements about staff, etc.

7. **Face-to-face contact:** Leaders and managers should have face-to-face contact with employees at least once a week. Even, if the organization is over 20 employees management should stroll by once in a while. This practice will create fearless environment among the staff and they share concern with out hesitation.

8. **Celebration:** Frequently organize and hold staff gathering to celebrate major accomplishments. This helps employees perceive what's important, gives them a sense of direction and fulfillment.

9. **Performance Reviews:** Ensure all employees receive yearly performance reviews, including their goals for the year, updated job descriptions, accomplishments, needs for staff development, and plan to help the employee fulfill the development needs. If resources permit, develop a career plan with the employee, too.

10. Debriefing before exit: Employee may not stay longer term. Due to various reasons they leave the organization. The management should have debriefing session before the employees' departure. Personnel or HRD section should take the responsibility of debriefing. In this session employee may honestly give feed back and suggestions for the improvement. This helps management to improve the situation if it is necessary.

Upward Communications

1. Status Reports: Ensure all employees give regular (weekly) status reports to their supervisors. Include a section for what they did last week, will do next week and any actions/issues to address.

2. Supervisor-coworker meeting: Ensure all supervisors meet one-on-one at least once a month with their subordinate to discuss how its' going, listen any current concerns from the employee, any problems occurred, how it handled etc. Even if the meeting is chatting or gossiping, it cultivates an important relationship between supervisor and employee.

3. Staff- Management meeting: Use management and staff meetings to solicit feedback. Involve all level staff. Ask how it's going, what needs to be improved, announce any changes happened. Do a round table approach to hear from each person. Staff will enjoy sharing about their work, stakeholders' reaction towards organization's work etc. These meetings go a long way toward building a feeling of teamwork among staff.

4. Act on feedback: Once the management gets feedback then action should be taken. Write it down. Get back to it. If it is not taken then inform staff why it is not happening or when it will be happened. Do not give false hopes to the employees.

5. Respect the informal culture: It's probably one of the most prevalent and reliable forms of communications within the organization. When employees feel it safe and secured to express their feelings or opinions to peers openly then organization will be more active.

6. Systematic and compulsory Supervision: Supervision is often considered to include designing the job, hiring someone to fill the job, training them, delegating to them, guiding them via performance reviews, helping them develop their career, noting performance issues, and firing them, if needed. Obviously small nonprofits may not be able to afford full attention to all of these activities. Have all employees provide weekly written status reports to their supervisors including what tasks were done last week, what tasks are planned next week, any pending issues and date the report.

Basic Communication Plan

A model of communication plan

Assignment Sheet 2.10

Group work: what and who to communicate?

Carefully study the attached example. In your organizational group, identify in the given format communication needs in your organization.

S.N.	What needs to be communicated?	Who do we need to communicate?	When to communicate
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Example

S.N.	What needs to be communicated?	Who do we need to communicate?
1.	Vision , mission, goals of the organization	To all staff, board members and stakeholders.
2.	Policy, procedure of the organization, personnel policy, Financial procedures,	Staff, members, stakeholders, if required to Govt. Officials.
3.	Program and project profile.	All staff.
4.	Program Budget and funding source.	All staff.
5.	Organizational structure	All staff.
6.	Role of board members and staff	All staff, Board members.
7.	Meeting minutes	All staff.
8.	Monitoring and evaluation report of the organization	Manager, staff, donors
9	Reports, success stories if any	Donors, Government Officials
10.	Other information, reports of other organizations	Senior and mid level staff
11.	Supervisory meeting report	Concerned staff
12.	Performance appraisal report	Concerned staff and HRD
13.	Human Resource development plan	All staff

……. Activity Eleven

Understanding monitoring for program implementation

Time: One hour

Why do this Activity?

This activity introduce the concept, importance and practices of monitoring while explaining various indicators for monitoring program implementation in NGOs.

Learning Objective

- Describe the concept and importance of monitoring in program implementation and identify various indicators useful for program monitoring.

How to do the Activity?

Note — Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 30 minutes

Critical Incident — Divide participants into small groups. Provide Assignment Sheet 2.11(a) to each group. Ask them to discuss the issues given at the end of the incident.

Plenary — Assemble the groups. Have each group share their findings. Facilitate discussion on the concept and importance of monitoring for program implementation based on participants' experience and materials given in handout. Also explain the types of monitoring and what and when to monitor.

Step 2: 30 minutes

Role Play — Choose two participants for an instant role play. Assign them roles of a health post visitor and a paramedic worker. Give them Assignment Sheet 2.11(b) to them. Have the selected participants perform the roles quickly.

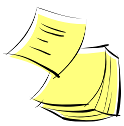
After the role play, facilitate discussion on the meaning, types and uses of indicators in the context of program monitoring based on the materials in the handout. Give several practical examples and encourage participants to share examples from their own programs.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.11: Understanding Monitoring
- Assignment Sheet 2.11(a): Critical Incident – Infected Children
- Assignment Sheet 2.11(b): Role Play – Checking Fever

Handout 2.11

Understanding Monitoring

Monitoring is a critical implementation function of management. It is necessary to measure the progress of planned program (objectives and activities), to identify the strengths and weaknesses, and to correct the deviation and improve the organizational performance.

What Monitoring is?

"Monitoring is the systematic and continuous collection and analysis of information about the progress of the work over time. It is a tool for identifying strengths and weaknesses of the work and for providing the people responsible for the work with sufficient information to make the right decision at the right time to improve its quality". Monitoring helps all the people involved make appropriate and timely decisions that will improve the quality of work.

Monitoring:

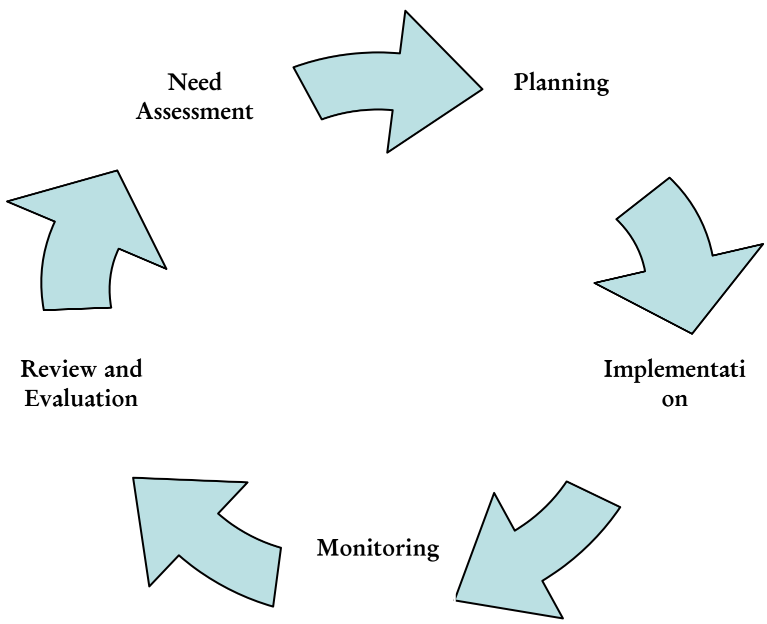
- Is a systematic and continuous process of collecting information on the work
- Analyze strengths and weaknesses of our methods, process and skills.
- Measures the progress against the objectives set during the planning
- Looks forward and checks whether we are going into the right direction or not
- Is management and decision making tool.
- Needs set indicators to measure the progress and deviation
- Gives immediate feedback which helps to take immediate action for correction and improvement.
- Periodic or continuous observation of the implementation of a project to ensure that inputs, activities, outputs and external factors are proceeding according to plan

Monitoring is necessary not only during the implementation of any piece of work or program but also at each stage of the program cycle (need identification, planning, implementation and evaluation). For example, if an organization decides to do the communities survey to analyze and identify the need of drinking water then it has to monitor all the activities related to the survey. During the planning of community survey and its implementation part the monitoring is required. e.g. in which area the survey is going to be conducted, how many household, which group of people, who is going to do the survey, whether we have skilled person, how much participatory will it be, which methods are they going to use, how the data will be collected, documented, presented and used, from whom the data will be collected, how the women will take part in survey etc.

After identification of the need the program planning starts. In the planning phase also the activities need to be monitored, e.g. who will be involved in the planning, are there same people participating which we had expected and decided, are the objectives clear and SMART, are the strategies relevant to that community, will poorest of the poor be included to take the benefit of drinking water if yes who are those.

Then it goes to implementation phase and there also monitoring is equally important. Is the work going to start in right time as planned, will there be enough resources (people and non-people), Are there skilled people as required and planned, equipments enough, are the administrative, technical and financial parts going side by side into coordinated way.

In evaluation part also we have to plan like, when the evaluation is going to be conducted, who is involved in planning, who will collect information, what methods will be used, how participatory will it be, who participates, how the data are gathered and documented. Monitoring is necessary in the evaluation part also. It is shown in the cycle but moves as spiral. In this diagram monitoring is shown after the implementation but it is applicable in all the components as we discussed earlier.



In the organization everybody involved performing in any piece of work (from policy making body to grass root level that provides nutritious food to the children in ECD center) will be responsible for monitoring the activities. This is applied in finance, program, administration, store management, vehicle management, resource mobilization, training etc. The senior management team and board members of the organization are responsible for overall monitoring such as whether policies, systems, process are being followed or not, whether the policies are suitable or not, whether the policies, rules regulations are compatible to the partner organization or not. The senior management team is responsible for monitoring the overall functions of the organization by collecting and analyzing information and making correction, if deviated, from different perspectives. However, other implementing staffs and volunteers are responsible to monitor the activities of the programs at their own level.

For effective monitoring of a program or any piece of work, quantitative and qualitative information need to be collected. The quantitative and qualitative information keep equal values while monitoring the program activities. Quantities are expressed in terms of numbers, ratios and percentage whereas qualities are expressed in defined terms. For example, if we look quantitative information in an ECD center, we can see total number of children enrolled in the center, the percentage of boys and girls, the ratio of *Dalit* and J*anajati* against Brahmin, *Chhetri* and Newar children, average ages of boys and girls, at what time the center is opened and closed etc.

Likewise we equally need to see the qualitative part because it can not be counted but it plays a vital role to run the center where children can enjoy their education and development rights. In qualitative aspect we have to see whether the environment is child friendly or not e.g. children are encouraged to play and learn in fearless environment, quality and types of play materials in the centre, whether the facilitator is sensitive to discriminative behavior towards children, whether there is harmony among the children of all castes, whether parents are happy to send their children to the center etc. This is applied in other programs and activities as well.

In NGOs the management team and staff are in pressure to take another program and immediately move on the next challenge rather than seriously and critically monitoring the previous work. Most of the managers enjoy delivering services and products and running the program than giving thoughts on learning, reviewing and planning. By their nature some managers and leaders do not like to have in-depth analysis and critically examine the performance and program so they give low priority for monitoring. For ineffective monitoring, some of the staff quite often blame to their management team because there is poor listening habit on the feedback given by the implementing team. Some staff members may have every intention of monitoring and reviewing work, and put it on the agenda at every meeting, but they do not get opportunity to discuss because they simply run out of time. If everyone gives above reasons then monitoring will become negative and a focus for complaints and blame. So does it mean that the monitoring is not necessary? The answer is no. The monitoring is essential because it helps to improve organizational performance and failure to monitor and review will results in mistake being repeated.

Why Monitoring?

Monitoring is essential for helping all the concerned (from policymakers to the grass roots level) to learn through the process of Plan-Act-Review. Monitoring is the key to good planning. It needs to be built into everyone's work and planned in advance as a necessary component of good practice. Following points might be helpful to understand the importance of monitoring.

- To provide an ongoing picture of a project: To show what impact the work is having in the target population, and progress towards meeting objectives so that the activities can be adjusted if necessary.

- To maintain high standard: It helps to maintain the high standard of performance through monitoring the quality, effectiveness and efficiency of activities as well as the volume of the work.

- To make sure the resources are used effectively: To find out what resources are required to produce a certain impacts, or how resources can be distributed differently to be more effective.

- To plan work: To show what and who will be available when and how the work could be affected by the seasonal trends in, for example, labor availability, diseases, rainfall, change in climate, market price, transport etc.

- To identify problems and find solution at nearly stage: Monitoring is important to make sure the problems can be discussed and tackled before they become too serious.

- To provide a record of events: People can check what has happened in their area in relation to the project and external environment and the proper monitoring system will help to provide the record to them.

- To look at the process of development: To help analyze the style of work, whether this is the best way of working to achieve more self motivation, capacity building, awareness of gender inequality, etc.

- To provide an information base for future evaluation: What has been done and why, and to show trends over time. If monitoring system work well evaluation is required less often; and when it is needed, it is much easier to carry out evaluation.

- To help staff and board members feel their work has definite purpose: Knowing more about objectives, progress, impact and quality of work will help staff feel motivated and involve in the work.

- To demonstrate accountability: Of course, the Board member and staff are accountable towards their work, towards people who the program serves, Government and the donors. These all people need the information about the progress of the work, its impact on people and environment. These all information are gathered when proper monitoring system is in place.

- For Feed back: To give immediate feedback to the concern person or department to take corrective measures in the policy, procedures, process and methods.

- Re-planning: Revise or modify work plan/s or program design as a result of any contextual shifts (intended or unintended) evident from monitoring.

What to Monitor?

As we discussed earlier, every person, who is responsible for a particular type of work, should also know the areas of monitoring. What to monitor will be decided by the nature of work and reason for monitoring. An ECD facilitator should be monitoring the behavior of each and every child in the center. A finance manager will be collecting information how the money is being spent, whether it is as per budget or not. A policy maker should know whether the policy is being followed, is there any difficulty or barriers to implement and practice the policy. If we want to know how much time is spent for a particular type of job then we all should be monitoring the time used in different job or tasks.

When to Monitor?

Different person and organizations have various practices regarding when and how frequently will they be monitoring their activities. This needs to be mentioned in the monitoring plan. For example, to monitor the events information can be collected on a quarterly, weekly, daily or hourly basis. Looking the nature of tasks and purposes of monitoring information could be gathered to critical points in a process. Depending on the objectives of the monitoring it could be done constantly or just for a sample period of time.

Types of Monitoring

Process Monitoring

Program monitoring should include information about use of resources, the progress of activities, and the ways these are carried out. This is known as process monitoring. The process monitoring is a means for:

- Checking use of resources (people and non people resources)
- Reviewing and re-planning works on a regular basis (It could be in individual basis, unit basis and program basis)
- Assess whether activities are carried out and how they are carried out
- Identifying and dealing with problems in implementation/ management
- Monitor changes in target population and context that are relevant to the project/ program (Whether living standard of the target families is up lifted after income generating activities)

Impact Monitoring

Monitoring should also provide information on progress towards achieving objectives and on the impact the program is having in relation to the objectives. This is known as impact monitoring. Impact monitoring is the means by which

- Relates work to its overall aims on a continuous basis
- Modifies the programme in response to changing circumstances (like in conflict, some organizations changed approaches, style of work etc)
- Identifies need to review objectives, targets, approaches
- Generates further information or a need for research
- Policy Monitoring (education policy, financial policy, tax policy, of government)
- Strategy Monitoring (of education strategy of government, donors)
- Programme Monitoring (of education program of government, development agencies)
- Project Monitoring (of primary school project, ECD project, Economic support project, HIV/AIDS project)

Why Indicators are Important?

An indicator is a marker. It can be compared with road sign which shows whether you are on the right road, how far you have traveled and how far you still have to go in order to reach your destination (for objectives). Indicators show progress and help to measure change. Some indicators are scientifically proved and used everywhere but since we are working in social sector we have to set out the indicators against objectives and activities by ourselves and monitor the program whether it is going on right direction or not? If not where are the deviations? How to make corrections? Many indicators are consist of measurements and are expressed in numbers, such as:

- A percentage: (part of a total) like 50% out of school children attend the NFE classes of Sanatan VDC among them 20% are girls. In 2062, 46% passed the SLC exam.
- A rate: Such as the infant mortality rate (the number of children under one year who die in a year, in relation to 1000 live births in that same year). Inflation rate of the market price, literacy rate, morbidity rate, Mortality rate etc.
- A ratio: Such as the number of teachers in relation to the numbers of children in primary schools in a specific area, (e.g. one teacher to 90 children) 1:90 Students Teacher ratio, one doctor for 50,000 patient in a district. Ratio of boys and girls in higher secondary schools.

  While setting the indicators in our program we need to consider different types of indicators. Some of them are described below

- Indicators of availability: These show whether something exists or whether it is available to the particular group of people or place or not. For example, an indicator of availability of an agricultural developmental worker in a village, this might be whether there is one agricultural worker available for every fifty houses. Is there a trained Sudeni (traditional birth attendant) available for 25 pregnant women during delivery or not. Are books available for each student in the NFE center or not.

- Indicator of accessibility: This show whether what exist is actually within reach of those who need it. For example, a primary school available in one village may be out of reach of the small students of other villages in the area because of no bridge in the river, lack of transport, or people's poverty. A health post may be inaccessible to the women of other villages. An ECD center will be out of reach if they have to walk more than one hour. A school may be out of reach to the disable children. Remote farmers may have inaccessible to the market to sell his/her farm and non-farm product. A water tap may not be accessible to a woman due to travel time.

- Indicator of utilization: This shows to what extent something that has been made available is being used for that purpose. For example, an indicator of utilization might be how many illiterate villagers are attending literacy classes regularly. How many poorest of the poor women are taking loan from the microfinance scheme. How many of Musahar children utilizing the benefit of ECD center?

- Indicators of coverage: This shows that proportion of those who need something are receiving it. For example an indicator of coverage might be, of the number of children estimated or known to have immunization in a particular area actually receiving full doses of immunization.

- Indicator so quality: This shows the quality of standard of something. For example, an indicator of quality of water might be whether it is free from harmful, disease. Whether the children of grade one are getting quality education in primary schools (learning numeracy and literacy within a year).

- Indicators of effort: This shows how much and what is being invested in order to achieve the objectives such as how long it takes how many human to plant what number of palm trees in a week. How much time of different people will be spent to bring village women in the NFE centre? Like wise convincing for family planning devices.

- Indicators of efficiency: These show whether resources and activities are properly utilized to get the better results. Such as a bicycle for a supervisor improved his/her supervisory visits to the children clubs and provided proper guidance. A new computer in the office increased the qualitative documentation of information.

These show if what you are doing is really making any difference. For example, an indicator of impact might be, after a campaign against measles whether the incidence of measles has been reduced. After conducting awareness on birth registration, whether all needy children got their birth certificates or not.

Assignment Sheet 2.11(a)

Critical incident: infected children

Carefully study the incident given below. Discuss the issues in the assigned group.

One of the paramedical staff Dhana Gurung of Sahara heard that there was out break of measles in ward No. 3 of Dharmapur VDC of Malangawa. He did report to the office. The office assigned him the task of checking and verifying whether it was real. Dhana went to that village with a health educator. They saw three sick children between the ages of 2 to 5 and found that the sign and symptoms were measles. In that hamlet of ward No. 3 they also knew that there was no immunization provided to the children. They came back to office and reported that the information was right. Sahara in collaboration of Public Health Office decided to run the immunization camp in that village. Next day some staff went to that village and open up immunization camp. Quite a few children were brought in the camp. In the evening the staff came back to the Office. After three days they got the information that the children who were having immunization had infection. The community people were worried and furious.

Issues for Discussion

1. What do you find in this incident?
2. Why only a few children had measles vaccine?
3. Why was this happened?
4. If, you were Dhana what would you have done?
5. What information would you have collected and disseminated for this work?
6. So what monitoring is? Why is it important?

Assignment Sheet 2.11(b)

Role play: checking fever

Read the situation and the assigned roles carefully. Perform your roles as required.

Situation

A person comes to see the paramedic staff in a health post.

Paramedic: Hello! What brings you here?

Visitor: I have fever since yesterday afternoon.

The Paramedic uses different methods to confirm whether she has fever.

Discussion Questions

1. How do we usually check the fever?
2. What other methods could be used? How community people check fever?
3. So when do we say that we have fever?
4. What are indicators then?

.........Activity Twelve

How to Monitor program implementation?

Time: . One hour

Why do this Activity?

This activity focuses on the various steps of developing monitoring plan while covering methods for monitoring.

Learning Objective

- Prepare program monitoring plan and use various monitoring tools and methods.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 15 minutes

Presentation Briefly introduce the various steps and components of planning and implementing monitoring of a program on the basis of materials in the handout. Give practical examples of each step and encourage participants to share their experiences from their own organizations.

Step 2: 45 minutes

Group Exercise Divide participants into small groups. Provide Assignment Sheet 2.12 to each group. Assign one objective and activity area to each group. Ask them to prepare a monitoring plan following the example given.

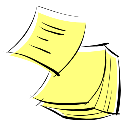
Plenary Assemble the groups. Have each group share their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others outcomes.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board,   overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.12: How to Monitor Program Implementation?
- Assignment Sheet 2.12: Group Exercise – Developing Monitoring Plan

Handout 2.12

How to Monitor program implementation?

Monitoring is a critical implementation function of management. It is necessary to measure the progress of planned program (objectives and activities), to identify the strengths and weaknesses, and to correct the deviation and improve the organizational performance.

Planning for Monitoring

Monitoring covers a wide variety of techniques and methods and applies to the management of finance, personnel, vehicle and buildings as well as to the progress of the program activities and the way of the activities is carried out. The points must be considered when planning any monitoring:

1. Defining the aim of the monitoring system: The monitoring system should be designed to meet specific needs and these will vary according to the nature and aims of the work, the organizational structures NGOs and specific requirement of the Donors. It is important to define the overall aim of the monitoring system before designing it and setting objectives. The system then can be monitored and evaluated to see whether it is meeting its objectives and can be adjusted if necessary.

2. The selection of relevant information: Deciding what information is useful for making decisions about an activity or program is often the most difficult part of setting up a monitoring system. There is always a danger of collecting too much information on every detail of a program.

The problem associated with selection of relevant information:

- If too much data is collected it may not be measured or recorded accurately.
- There is no time to analyze or use a large amount of information.
- If a large amount of information is being collected regularly from the same people they may resist it will be frustrated.
- If information is too detailed it may be difficult to identify important trends.

It is worth remembering that a small system that works is better than a big system that does not work. Useful information can be selected according to the objectives of the systems. Since it is difficult for people with no previous experience of an effective monitoring system to know what information they will need, workshop and training session may be necessary to help to identify information needs.

3. The collection and analysis of information: There are many different methods of collecting information. The most appropriate method can be selected according to the kind of information that is needed, who is collecting it, and when and how will it be used. A combination of method should always be used so that information can be cross-checked. Possible methods:

    - Survey with set questionnaires: Survey sample can be selected to compare the community affected by the program with people who are not affected by the program. Through survey we can see that how many people are positively and negatively affected by the program.

    - Participatory methods: In these methods people who are affected by the program will have opportunity to share their views, opinions and facts. Many PRA tools (Mapping, drawing, ranking, FGD, etc.) can be used to collect required information. These methods not only help to collect the information but empower the people to speak up and analyze their own situation which the program brought in their own life.

    - Measuring skills and knowledge: This can be done to measure the capacity and competencies of the staff after the training and workshop. The test can be done orally, asking them to write up, letting them doing and performing the tasks, observation with checklist, asking the people to train others, Role play and games, etc.

    - Regular record keeping forms and diary: Some information about the activities is recorded on a regular basis. Form and set formats are often used for recording quantitative and qualitative information. So while designing the form and format detail thought need to be given.

    - Supervision checklist and report: The collection of information during supervision meetings provides an opportunity to discuss about the information that it is being collected. This can be useful for both supervisors and subordinates. Checklist and set formats can be used to ensure that information about key indicators is collected.

    - Case studies: Case studies can be used to assess the impact of a program on particular family. A checklist can be used to ensure certain questions are addressed.

    - Observation visit in the work place: The staff can visit and observe the activities how it is performed, collect information on the forms and diary and analyze the information.

4. Analysis of information: Analysis refers to the way the information is interpreted and how the meaning of the results is assessed. In a monitoring system, analysis can be done continuously, periodically depending on the use of information. The most important thing is to ensure that the analysis is

accurate and relevant, that it is understood by the people using the findings and that results are available when they are needed.

5. Presenting and using the results: It is important to provide opportunity to discuss the finding with all the people who are interested and who are affected by the program. The results can be used in re-planning, to take management decision, institutional learning. The results can be used as a basis for evaluation of the program.

6. Deciding who should be involved in monitoring process: Participatory monitoring means that the information used for monitoring purpose is selected, collected, recorded and analyzed by all those involved in the program including community people who are affected by the program.

Monitoring of Components

The different types of monitoring commonly used in development work are: management, administration, finance and program monitoring.

Tables below show some of the information that would be collected for each type of monitoring, where the information would come from, and how it could be used.

The type of monitoring shown in Tables 1 and 2 are for management and administration purposes. Financial record system for economic or income generation program are dealt with under program monitoring.

Table 1: Management and Administration

Component	Information to be collected	Sources of information	Use of information
Staff/ personnel issues	Recruitment and selection Placement Training Performance Capacity and competency Achievement Expectation Absenteeism How s/he works in the team Staffing structure	Training institutions Market Universities Contract letter or appointment letter Training record Staff meeting Supervision Staff performance review Observation at the work place Informal meetings	Right person at right place Give support and feedback to the staff Training and staff development Improve management practices Modify and clarify job descriptions.
Supplies	What supplies are required in office and for program? Where can we get	Office record and program record Store book Suppliers. Catalogues	Get quality supplies Obtain best value supplies

	those things? What is the market price? Who can offer in low price? What is the stock level? When do we need to order? How the supplies are stored?	Stock record Organizational Policy about supplies Store room	Get supplies in time Maintain adequate stock level in the store room

Table 2: Finance

Component	Information required	Sources of information	Use of information
Staff Salaries	Salaries Tax/Insurance Annual increment Provident fund Final payment Other payments: Health Education Transport	Staff records or personnel files Insurance premium pay slip Revenue policy of the government Provident fund deposit register Pay slips Salary records	Ensure staffs are paid according to the pay scale. Ensure all staff know how much benefit do they get How much budget is required for staff salary? Ensure staffs are getting other payment regularly as per rules.
Project Budget and expenditure	Expenditure by program Expenditure done as per budget headings Balance of budget remaining this year Deficit budget in some headings Rates of inflation Funding sources Exchange rates	Budget Sheet Program planning Budget break down Bank statement Cash balance Newspaper Rasta Banks' report Financial report from program side	Cost comparison among different program Forecasting expenditure Make correction on deficit Requesting fund or raising it locally Identify high or low expenditure within the program Identify any savings Compare costs with the achievement of the program

Table 3: Program Monitoring

Scholarship

Objectives	Activities	Indicators	Means of verification
50% children between the ages of 5-15 years will get scholarship and get enrolled in schools.	1. Collect data of 5-15 years age children not going to school in two VDCs. 2. Enroll 50%children in school. 3. Distribute scholarship money regularly. 4. Conduct meeting with parents to encourage them to send their children to school regularly	No. of children between 5-15 who are not going to school in two VDCs 50% children enrolled in different schools 50% children received scholarship money regularly 4 times meeting conducted with 25 parents of newly admitted children.	Survey record in NGOs Enrollment record in school School register Scholarship distribution register Meeting minutes Attendance registers.

Table 4: Program Monitoring

Economic activities

Objectives	Activities	Indicators	Means of verification
Twenty-five poor women from Muslim community will have generated income and improved livelihood.	Collection of information about poor Muslim family. Give orientation about the income generating program to 25 Muslim women Form group of Muslim women who take part in the program. Organize skills based (farming,	Information collected about poor Muslim women in two VDCs 25 women participated in orientation program A group of 25 women is formed. 25 women were trained in different skill	Survey form and records Attendance register Group record Register and group norms developed Training attendance register Correspondence with training institutes

	dairy, small business) training in which they are interested Distribute loan through group. Help them to do business or other IG activities.	based training. Money deposited in the name of group in cooperative. All 25 women are engaged in different IG activities.	Deposit slips Financial document Involvement in IG and repayment of loan regularly

Table 5: Three Monthly Monitoring Schedules

NGO: Sahara District: Palpa

Monitoring components	Monitoring days	Process and methods	By whom?
ECD Facilitators, training	During ECD facilitators training	Observation of training (how are they participating), Interaction with trainee facilitators, Discussion with ECD trainer, Discussion about training materials, Document study, Record of discussion and observation	Education officer with a board member
Out reach clinic in one VDC	15th of each month	Observation of health service facility, Interaction with the patients (female, male children), Medicine store visit and record study, Discussion with the Paramedical staff, Documents study, Record of discussion and observation	Health supervisor with District Health officer
Microfinance and economic activities	20th of each month	Observation of Income generating activities, Attend group meeting, interaction with group members about loan and impact on them. Interaction with Microfinance supervisor, Loan and repayment record study, Documents study, Record of discussion and observation	Program coordinator with Treasurer of the organization

Scholarship program	25th of each month	Visit two schools, Talk with headmaster of the school about the progress of sponsored children, Interaction with sponsored child, Discussion with sponsorship supervisor, Payment register study, Record of discussion and observation	Education officer with School Management committee Chairperson
Child clubs activities	12th of each month	Observation of child club meeting, their functions, Child club meeting minutes, discuss with child club members, Interaction with child club facilitator, Record of discussion and observation	Program coordinator with School Headmaster

Assignment Sheet 2.12

Group Exercise: Developing monitoring plan

Study the example of a monitoring plan given. In your group prepare a monitoring plan for the assigned objective and activity areas using the formats given.

Objective 1: Two hundred women will have received legal awareness training.

Activity: 1.1 Share the purposes of having legal class for women in villages.

Activity 1.2 Select 2 00 women participants for legal class.

Activity 1.3 Choose the facilitator and design sessions on legal class

Activity: 1.4 Conduct 8 legal classes for 25 women in each class.

Objective 2: One hundred fifty peer educators between the ages of 14-18 will be trained on HIV/AIDS and reproductive health.

Activity: 2.1 Conduct orientations about the purpose of having peer education in the society in schools and community.

Activity: 2.2 Select boys and girls equally for peer education training

Activity: 2.3 Conduct training on HIV/AIDS in 10 different groups.

Activity: 2.4 monitor the activities of peer educator after the training.

Objective 3: By the end of 2006 ten child clubs will be formed and will be active in promoting Child Rights in their area.

Activity: 3.1 Conduct orientations on the importance of having child clubs formed in schools and community.

Activity: 3.2 Facilitate to for ten child clubs (7 in schools and 3 in community) in the villages.

Activity: 3.3 Conduct training on Rights of the Child and children's participation for newly formed clubs.

Activity: 3.4 monitor the activities of children's club.

Objective 4: Sixty out of school girls and boys will have skill based training in two VDCs.

Activity: 4.1 Collect information of out of school girls and boys in two VDCs.

Activity: 4.2 select sixty girls and boys (40girls and 20 boys) for different skill based training.

Activity: 4.3 find out different training institutions which provide various skills based training.

Activity: 4.4 Send all the selected girls and boys for different training as per their interest and relevancy and encourage them to complete training.

Activity: 4.5 encourage them to conduct income generating activities or coordinate with other employer to have employment.

Monitoring Plan Format

Objectives	**Activities**	**Indicators**	**Means of verification**	**By whom?**

Activities	**What information is required?**	**What are the sources of information?**	**How to use the information?**

Example

Objectives	Activities	Indicators	Means of verification
50% children between the ages of 5-15 years will get scholarship and get enrolled in schools.	1. Collect data of 5-15 years age children not going to school in two VDCs. 2. Enroll 50%children in school. 3. Distribute scholarship money regularly. 4. Conduct meeting with parents to encourage them to send their children to school regularly	No. of children between 5-15 who are not going to school in two VDCs 50% children enrolled in different schools 50% children received scholarship money regularly 4 times meeting conducted with 25 parents of newly admitted children.	Survey record in NGOs Enrollment record in school School register Scholarship distribution register Meeting minutes Attendance registers.

Activity	Information required	Sources of information	Use of information
Staff Salaries	Salaries Tax/Insurance Annual increment Provident fund Final payment Other payments: Health Education Transport	Staff records or personnel files Insurance premium pay slip Revenue policy of the government Provident fund deposit register Pay slips Salary records	Ensure staffs are paid according to the pay scale. Ensure all staff know how much benefit do they get How much budget is required for staff salary? Ensure staffs are getting other payment regularly as per rules.

Unit THREE

Evaluation of Results

Introduction

Evaluation is one of the main functions of the management. This unit introduces the concept, importance and practices of evaluation for organizational performance, with focus on what monitoring, review and evaluation are and their importance in the organization, myths on evaluation, what are indicators, what are the current practices of evaluation in the organization, what need to be considered while planning for a effective evaluation, system, mechanism, tools and methods for monitoring and evaluation.

Learning Objectives

After completion of all the activities and study materials of this chapter, participants will be able to:

- Describe the concepts, importance, scope and types of evaluation and explain the concept and types of indicators as an evaluation tool;
- Analyze the present evaluation practices in their own organization, and adopt appropriate structures, mechanism and tools for effective evaluation; and
- Describe what social audit is and its importance and discuss the process and indicators of social audit.

Structure and Timing

Activity One: Understanding evaluation and indicators (Two hours)

Activity Two: Present practices and structure, mechanism and tools for evaluation (Two and half hours)

Activity Three: Social audit as means of evaluation (One and half hour)

Total Time: Six hours

..........Activity One

Understanding evaluation and indicators

Time: Two Hours

Why do this Activity?

This activity helps to understand what monitoring, review and evaluation is. It highlights their importance and analyse the differences and similarities of monitoring and evaluation. It defines the scope and types of evaluation and explains the concept and types of indicators as a tool for evaluating programs.

Learning Objective

- Describe the concepts, importance, scope and types of evaluation and explain the concept and types of indicators as an evaluation tool.

How to do the Activity?

Note

Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 30 minutes

Presentation / Discussion

Open up the discussion by showing the program planning cycle (see Handout 3.1). Briefly go through all the components. Ask participants to recall what is monitoring and list the responses on the newsprint. Then discuss about evaluation and write the responses of participants on the newsprint in bullet points. Now share the meaning of Monitoring, Review and Evaluation on OHP or newsprint.

Distribute metacards to each participant and let them write the importance of program evaluation in the organization. After five minutes each will share in pairs. List down the points on newsprint and facilitator will share the importance of evaluation. (See Handout 3.1)

Step 2: 20 minutes

Divide participants into four groups and let them discuss on the following:

Group Discussion	Group 1 and 3:	What are the similarities of monitoring and evaluation?
	Group 2 and 4:	What are the differences of monitoring and evaluation?

Assemble the groups. Have each group present their findings taking their turn. The facilitator will share the similarities, differences of monitoring and evaluation form the handout with practical examples. (See Handout 3.1)

Step 3: 30 minutes

Group Work

Divide participants into four groups and distribute an incident. Give them Assignment Sheet 3.1. Let them discuss on the questions given in the Assignment Sheet. Each group will share their outcomes and get feedback from their colleagues. Facilitator will share the different types of indicators (see Handout 3.1).

Step 4: 30 minutes

Pair exercise

Ask participants to be in pair and distribute the form to each pair. Let them fill in the form attached in Assignment 3.2.

Plenary

The pair will share the outcomes of their discussion in the plenary and get feedback from others. The facilitator shares what needs to be evaluated in the organization on OHP from the handout and gives examples. (Components in Assignment Sheet 3.2)

Step 5: 10 Minutes

Sharing

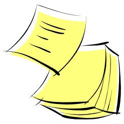
The facilitator will share the types of evaluation like external evaluation, internal evaluation, process evaluation and impact evaluation on the newsprint or OHP.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheets for each participant.



Handouts

- Handout 3.1: Understanding Monitoring, Review and Evaluation
- Assignment 3.1(a): NFE Observation
- Assignment 3.1(b): What to Evaluate?

Handout 3.1

Understanding monitoring, review and evaluation

"How we ensure that program has brought the changes in people's life."

Introduction

Evaluation is one of the core functions of management. Regular monitoring and periodic review and evaluation is necessary to measure the progress and impacts of planned program, identify the strengths and weaknesses, correct the deviation, re-plan the program, and improve the organizational performance. But in most NGOs the senior management team and board members have given either very 'LOW' priority or 'NO' priority to monitoring and evaluation. They give such reasons for not doing the proper monitoring, review and evaluation as: (a) programs are run for short period e.g. for three to five years;(b) they have to jump to another program before properly finishing the current programs; (c) in most programs, donors are not interested and they do not allocate budget for review and evaluation; (d) review and evaluation are costly and time consuming; (e) there is a tendency of completing the programs rather than evaluating; and (f) the review and evaluation data and information are not properly utilized as feedback for further improvement and planning.

Evaluation is one of the important components of the program cycle. The management and planning team need to consider the concept of program evaluation at the beginning of and throughout the program planning progress. Monitoring and evaluating the planning activities and status of implementation of the plan is -- for many organizations -- as important as identifying strategic issues and goals. One advantage of monitoring and evaluation is to ensure that the organization is following the direction established during strategic planning. Another major advantage is that the management team can learn a great deal about the organization and how to manage it by continuing to monitor and evaluate the planning activities and the status of the implementation of the plan. Note that plans are guidelines. They aren't rules. It's OK to deviate from a plan. But planners should understand the reason for the deviations and update the plan to reflect the new direction. This is shown in the following diagram.

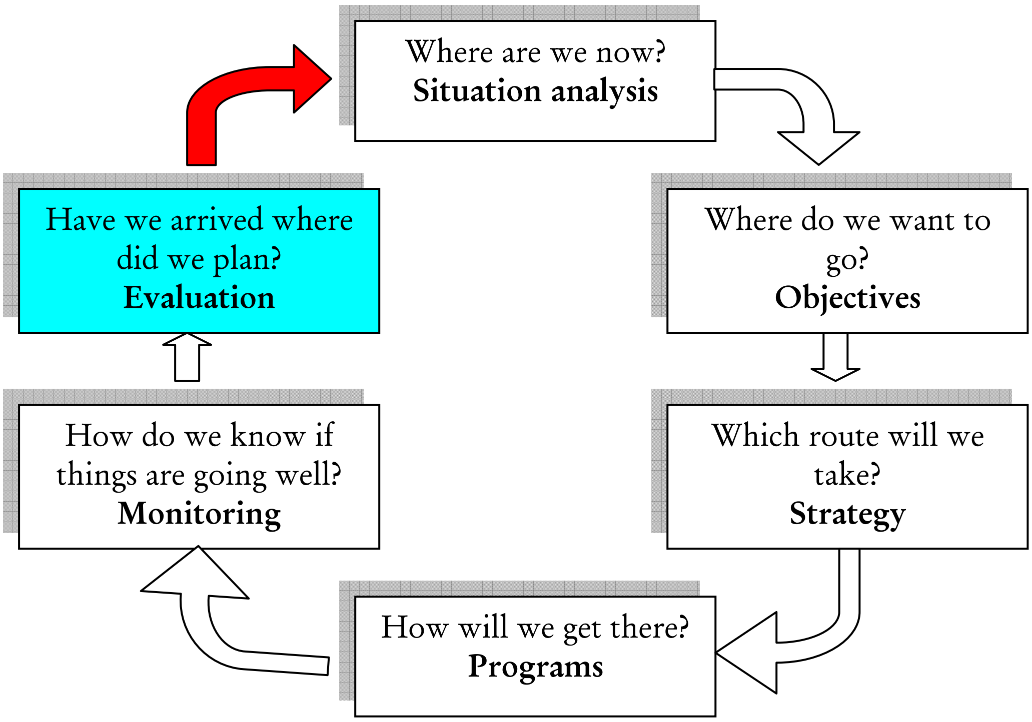


Fig. 3. 1 Planning Cycle

Here we will be briefly discussing monitoring and program review which are interrelated components of evaluation.

Monitoring

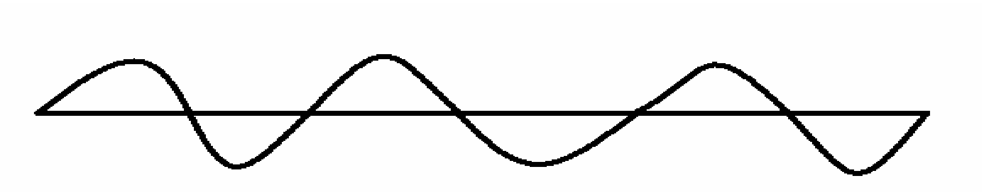
Monitoring is the systematic and continuous collecting and analyzing of information about the progress of a piece of work over time. It is a tool for identifying strengths and weaknesses in a piece of work and for providing the people responsible for the work with sufficient information to make the right decisions at the right time to improve its quality. A monitoring system is not simply a means of collecting information, it must be a communicating system, in which information flows in different directions between all the people involved. Monitoring is the key to good planning. If monitoring systems work well, evaluation is necessary less often; and when it is needed, it is much easier to carry out.

Monitoring:

- Systematic assessment of the progress of a piece of work over time.
- Is continuous assessment.
- Always looks forward.
- It needs qualitative and quantitative data.
- It is done using verities of methods and techniques.
- It helps to see strengths and weaknesses.

- It is a decision making and management tool.
- It should be done in each and every component of the project spiral

The following diagram shows how monitoring is being done in different activities of the program. Everybody is responsible to monitor their part of work and activities but there should be overall monitoring system to ensure that whether all the activities are properly done and contributing to achieve the objectives. For example, financial section is responsible to monitor all the income and expenditure, financial procedures and human resource section will be monitoring all the activities and policies related to staff and volunteers in the organization.



Activity Monitoring

Review

Review is the assessment at one point in time of the progress of a piece of work. The basic purpose of a review is to take a closer look than is possible through the process of monitoring. Reviews can be carried out to look at different aspects of a piece of work and can use a range of

- Review is assessment of the program at one point.
- It also needs the help of the monitoring system.
- It is management and decision making tool.
- It could be done to look at different aspects of a piece of work.
- It also analyse the strengths and weaknesses
- It needs qualitative and quantitative data.

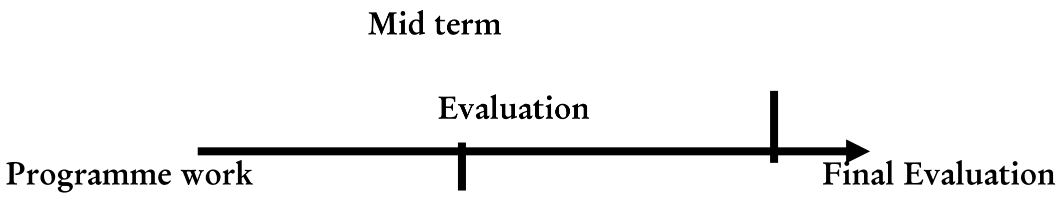
Program

Most of the organizations run the program without doing proper baseline survey at that time it may be difficult to measure the progress of the programme against its basic data so in such situation review helps to analyze the different aspect of the programme like, resources, efforts, timing etc. Review can be done periodically with staff and stakeholders to identify where the program is, whether the program is on right track, what has been achieved, what needs to changed etc. This is broader than the monitoring function. Review can be done department wise to asses whether the departmental objectives is going to achieve, whether the resources are utilized in proper way or not, whether the function of the department is contributing to achieve overall objectives of the organization.

Evaluation

Evaluation is the assessment at one point in time of the impact of the piece of work and the extent to which stated objectives have been achieved. Evaluation is judging how well the organization is doing in achieving program strategies, and project goals and objectives. Evaluation is usually more formal than a review. It concentrates specifically on whether the objectives of the piece of work have been achieved, its effectiveness, what impact has been made and collects the information on management issues as well. The process of evaluating work is also vital if people are to learn from experience and if they want to use their experience to influence others. Failures and successes are equally important.

- It is the assessment of impact
- It always assesses the value of work
- It is done at one point in time.
- It measures strengths and weakness of the work.
- It sees whether the objectives of the program have been achieved.
- It needs qualitative and quantitative information
- It is used as a management tool.
- It always looks backward.



Evaluation can be done periodically or at the end of the program. The organization may choose to evaluate either both whole processes and outcomes of the program or part of it. Considering the need the organization may decide to evaluate the whole program, its training functions, cost benefit and financial system, Human resource functions, organizational development policy and procedures, Managerial and administrative functions etc.

Differences and Similarities of Monitoring and Evaluation

SIMILARITIES		
Contents	**Monitoring**	**Evaluation**
Tools Information Identification Planning Decision	Management tool Quantitative and qualitative Strengths and weaknesses Needs detail planning Decision making tool	Management tool Quantitative and qualitative Strengths and weaknesses Needs detail planning Decision making tool
DIFFERENCES		
Vision Time Frame Feedback Who does? Communication Helps	Looks Forward Continuous process Day to day management Internally Regular Flow For Review and Evaluation	Looks Backwards Periodic Future Planning Externally and internally Periodic Future Planning

Why Evaluation is Important?

Evaluation is carried out primarily as a way of looking at program activities, human resources, material resources, information, facts and figures in order to monitor progress and effectiveness, consider costs and efficiency, show where changes were needed, and help to plan more effectively for the future. The organizations may have different purposes of evaluating their program, product, delivery of services and activities. The purpose of evaluation depends upon what the management wants to be able to decide as a result of the evaluation. Following points may justify the importance of evaluation in the organization.

- Process evaluation allows the organization to achieve economies in the conduct of the programs, as it examines the costs and benefits of its different aspects e.g. supplies costs, cost of human resources, administrative costs etc.

- Process evaluation allows for the redirection of organizations' efforts, as management determines which elements of the methodology have or do not have the desire results.

- Evaluation can provide management with information on which to base program, product and service decisions.

- Evaluation evidences help senior management team to clarify program goals, strategies, approaches, processes and outcomes for management planning

- Evaluation can provide staff with information to reinforce their efforts or to recommend new directions in which to move and strengthen the monitoring system within the organization.

- Evaluation can be used by policy makers as a tool in directing the organization into productive, efficient and effective channels.

- Evaluation, when it shows evidence of the strengths of the programs, can provide motivation to the stakeholders of the organization.

- Evidence of the evaluation helps to influence and convince donors for the reassurance of current and future funding sources.

- Evaluative information is a powerful instrument for an organization's public relations program, advocacy, lobbying and influencing in decision making process.

- Evaluations can help others in similar or same fields to anticipate problems in implementing similar programs and provide yardsticks against which they may measure their success.

- One advantage of monitoring and evaluation is to ensure that the organization is following the direction established during strategic planning.

However, some people give other reasons for evaluating the program such as:

- Because our donors/funding agency asked for it

- Because the researchers wanted to try out new evaluation techniques

- Because new martial was needed for publicity purposes.

- Because of the government policy

What are Indicators and their Importance?

An indicator is a marker. It can be compared with a road sign which shows whether you are on the right road, how far you have traveled and how far you still have to go in order to reach your destination (for objectives). Indicators show progress and help to measure change. Some indicators are scientifically proved and used everywhere for example we can see so many indicators in a car, quantity of fuel, mile meter, light to show whether the doors are closed properly. It is easy to use scientifically designed and proven indicators but since we are working in social sector we have to set out the indicators against aim and objectives by ourselves and evaluate the program whether it is going to achieve the objectives or not? If not where are the weaknesses and where are the deviations? How to make corrections? Many indicators are consist of measurements and are expressed in numbers, such as:

An average: For example, the average age of child club members is 14 years.

A ratio: Such as the number of teachers in relation to the numbers of children in primary schools in a specific area, (e.g. one teacher to 90 children) 1:90 Students Teacher ratio, one doctor for 50,000 patient in a district. Ratio of boys and girls in higher secondary schools is 60:40.

A percentage: (part of a total) like 50% out of school children attend the NFE classes of Sanatan VDC among them 20% are girls. Out of 32 girls attending District level test of grade eight, 30% passed in first division and 70% passed in second division. In 2062, 46% passed the SLC exam.

A rate: Such as the infant mortality rate, which is the number of children under one years who die in a year, in relation to 1000 live births in that same year. Inflation rate of the market price, literacy rate, morbidity rate, Mortality rate etc.

While setting the indicators in our program we need to consider different types of indicators. Some of them are described below

Indicators of availability: These show whether something exists or whether it is available to the particular group of people or place or not. For example, an indicator of availability of an agricultural developmental worker in a village, this might be whether there is one agricultural worker available for every fifty houses. Is there a trained Sudeni (traditional birth attendant) available for 25 pregnant women during delivery or not. Are books available for each student in the NFE center or not.

Indicator of accessibility: This show whether what exist is actually within reach of those who need it. For example, a primary school available in one village may be out of reach of the small students of other villages in the area because of no bridge in the river, lack of transport, or people's poverty. A health post may be inaccessible to the women of other villages. An ECD center will be out of reach if they have to walk more than one hour. A school may be out of reach to the disable children. Remote farmers may have inaccessible to the market to sell his/her farm and non-farm product. A water tap may not be accessible to a woman due to travel time.

Indicator of utilization: This shows to what extent something that has been made available is being used for that purpose. For example, an indicator of utilization might be how many illiterate villagers are attending literacy classes regularly. How many poorest of the poor women are taking loan from the microfinance scheme. How many of Musahar children utilizing the benefit of ECD center?

Indicators of coverage: This shows that proportion of those who need something are receiving it. For example an indicator of coverage might be, of the number of children estimated or known to have immunization in a particular area actually receiving full doses of immunization.

Indicator so quality: This shows the quality of standard of something. For example, an indicator of quality of water might be whether it is free from harmful, disease. Whether the children of grade one are getting quality education in primary schools (learning numeracy and literacy within a year).

Indicators of effort: This shows how much and what is being invested in order to achieve the objectives such as how long it takes how many human to plant what number of palm trees in a week. How much time of different people will be spent to bring village women in the NFE centre? Like wise convincing for family planning devices.

Indicators of efficiency: These show whether resources and activities are properly utilized to get the better results. Such as a bicycle for a supervisor improved his/her supervisory visits to the children clubs and provided proper guidance. A new computer in the office increased the qualitative documentation of information.

These show if what you are doing is really making any difference. For example, an indicator of impact might be, after a campaign against measles whether the incidence of measles has been reduced. After conducting awareness on birth registration, whether all needy children got their birth certificates or not.

Assignment Sheet 3.1(a)

Incident: NFE Observation

An NGO called Sahara is running ten Non-formal education centers since three years. The aim of the program is to increase the education standard of children who are out of school and enroll them in the different grades in primary schools. Once a team of board members, donor, District Education officer and Non-formal education specialist visited the centers to check whether the program is run as per the objectives or not. If you were also the member of that team in overall, what will you observe in the centers?

Discussion Questions

1. What will you look whether students are getting right education?
2. What will you see in facilitators' performance?
3. What do you see in education materials?
4. What will you focus on, if you want to assess the quality education?
5. How do you ensure that the students are enrolled in primary school?
6. So what are indicators?

Assignment Sheet 3.2(b)

What do we need to evaluate in the Organization?

In the assigned group, complete the following format on the basis of the example attached.

S.N.	Components	What information is required?	Sources of information	Use of informati on
1.				
2.				
3.				
4.				
5.				
6.				

Example

What do we need to evaluate in the organization?

S.N.	Components	What information is required?	Sources of information	Use of information
1.	**Mission and goals of the organization**	- Is the mission clearly written? - Will the goals contribute to vision?	- Constitution of the organization - Organizational profile	- Share with stakeholders - Clarity to all staff and board members what the organization is going to achieve
2.	**Organizational structure**	- Is it horizontal or vertical? - Is line of command and supervision is clear? - Is there enough room for coordination and cooperation?	- Organogram	- What is the decision making process (participatory or non-participatory? Who decides? - Distribution of authority and responsibility.
3.	**Staff/personnel issues**	-Recruitment and selection. - Performance - Capacity and competency - Achievement - How s/he works in the team -Training opportunity	- Training institutions - Universities - Job description - Performance appraisal sheet - Supervisory meeting minutes	- Right person at right place -Give support and feedback to the staff - Training and staff development - Improve performance appraisal

		-Distribution of authority and responsibilities	- Training record - Staff meeting - Observation at the work place	- Modify and clarify job descriptions
4.	**Project Budget and expenditure**	- Expenditure by program - Expenditure done as per budget headings - Balance of budget remaining this year - Deficit budget in some headings - Rates of inflation - Funding sources - Exchange rates - Financial audit	- Budget Sheet - Program planning - Budget break down - Bank statement - Cash balance - Financial report from programme side - Audit report	- Cost comparison among different program -Forecasting expenditure -Make correction on deficit - Requesting fund or raising it locally - Identify high or low expenditure within the programme - Improving financial management - Compare costs with the achievement of the program
5.	**Supplies**	- What supplies are required in office and for program - Where can we get those things	- Office record and program record -Store book	- Get quality supplies -Obtain best value supplies

		- What is the market price - Who can offer in low price - What is the stock level - When do we need to order - How the supplies are stored	- Stock record - Organizational Policy about supplies - Store room	- Get supplies in time - Maintain adequate stock level in the store room
6.	**Scholarship Program evaluation (as an example)** (50% children between the ages of 5-15 years will get scholarship and get enrolled in schools.)	- How many children (boys and girls) getting scholarship? - Have the targeted children getting the scholarship as planned - Whether the scholarship money is utilized properly - What changes has it brought in the education of targeted children - Meeting Minutes	-Scholarship register - Educational register in school and non formal education - progress report of the targeted children (boys and girls) - Observation in the field	- See the impact of scholarship program - Improve the management process of scholarship - Re-planning
7.				

……..Activity Two

Present practices, structure, mechanism and tools for evaluation

Time: **Two and half hours**

Why do this Activity?

This activity helps to analyze present practices of evaluation in the organization. It also describes structures, mechanisms and tools for effective evaluation.

Learning Objective

- Analyse the present evaluation practices in their own organisation, and adopt appropriate structures, mechanism and tools for effective evaluation.

How to do the Activity?

Note	Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 40 minutes

Group exercise	Divide participants in their organizational groups and distribute Assignment Sheet 3.2 (a) to each individual. Let them discuss and find out the present practices of evaluation in their organization on the basis of questions given.
Plenary	Assemble the groups. Have each group share their findings. Facilitate discussions on the present practices of evaluation.

Step 2: 20 minutes

Presentation	Describe the steps of evaluation with practical examples showing visuals. The steps are in handout.

Step 3: 90 Minutes

Group exercise

Let participants seat in organizational groups and ask them to review the answers of 15 questions. Distribute Assignment Sheet 3.2(b) to the group.

Share one example on how to fill in the format. The group will list down the positive and non-practiced structure and mechanisms in the format and put the ways of improving, adapting with tools.

Plenary

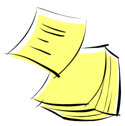
Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts to each participant.
- Copies of assignment sheets to each participant.



Handouts

- Handout 3.2: How to Evaluate the Program?
- Assignment Sheet 3.2 (a): Present Practices of Evaluation
- Assignment Sheet 3.2 (b): Monitoring Structure, Mechanism and Tools

Handout 3.3

How to evaluate the program?

What to Evaluate?

As we discussed earlier, every person, who is responsible for a particular type of work, should also know the areas of monitoring. So far as review and evaluation is concerned the senior management team and section heads are responsible because they are liable and accountable for overall work of the organization and their concerned department. What to review and evaluate is being decided by the nature of work and the purposes of evaluation. As discussed above, most of the managers are reluctant to evaluate their organizational functions as well as program work because they are frightened of being ineffective and inefficient. But taking into consideration the advantages and importance of evaluation all the managers should be ready to plan and evaluate their programs, financial procedures, cost benefit analysis, personnel functions, administrative practices, procurement and management of store, training and development activities, periodically review the organizational structure, program strategies, approaches, sustainability, staff performance, role and responsibility of board members etc. These all help not only analyzing the particular tasks but also support to analyze the external context and situation.

For an example, we are going to discuss on what to evaluate and in general what needs to be considered while evaluating different components.

Organizational Development: In NGOs this component is being hardly evaluated and reviewed. As a backbone of the organization this is extremely necessary to review and evaluate the organizational development part. Is the organizational structure supportive enough to perform the tasks to each department? Is the structure participatory? Is there participatory system and mechanism within the organization? Are the policy transparent to staff, board and stakeholders? Is a personnel policy is place and followed properly? How is the financial policy in the organization?

Performance Evaluation: Are staffs getting written job description? Is there a supervisory practice within the organization? Is performance evaluation being done annually? Has the performance evaluation clear objective? Is it done only with junior staff or with all? Does it relate with reward and punishment? Is there staff development policy? Are enough resources allocated for staff development? How is staff turnover rate? What is the policy of staff retention?

Program: How many programs are being conducted by the organization? Are the overall strategies of the program realistic? Are the program goals realistic? Are they related with the organization's values? Is there enough resources (people and non-people) to achieve the objectives of the program? Is the program moving as per plan? Is there monitoring mechanism? How the documents are kept? Are stakeholder happy with the programme? Has it brought some changes in the life of target population? Is there system of participation of stakeholders? How much stakeholders says are heard by the senior team?

Training Function: Is there separate training section? Who do get training from training section? How is the capacity of trainers? Are they internal or external? How is the cost benefit of training section? Does it allow outsiders to take part? If yes, free or cost sharing basis? In what area the training is being given? Does training section develop training curriculum, session plan and conduct training? How frequently the section evaluates its training? Here is one checklist on how to evaluate training:

An example of evaluating the training

Training evaluation is often looked at from four different levels

a) **Reaction -** What does the learner feel about the training?

b) **Learning -** What facts, knowledge, etc., did the learner gain?

c) **Behaviors -** What skills did the learner develop, that is, what new information is the learner using on the job?

d) **Results -** What results occurred, that is, did the learner apply the new skills to the necessary tasks in the organization and, if so, what results were achieved?

Although level 4, evaluating results and effectiveness, is the most desired result from training, it's usually the most difficult to accomplish. Evaluating effectiveness often involves the use of key performance measures. This is where following sound a principle of performance management is of great benefit.

Training and development activities can be evaluated before, during and after the activities. Consider the following very basic suggestions:

1. *Before Implementation Phase*

- Will the selected training and development methods really result in the participants' learning the knowledge and skills needed to perform the task or carry out the role?
- Have other participants used the methods and been successful?
- Consider applying the methods to a highly skilled employee. Ask the employee of their impressions of the methods.
- Do the methods conform to the participant's preferences and learning styles?
- Have the participants briefly review the methods, e.g., documentation, overheads, etc.
- Does the employee experience any difficulties understanding the methods?

2. *During Implementation of Training*

- Do they understand what's being said?
- Periodically conduct a short test, e.g., have the employee explain the main points of what was just described to him, e.g., in the lecture.
- Is the employee enthusiastically taking part in the activities?
- Is he or she coming late and leaving early?

3. *After Completion of the Training*

- Give him or her a test before and after the training and development, and compare the results?
- Interview him or her before and after, and compare results?
- Watch him or her performs the task or conduct the role?
- Assign an expert evaluator from inside or outside the organization to evaluate the learner's knowledge and skills?

When to Evaluate?

Different person and organizations have various practices regarding when and how frequently will they be monitoring and evaluating their activities. This needs to be mentioned in the monitoring and evaluation plan. For example, to monitor the events information can be collected on a quarterly, weekly, daily or hourly basis. Looking the nature of tasks and purposes of evaluation the information could be gathered to critical points in a process. Some organizations think that evaluation is a big job (looks holistically) which needs huge cost and time so they are reluctant to evaluate the program. If the organization has systematic monitoring mechanism then it will be easy to evaluate the programme. Depending on the objectives of the review and evaluation it could be done constantly (six monthly reviews, annual review, mid term evaluation, or evaluation could be done at the end of the project).

Steps in Evaluation

1. Deciding what needs to be evaluated
2. Collecting information
3. Analyzing information
4. Presenting results
5. Deciding on the further course of action
6. Following up Actions

Deciding what needs to be evaluated: In principles, when a plan is being prepared it should indicate how each program or activity should be evaluated and what will be accepted as evidence or satisfactory achievement. For instance, if the plan contains following targets:

" At the end of 2010 the number of out of school children in the 10 villages of Dang district will be reduced to 150 from the present (2005) number 500."

"And in 2010 the education facilities (formal and non-formal will be equally accessible to all children in 10 VDCs".

It should indicate that the achievement of the targets will be measured by (a) the number, (b) the rate of boys and girls at which the number falls over time. Therefore during the3 planning period it will be possible by using these indicators to monitor the progress being made towards the targeted reduction of the number of out of school children and at the end of the period the information provided by these indicators will enable the evaluation of the target to be carried out.

If the indicator have not been specified during planning the person or group responsible for evaluation must decide well before the end of plan period what information they must collect to evaluate the achievement of the program that is to be evaluated.

2. **Collection of information:** Evaluation requires that throughout the plan period the information needed to monitor and evaluate progress is made continuously available. Thus for the purpose of our example, every cases of out of school must be reported to the evaluation group, and arrangements must be made to obtain the information reliably and in good time e.g. once in three months or in agreed time. Education supervisor must be made responsible in each village for recording and reporting the information, and Education coordinator should be made responsible for collecting and processing the information at the end of every three months.

3. **Analyzing information and comparing:** At each monitoring point the figures obtained by the information process are compared with the target that had been set for that period of point in time and for each VDC. If we see the above example of out of school children and their enrollment then we have to collect different information.

- The number of boys and girls who are out of schools in ten VDCs.
- Number of boys and girls enrolled in schools and studying regularly
- Number of boys and girls registered in Non-formal classes and regularly studying
- Total number of boys and girls attended education facilities and completed schools in five years time.

Comparing these figure in year to year basis shows whether the number of out of school children is decreased in each VDC and whether the targeted result can be achieved or not.

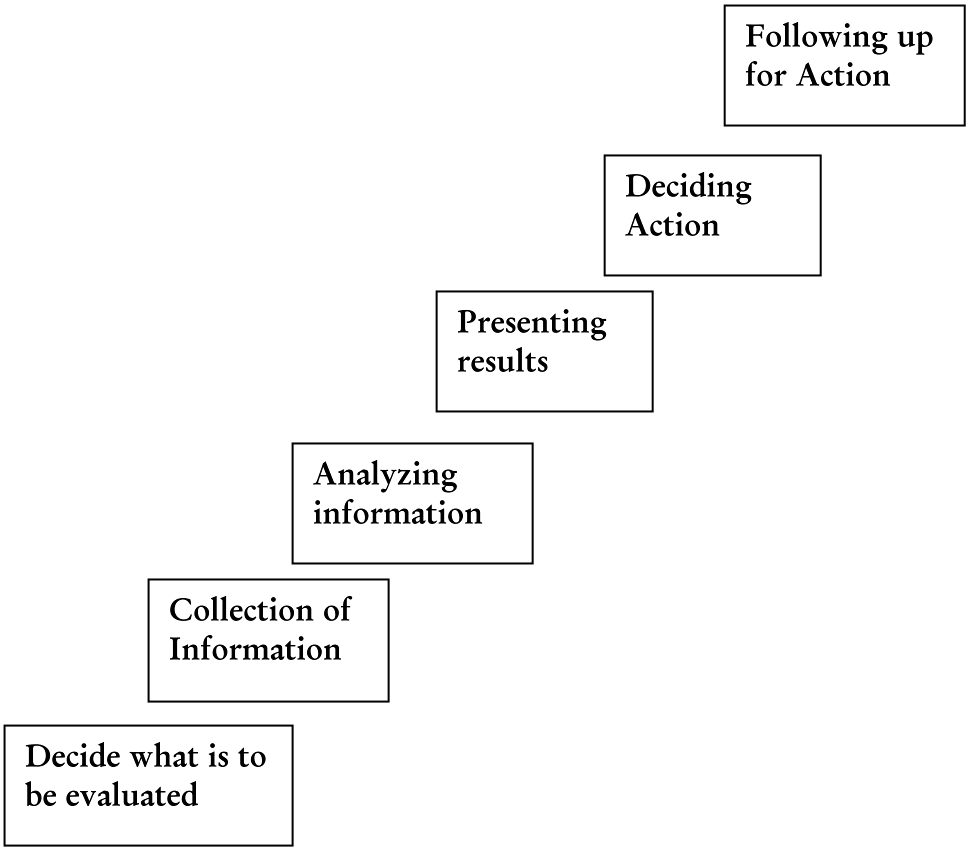
4. **Judging and presenting results:** Once the measurement and comparison have been made the evaluation team must judge the value to the community of what has been achieved. In the example given here the judgment is simple matter of whether the total number of out of school has been reduced to the targeted figure and the distribution of education facilities is available in each 10 VDC. It is usually advisable to hold a meeting to discuss the results and how they were obtained even when the objectives or target is achieved. For example, it may be that the target could have been achieved with same effort. At any rate, the experience gained in achieving a target or objective is likely to be valuable for other programs.

When the result achieved falls below what was expected the reasons for the shortfall must be explored and analyzed. This should take place before the report is prepared so that corrective action may be proposed the senior management team. The discussion on the cause of shortfall need to be made with different level of people and find out the performance or situational gap in Education coordinator level, education supervisor level, School teachers level, Non-formal facilitator level or community level.

5. **Deciding on the further course of action:** When targets and objectives have been satisfactorily achieved, on the principles of "management by exception' no new decisions are needed, except to continue before. When the achievement has not been satisfactory, then on the basis of recommendation of the evaluation further action needs to be planned. In this situation, one type of action is to investigate in depth the causes of shortfall by means of assessment, staff performance appraisal, management audit, social audit etc. A different kind of decision might be to re-assign staff or resources to strengthened the effort where needed. The team leader should inform to all the concern about the findings of the evaluation and take necessary action. In our example of education program to out of school children the team leader may decide to train teachers for quality education in schools, or lobbying and influencing the department of education for providing scholarship to the poorest of the poor children who have completed their SLC exam. But some evaluation will recommend to make the major changes in the programme, organizational structure, may be change in policy, approaches and strategies at that time all the board members, staff need to be together and re-plan the program and its other supportive activities.

6. Following up for Action: Once the decision is made for further action a regular follow up is required. This needs to be incorporated in the new action plan with the responsible person. The resources need to be allocated for new actions. Evaluation Steps

Figure 1



Responsibilities for Evaluation

The strategic plan document should specify who is responsible for the overall implementation of the plan, and also who is responsible for achieving each goal and objective.

The document should also specify who is responsible to monitor the implementation of the plan and made decisions based on the results. For example, the board might expect the chief executive to regularly report to the full board about the status of implementation, including progress toward each of the overall strategic goals. In turn, the chief executive might expect regular status reports from middle managers regarding the status toward their achieving the goals and objectives assigned to them. Likewise the middle managers expect regular reporting of the activities from supervisor levels which have been assigned for them. Following table shows the responsibility and time of review and evaluation.

Table 1 : Tentative schedule of review and evaluation

Components	Review and Evaluation objectives	Activities	Responsible person	When?	How to use information?
Staff performance appraisal	To examine whether all staffs are contributing to achieve the organizational and program aims.	Preparation of both parties (staff and manager) Every Line manager will appraise the performance of their co-worker.	Human Resource Development Officer	Every line manager has to complete the appraisal by Mid-July of each year	Identify the gap and strengths of staff competency. Prepare staff development plan and implement
Financial audit	- Examine cost benefit - Assess the implementation of financial procedure	-Conduct internal audit first and then external audit in financial documents	Finance Manager	By the end of May 2007	Resource allocation Plan Fund raising Cost effectiveness
Training program	- Examine the effectiveness of the training	- Review and evaluate training in - Conduct three phases evaluation (before implementation, during implementation and after conducting training)	Training coordinator	- After finishing each training. -(Impact study could be done later on)	- Assess the effectiveness of the training. -Whether the trainees have developed competency Look for refresher training

Program review	Assess the process and impact of the progra m	Revie w with stakeh olders and staff	Progra m Manage r	- Every six month with all stakeholders. (June and December) Mid term evaluation in two years time (August 2008) Final evaluation at the end of the program (June 2010)	Improve deviation - Replan and reallocate resources. - Share and replicate the program. - Lobbying and influencing policy makers.

How Can Information Be Collected?

There are varieties of methods and tools for collecting information in monitoring, review and evaluation. The most appropriate methods can be selected according to the kind of information that is needed; who is collecting it, and when and how will it be used. A combination of tools should always be used so that data can be cross checked. It is the evaluation team to choose and use the appropriate methods and tools as per objective of the evaluation. Here we will be discussing some tools in brief.

a. Secondary sources: We can extract relevant information from the different documents. They could be Project reports, records, Baseline data, and any other documentation about the place, people or problems should first be gathered and examined. This will help to formulate the questions, identify sub-topics for designing evaluation. The reading of previous document avoids duplicating the study. For this purpose the monitoring records need to be properly documented and maintained in the organization. We can find out the secondary sources in the form books, reports, charts, diary, manuals, training curricula, spread sheets, graphs, case studies, policies, procedures, memo, letter of understanding, job description, contract paper, mappings, video, Photographs etc. Sometime an elderly person can be the source of information. If we are clear on what information do we need then this will be very much helpful.

b. Direct observation: Direct observation means observing objects, events, processes, relationships or people's behavior systematically and recording these observations. Direct observation is a good way to cross check people's answers to questions. For example if a line manager is doing the performance evaluation at the time she can go the work place and observe the work of the supervisor. While observing the work the line manager can look the behavior towards others, relationship with the community, observe decision making and communication skills of the staff. Observation techniques may be used to look at apart of program, such as training, meeting, workshop sessions etc. We can observe teaching styles, child – facilitators' relationship in the ECD center. The observation technique provides the opportunity to cross check with target population. This is helpful to identify the qualitative as well as quantitative work. This can be made participatory. Some members of the target population can make focus observation and have in depth study of the program. If it is not well planned then it will be difficult to record, interpret and analyze the information. In this method checklist can be used to help ensure certain factors are noted.

To draw up the checklist think about the objectives of the evaluation and what information is required and identify the indicators that you can assess through direct observation. These indicators help to prepare checklist and questions.

If observation of same thing is to be carried out by different people, it is important standardize techniques, since different people perceive thing differently. This can be done by carrying out a simple exercise where several people observe the same event together and what they see. This can then be crossed checked.

c. **Semi Structured dialogue or Interview:** In this method the interviewer do not use a formal questionnaire. Instead of questionnaire they use a checklist of questions related to each sub headings.

For an example: School going age children are not attending school. Key questions:

- Why children do not go to school?
- How many are (girls and boys) not going to school?
- Who are those children who do not go to school?
- How can we help them to be educated?

Questions can be added or omitted as appropriate.

This is a flexible tool which must be used systematically in order to produce valid results. Here are some guidelines.

- Interviewing team should consist of between two and four people of different discipline.
- Begin with the traditional greeting and state that the interview team is here to learn
- Begin the questioning by referring to someone or something visible.
- Conduct the interview informally and mix the questions with discussion.
- Be open-minded and objective.

- Let each team member finish their line of questioning (do not interrupt)
- Carefully lead a sensitive question.
- Assign one note-taker (but rotate).
- Be aware of non-verbal signal.
- Avoid leading question and value judgment.
- Avoid question that can be answered with "yes" or "No".
- Individual interview should last no longer than 45 minutes.
- Group interview should last no longer than two hours.
- Each interviewer should have a list of topic and key question written down in his her note book.

d. Case Studies: A case study is a detail description and analysis of single event, situation person, group, institution or program within its own context. A case study can provide a deep look at something. Case studies have been used for a long time in law, medicine, social work and social sciences. Case studies can be used to examine the impact of a program on particular household or particular person (children, women, disable). Checklist can be used to ensure certain questions are addressed, without being restricted only to predetermined indicators it can be useful way for looking at on expected outcomes and indirect effect of a program, and to see how other factors have contributed to any changes in people's lives.

The selection of certain household for case studies needs to be made in a systematic way to avoid concentrating on a favorite or most interesting family. In order to trace any long-term changes caused by the program, there also need to be some mean of following up information on the members of the families if they later move away (for example because of marriage, conflict, disaster, political unsettlement). For an example, how the income generating program supported to a family to change the living standard. In case study the indicators would be, expansion of fixed assets, improvement in house, clothing, Nutritious food, schooling of children, hygiene and sanitation, more investment in business etc.

e. Questionnaires: A questionnaire is a group of written or printed questions used to gather information from respondents who will provide answers to the questions. In this way information can be obtained on what individuals, families or groups do, think, process, expect, feel, want need plan or have experienced. A list of questions is designed by the evaluation team and distributed to the target group or staff or other community members. This could be filled in either by individual or by the group of people. This is no a participatory method if it is filled in by individual. It is very helpful to collect the confidential information. Some people feel comfortable to give written comments rather than talking in the group. It is designed in a systematic way so it will be easy to record and interpret. It is not appropriate for illiterates. The questions can be asked in one of two main ways described below.

Open ended or free response questions: The respondent answers these questions in her/his words and whatever length she/he chooses. This type of questions helps to extract feeling and attitude of the people.

Fixed Choice or fixed-response questions: The respondent is asked to choose one or more answer s from those provided. This way of asking question is good for gathering facts and is often used where much information is already known.

f. **Focus Group discussion:** This method is very helpful to get the qualitative information in evaluating any program. In this method the evaluator just give the prepared issue to the group of people six to twelve. The people could be the beneficiaries of the program, community people who are not the direct beneficiaries etc. The group starts discussing among themselves and the evaluator need to steer the discussion in between. A reporter should take the note of main points and issues. This is participatory method of evaluating the program.

Each method and tool has its advantages and limitations so the evaluation team needs to be conscious while selecting the methods. There are other PRA techniques which help to make the monitoring and evaluation more participatory. They are mapping, chapatti diagram, transact walk, drawings etc. The evaluation team needs to plan the methods and tools to be used to collect information.

Reporting the Results of Evaluation

The evaluation report needs to be recorded and reported in various forms. They could be in written and oral. Reporting the results is one of the most important and most interesting part of an evaluation. All too often evaluation results are reported only by staff, researchers and experts; people at community level usually take little part in deciding what the results are and how they will be reported. Many written evaluation report are full of complicated statistic and difficult words. They are not intended to be understood by those outside of ministries, departments, organizations, funding agencies, universities, etc.

In participatory evaluation programs staff and participants go through all the stages of planning, and carrying out an evaluation. They are then ready to report the results of they have found. They are also better able to see program strengths and weak nesses, and to decide which plans needed to be made for future action.

In an evaluation some results will be presented in writing, some numerically and some spoken words. For example, there may be brief report which has been prepared by different individual and groups. There may be survey and questionnaire results. Some numerical result will need to be turn into simple percentages..

Exactly who does what in reporting the result will depend on the purpose and methods used in each evaluation. It will also depend ton the capabilities of the participants. With brief training some participants at community level can also analyze the report evaluation results numerically. However, it is essential that they understand the meaning behind such results and that the presentation does not become merely an exercise in adding up numbers. The report can be prepared and recorded in different forms they are: Graphs, photographs, charts, maps, drawings, table, diagram, pictures, Tape recording, computer, CD, slides, written document s etc

Use of Evaluation Results

Good evaluation depends partly on good monitoring, supervision and program management, and a well thought out information system. In participatory evaluation one of the objectives is for staff and participants (stakeholders) to join together in producing the evaluation results. In this way both staff and participants are better able to assess program progress and to take decisions concerning future action.

If evaluation results are to be useful they have to be shared with those who can make use of them. They are not useful if they are just “filed and forgotten”. What does the evaluation result mean? How can the recommendation of the evaluation be put into action? The results of the evaluation can be used by the staff, for making management decision, who has been involved in planning and implementing the program, finance, training, research, monitoring, administration and overall organizational policies. The result is equally important for the board of directors, stakeholders, direct beneficiaries, donors, community people, and other academicians, government people and decision makers.

Assignment Sheet 3.2(a)

Present evaluation practices

In the assigned group, discuss and find out the present practices of evaluation in your organization on the basis of questions given below.

1. Is base line data collected before implementing any programme?
2. Are review or evaluation plans incorporated in program planning?
3. Has your organization allocated budget for evaluation and review? What is the basis?
4. Has your organization planned to evaluate in near future? If yes, when?
5. Has your organization done any evaluation? If yes, in which area of the program?
6. When the evaluation was done? Was it done internally or externally or both?
7. Is there Monitoring and Evaluation section, unit or department in your organization?
8. How the monitoring documentations are maintained in the organization? Like computer, filing, chart, graphs, photographs, video, CD etc.
9. How the feedback of monitoring is shared within the organization?
10. Do you have any program review and planning meeting with staff? If yes, how frequently?
11. How frequently the financial audit is being done in the organization?
12. Are all the line mangers and supervisors involved in regular supervisory meeting of their subordinates?
13. Is there system of performance evaluation of all employees? How frequently it is being done?
14. How frequently do you organize review meeting with the stakeholders?
15. Is there any practice of public audit? How frequently? Who participate in public audit meeting?

Assignment Sheet 3.2(b)

Monitoring structure, mechanism and tools

In the assigned group, prepare monitoring structure, mechanisms and tools in your organization by looking at the example attached.

Format for Monitoring Structure, Mechanism and Tools

S.N.	Program/Activities	Structure and Mechanism	Tools	How to use the information?
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10				

Example

S.N.	Program/Activities	Structure and Mechanism	Tools	How to use the information?
1.	Collect base line information	Participatory base line survey before any program starts	Field observation, focus group discussion, STI, Interview, study of previous data other PRA tools.	To see the changes, impact and progress if any against original data. Planning To allocate budget
2.	Staff performance appraisal	Compulsory done by all line managers in annual basis, Relate with supervisory meeting.	Appraisal format, Interview, Interactive discussions, documentation of appraisal, supervisory meeting record	To identify staff development need and plan, review job description Motivation Promotion and reward?
3.	Monitoring of activities and program	On going by each section, person,	Observation, activity sheet with indicators, Video record, Use of format, Documentation	Correct deviation, use in mgmt. Decision, Re-allocate resources, Use in review and evaluation,
4.				
5.				

Reference for Developing Monitoring Mechanism and Structure

A detail monitoring and evaluation plan of HRD functions in an organization

From a quick review of the personnel and HRD system of an organization, it has been identified that many staff have not have job description; there is no system of supervisory meeting and performance appraisal mechanism. Considering the recommendation of the review team the senior management team decided to activate the HRD and personnel section (one responsible for both) and asked for one year plan. The Personnel team of two led by HRD coordinator developed a plan for the period of August 2006 to December 2007 and approved by the senior management team. There are altogether 21 staff members including senior staff.

S.N.	Activities and program	When?	Who?
1.	Share the findings of the review with all staff in a workshop.	5th August 2006	Executive Manager
2.	Assign the tasks to HRD coordinator	5th August 2006	Executive Manager
3.	Develop generic job description as per post of the staffs	15th October 2006	HRD coordinator
4.	Prepare specific job description with the help of concerned section chief e.g. Finance manager, Program manager, Administrative Officer.	21st December 2006	HRD coordinator
5.	Distribute JD to all	1st January 2007	HRD coordinator
6.	Develop Supervisory format	20th January 2007	HRD coordinator
7.	Share with senior staff	25th January 2007	HRD coordinator
8.	Incorporate comments and finalize the supervisory format	30th January 2007	HRD coordinator
9.	Organise orientation workshop for all staff on using the supervisory format.	2nd Feb 2007	HRD coordinator with program manager
10.	All line managers conduct supervisory meeting with subordinate staff in every three Months and document	Feb, May, August 2007	All line managers
11.	Revise and develop personnel policy	20th May 2007	HRD Coordinator
12.	Prepare Performance review format	15th July 2007	HRD Coordinator
13	Share format with the senior team	20th July 2007	HRD coordinator with Manager
14.	Conduct annual performance review	15th November 2007	All Line managers
15.	Submit performance review to	15th December 2007	All line Manager

	HRD coordinator		
16.	Analyse performance review report of all staff	31st December 2007	HRD coordinator
17.	Design staff development plan and ask for resources	January 2007	HRD Coordinator, Finance Manager, Executive manager
18.	Share staff development plan with all staff	January 2007	HRD coordinator with staff

Review and Evaluation Mechanism in the organisation

S.N.	Components	What?	When?	Who?	Remarks
1.	Program Review	Six monthly review	January 2007	Program manager,	With staff and stakeholders
2.	Finance Audit	Yearly	July 2007	Finance manager	External and internal audit
3.	Organizational Review	Six monthly	15th January 2007	Executive Manager	Review of policy, structure, work etc. with senior staff
4.	Performance Appraisal	Yearly	November 2007	HRD Coordinator	All line mangers submit the appraisal form of their subordinate.
5.	Program Review	Six monthly review	15th July 2007	Program manager,	With staff and stakeholders
6.	Organizational Review	Six monthly	16th January 2007	Executive Manager	Review of policy, structure, work etc. with senior staff.
.					

……..Activity Three

Social Audit as a means of evaluation

Time: **One and Half hours**

Why do this Activity?

This activity helps to understand the concept of social audit, its importance and indicators. It also discusses the mechanisms and tools for social audit in an NGO.

Learning Objective

- Describe what social audit is and its importance and discuss the process and indicators of social audit.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 30 minutes

Group Discussion Divide participants into four groups. Distribute Assignment Sheet 3.3(a) to them. Ask them to discuss the case given in the Assignment Sheet in group based on the questions.

Plenary Assemble the groups. Have each group share their findings. Facilitate discussions on share what is public audit and why it is important in the organization using the materials in the handout.

Step 2: 60 minutes

Presentation As an example the facilitator will make a visual presentation of the components which need to be covered in social audit. The format of the components is in Assignment Sheet 3.3 (b).

Group exercise Divide participants into four groups. Give Assignment Sheet 3.3(b). Let them discuss in group and identify the sub headings and

Plenary

indicators of each component for social audit. Here four different components are given and each group works in one component. As a learning exercise each group has to identify at least ten sub headings of individual component and their indicators.

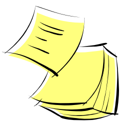
Assemble the groups. Have each group share their experiences. Facilitate discussions on the indicators.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handouts for each participant.
- Copies of assignment sheets for each participant.



Handouts

- Handout 3.4: Social Audit As A Means of Evaluation
- Assignment 3.3 (a): Case Study - A means of Social Breakdown
- Examples table 3.3 (b): Components in Social Audit

Handout 3.3

Social Audit and its importance

Concept of Social Audit

Organizations are everywhere in the society; they survive and grow within the society. Our life is associated with multiple organizations and we regularly use the services and goods they produce and deliver to us. Their business decisions have social implications. They need to act responsibly toward society. They must be responsive to the expectations, goals and interests of their stakeholders consisting of customers, community, employees, government and owners. Modern business and social organizations pursue social responsibility as one of their goals. Public audit is a tool to measure, evaluate and report the public performance of an organization. It evaluates effectiveness in achieving social responsibility goal and social performance. Social performance refers to activities that affect the general welfare of the society. Following two definitions help us argue, debate and discuss the meaning of social audit.

"Social audit is a comprehensive, systematic and periodic examination of an organization's social performance with a view to access and report its social impact."

"Social audit assesses and examines not only the social performance in terms of target achievement but also the impact or effectiveness of social performance about the social life of the people. It is conducted periodically."

Features of Social Audit

It is periodic assessment of the social performance of an organization. Social audit is not a one shot affair. It is done periodically. The periods can vary from one to five years, depending on the size of organization and organizational commitment to social audit.

It is a systematic examination which needs mechanism and process in the organization: Social audit involves an orderly examination of the social performance of an organization. It is a process audit-cum-performance audit. It also assesses the social impact or social good resulting from the social activities of the organization. It uses both qualitative and quantitative information for auditing purposes.

It is a comprehensive assessment: which analyses the different aspects,, components, policies, processes and activities of the organization towards bringing the social changes. They can be related to:

- *Environmental quality:* preventing and controlling pollution, protection of environment.

- *Human Rights:* protection and promotion of human rights including women and children and their interests.
- *Employments opportunities:* for women and other disadvantaged groups.
- *Stakeholder relations:* obligations towards owners, consumers, employees, community, government, discharged by the business and service organizations
- *Support of social causes:* for education, health, arts, culture, sports and other social needs
- *Legal compliance:* with laws relating to social responsibility

It needs modality: Social audit can be conducted either by inside internal auditors or by outside independent consultants. However, internal auditors may have bias ideas while examining the process, output and outcomes of the organization. Following factors need to be considered while conducting social audit.

- Multi-disciplinary orientation toward social dimensions
- Knowledge about business practices
- Technical expertise to carry out social audit
- Active support of top management

A participatory audit including different stakeholders helps to explore the real information.

It reports to the public who have been served by the organization: The output of social audit is a report. Such report not only assesses performance and impact but also makes recommendations for improvements in social performance arena. It should also point out potential areas that are relevant for the social activities. It should provide a true and fair picture of corporate accountability to society.

It examines the effectiveness and analyze the impact of organizational performance on social life: It does not only analyze the different relevant components but also critically examine how effectively and efficiently the organization has been providing the service and product to the community people. This looks whether the organization is spending much money and utilizing more human resources to bring small changes in the community.

Externalities: Most of the activities within the scope of social audit occur outside the business organization. This makes difficult the task to collect and verify information for social audit purposes. Moreover, social impact can be the result of multiple social activities of numerous organizations. This creates problem for social performance reporting of a specific organization.

The social audit is a part of evaluation which is not done at the end of the project or any activity but this is done from the beginning of the project.

Evolution of Social Audit

The term social audit was coined by Clark in his book "Audit for Management". In fact the concept of social audit came from the business organizations and now it has been used in social organizations. Social audit is a new concept. Its emergence can be attributed to the rising public concern about the social responsibility of business and social organizations. The social audit concept is still in an evolutionary stage. The key contributors to this concept are follows:

(a) Theodore Kreps (The Beginning Stage)

Theodore Kreps can be regarded as the father of social audit. He measured the social performance of 72 business industries over two decade (1919-1938). Kreps made an important beginning in social audit.

(b) Haward Bowen (The conceptualization stage)

During 1950s, Howard Bowen and his group of auditors conducted an independent appraisal of company's social responsibility every five years. Bowen conceptualized social audit. But he did not suggest specific parameter to conduct social audit

(c) Prakash Sethi

In 1970s Sethi provided the modern perspective to social audit by advocating that Social audit breaks down social responsibility of business into identifiable components and develops scales that can measure there components. Increasing awakening about social responsibility of business, growing globalization and increasing complexity of business have established social audit as an important tool for assessing social performance and impact of business and social organizations. However, the present state of art of social audit is in a developing stage.

Models of Social Audit

The concept of social audit is in a developing stage. The various models of social audit are:

A) Inventory Model

This model of social audit prepares an inventory of all the social activities undertaken by the organization. It is simply a listing of social activities. It covers the social performance and social impact which are not assessed by the finance auditor. Internal records of the organizations serve as the source of information for preparation of such inventory. In this model costs and benefits of social activities are not disclosed.

B) Costing Model

This model of social audit lists of all the social activities undertaken by the organization plus the cost of each activity. This model discloses social activities and their costs. But it ignores the benefits of social activities. The information is gathered from the internal records of organization. In this model the auditor does not cover the assessment of social performance and social impacts of the organization.

C) **Program Management Model**

This model of social audit assesses the achievement of financial and physical targets of each social activity. It examines whether the social objective was achieved or not in terms of social performance. The effectiveness of the management of social program is assessed but this model does not assess the benefits or impact of social activities. This model facilitates comparison of various social programs.

D) **Cost Benefit Model**

This model of social audit assesses both cost and benefits of social activities to the business organization and to the society. The overall performance and impact of social activities are assessed. Social costs and social benefits are estimated and quantified. Social activities are broken down in identifiable components. Scales are developed to measure the costs and benefits of each component.

Benefits and Problems of Social Audit

(A) **Benefits**

- Verification of social performance: Social audit provides data about actual social performance. This can be compared with social performance standards. Corrective action can be taken for formulating future policies relating to social responsibility.

- Increased awareness about social concerns: Interactions with employees and other stakeholders during social audit creates awareness about the social implications of organizational actions.

- Program comparisons: Social audit provides data about various social programs. Their performance and effectiveness can be compared.

- Cost-benefit comparison: Social audit provides data to compare benefit and costs of various social programs.

- Social performance reporting: Social audit provides data to be used for social performance reporting. Many big organizations report social performance in their annual reports.

- Effective decision making: Social audit serves as a basis for effective decision making about social responsibility. It promotes reactivity for social responsiveness.

- Increase reputation and credibility: Regular Practice of social audit increases the reputation and credibility of the organization among stakeholders, employees, donors, government and in the community. This process helps to maintain the transparency.

(B) Problems of Social Audit

- Lack of generally accepted social norms and standards: Financial audit is based on general accepted accounting and auditing principles. But social audit lacks general accepted social norms and standards. This creates problems for measuring, recording, verifying and reporting social performance.
- Difficulty in scoping: Theoretically, social audit should be comprehensive. In practice, however, it is generally concerned with pollution and personnel aspects. Problems arise in determining the areas for social audit.
- Problem of qualification and date collection: Social performance can be qualitative. This may not be quantifiable. Similarly, results and outcomes of social performance are difficult to measure. Data collection itself poses a problem because most of the social actions occur outside the organization
- Problem of reporting: Social performance audit reports may not accurately reflect social performance. This could create social conflicts.
- Expensive and time consuming: Social audit is expensive and takes time to be conducted.

Social audit is a complex job. Yet more and more organizations have been conducting social audit. In Nepal some of the organizations are ahead for doing the social audit.

Benefits	Problems
1. Verification of social performance	1. Lack of generally accepted social norms and standards
2. Increased Awareness about social concerns	2. Difficulty in scoping
3. Program Comparisons	3. Problem of qualification and date collection
4. Cost-Benefit Comparison Social	4. Problem of reporting
5. Social Performance Reporting	5. Expensive and time consuming
6. Effective Decision Making	
7. Increase reputation and credibility	

Steps for Social Audit

Social audit evaluates how well business is performing in social terms. Basic steps are:

Step one - Pre-Audit Activities

- Select business facility to be audited: Total facilities or parts of facilities may be audited. Selection criteria should be agreed.
- Form Audit Team: The scope of work should determine the number of team members and their qualifications. Audit responsibilities should be assigned to each team member
- Contact Facility to be audited: Obtain background information, determine information needs.
- Develop Audit Program: Define scope of social audit. Discuss audit program with management

Step two - Activities at site

- Understand and assess internal control systems
- Gather audit evidence through vouching and verification
- Evaluate audit findings
- Discuss findings with management

Step three - Post Audit Activities:

- Issue draft social audit report and receive comments
- Issue final report, highlight actions for improvement in social responsibility.
- Follow-up on audit report

Indicators of Social Audit

Here some points are mentioned which are related with participation of staff, board members and stakeholders.

Participation

Needs assessment: Are project beneficiaries involved in the assessment of their needs and priorities during project planning?

Involvement: Are project beneficiaries involved in project planning, implementation, monitoring and evaluation?

Participation: Do project beneficiaries participate in planning and implementing activities to influence the policies and practices of people in positions of power?

Restrictions to participation: Do staff take into account circumstances that might prevent project beneficiaries from participating in projects?

Involvement of stakeholders: Are the organization's strategies established through the involvement of stakeholders?

Ownership: Do project beneficiaries take a lead in making decisions about the management of projects?

Evaluation: Do the organization's leadership and staff evaluate the performance of the organization according to its policies and strategies?

Final reports: Are project reports shared with stakeholders?

Learning from practice: **Do staff regularly review the progress of their work, and put lessons learnt into practice?**

Staff representation: Is at least one person elected by all staff to represent them in discussions with the organization's leadership**?**

Sharing knowledge: Does the organization encourage a culture of openness and sharing of knowledge?

Information: Do staff have the necessary information to carry out their job effectively?

Learning from others: Before undertaking work, do staff learn from stakeholders and others who have relevant knowledge and experience?

Internal Communications: Is information communicated accurately and promptly to all relevant staff?

Learning opportunities: Does the organization provide opportunities and facilities to increase the knowledge, skills and experience of the staff?

Staff opinions: Does the organization's leadership encourage staff to express their opinions about issues and are they open to different points of view?

Information: Do staff have the necessary information and opportunities to contribute to the organization's mission, values, strategies, policies and plans?

Meetings: Does the organization's leadership invite relevant staff to attend meetings, circulating agendas in advance of the meetings and having given thought to work commitments that might prevent attendance?

Monitoring: Do the organization's leadership and staff regularly monitor the implementation of plans against objectives, and alter the plans where necessary?

Networking: Does the organization work with like-minded organizations to influence the policies and practices of people in positions of power?

Accountability: Do the board committee and the organization's leadership have access to accurate information about the organization's finances?

Meetings: Are meetings called in advance, have a clear agenda, are recorded in written minutes and involve relevant staff members?

Communication skills: Does the organization's leadership communicate well with staff, and clarify expectations?

Board/committee behavior: Do the members of the board committee make personal sacrifices in response to the needs of staff and project beneficiaries?

Financial Advice: Does the staff member responsible for managing the organization's finances give clear and relevant advice to the leadership?

Staff Awareness: Can staff explain the organization's strategies and how these relate to their work?

Sense of mission: Do staff believe that what they are doing is important and worthwhile?

Financial Indicator for social audit

Accounting standards: Do the organization's financial reports comply with the national accounting standards and are acceptable to stakeholders?

Accounting procedures: Does the organization use reliable accounting procedures to ensure that financial resources are managed properly?

Annual independent audit: Are the organization's accounts audited annually by independent professionally qualified auditors?

Allocation of budget: Is the weightage of budget allocation more in program than in administration?

Handling of budget: Is the budget handled centrally or the departmental heads are responsible to handle own program budget?

Budget management: Does the leadership manage the organization's budget and anticipate and avoid financial deficits?

Financial reports: Are the organization's financial reports comprehensive and accurate, including all income and expenditure for the period covered, together with brief explanations of any discrepancies?

Financial trust: Do stakeholders trust the organization because it has good financial management?

Financial transparency: Is the organization's financial management transparent and the leadership open to discuss financial issues with stakeholders?

Financial reporting: Do the staff members responsible for handling the organization's finances report regularly and promptly about their activities?

Financial advice: Does the staff member responsible for managing the organization's finances give clear and relevant advice to the leadership?

Financial understanding: Does the staff member responsible for managing the organization's finances understand the organization's financial strengths and weaknesses?

Cost and resources: Do project plans identify the resources needed for implementation, monitoring and evaluation, the overall cost, and the potential sources of funding?

The organization needs to gather qualitative and quantitative information and share with all the stakeholders in the society. This helps to clarify the myths and misunderstanding towards the organization and its activities, policies, procedures, resources etc.

Assignment Sheet 3.3(a)

A means of social breakdown

In the assigned group, analyze the case given below and be prepared for sharing the findings in the plenary.

Case

Sahara is a Non Government Organization. It has been working in three VDCs of Dang district. Its aim is to improve the education and economic status of poorest of the poor children (girls and boys). Its functions are to provide sponsorship and fulfill all the basic needs of those needy and selected children's family.

Sahara manages to provide grant for income generating activities, support for children's education, give skill training to the family members, supply drinking water and sanitation, construct track road, builds houses for the poor family. All the benefits go to the selected family members. There are other families who are equally poor to those who are receiving the benefits from Sahara. They discussed and went delegation to Sahara and put their concerns many times. The complain was put to the local leaders and district level authorities but Sahara did not listen. The field staffs were in trouble. There was even social breakdown between the receivers and non-receivers. The management also could not get cooperation from the community people, local leaders and sometime from the district level authority. People started blaming Sahara that staffs take bribe while selecting the target families; take more salary and allowances in the name of poor.

As a manager and board member of Sahara:

1. What do you do to clarify the mission, goals and objectives of the organization?
2. What components would you incorporate is sharing?
3. Who would you invite for sharing?
4. How would you share or what process would you use?
5. So what is social audit?
6. Why it is necessary to have social audit?

Assignment Sheet 3.3(b)

Social audit components

In the assigned group, prepare components (sub-headings and indicators) of social audit by looking at the example attached in the format given below

Format for Identifying Sub-headings and Indicators

Components	**Sub-headings**	**Indicators of each sub-heading (considerable factors)**	**How it could be used in social audit?**

Example of list of components of Social Audit

Components	Sub-headings	Indicators of each sub-heading (considerable factors)	How it could be used in public audit?
1. Organisation	Structure Goals Objectives	- Does organizational structure support to achieve the goal? - Do goal contribute to Mission and vision? - Are objectives SMART? And support to achieve goals?	-To show the role of board and staff, -To explain line of command within the organisation, -Present the linkages between goal, objectives and activities.
2. Personnel system	Recruitment policy Job description Benefit to staff	- Through Advertisement - Do all employees have Job description? - Is there clear policy on benefit?	-To give equal opportunity to all, -Avoid favouritism, -Ensure non-discriminatory practice -Ensure who is doing what and accountability -How much resource is allocated for salary and benefit?
3. Financial system	Funding sources Budget allocation Auditing	- Proportion of local and non-local funding - Clear budget plan for admin and program - Internal and external auditing practices	- See the sustainability, -Put effort to raise fund -Show the weightage of resources in admin and program, -To clarify how much budget is allocated for program,
4. Program (to make easy specify the program)	Activities Target group Geographical coverage	- Do activities ensure achieving the objectives? - Is clearly defined? - Are all included?	-Find out the deviation and take corrective action -Ensure program is in right track

Exit Documents

Exit Guidelines

A. Make sure that each participant has completed all the three learning units of this module.

B. Have them take the exit test of the module.

C. Work out the scores of the exit test for each participant. Share the scores with them. Lead a brief discussion on the enhanced competency of the group based on the grades.

D. Assign the remedial actions for those participants who do not perform well in the exit test (i.e. if the score is less than 70 percent). The remedial actions should focus on those learning components of the module in which a participant performs poorly in the exit test. The remedial activities may include repeat study of the related reference materials, repeat exercises or repeat assignments, and individual tutoring by the trainer.

E. Have participants prepare action plans or transfer activities as suggested in this section.

Exit Assessment

The items for the exit test for participants follow in the next pages. The test is compulsory for all participants for the completion of the module.

A. Make copies in necessary number of the test questionnaire beforehand.

B. Administer the test after the completion of the last learning unit of the module under standard conditions. The standard conditions are:

Time:	20 minutes
Modality:	Closed book written test
Type:	Trainer administered

C. Explain the test procedures, including how to answer the questions.

D. Work out test scores of participants immediately after the test. The key to scoring the test items is given in the User Guide.

E. Share the score with participants.

Module Four: Management Functions and Processes

Exit Test

Answer all 10 questions. The maximum time available is 20 minutes.

Q.1 Read the following statements. Answer by putting a tick mark in the column True if you agree with the statement and in column False if you disagree.

S.N.	Statements	True	False
1.	People work together better when they are agreed about the objectives of the work.		
2.	In an organization, if long term strategic plan is prepared well, then there is no need of preparing the operational plan.		
3.	One of the best ways to motivate the staff members is to involve them in all components of planning cycle.		
4.	In program planning, it is not necessary to involve the beneficiaries while setting goals, objectives and allocating resources		
5.	Planning bridges the gap between where it is at present and where it is going to be in the future, and how		

Please circle the most accurate answer in the questions below.

Q.2. For the purpose of program management, coordination can be defined as:

e. the relationship between two or more persons

f. the functional and professional relationship between two departments

g. the collaboration among those who are concerned with achieving a common goal

h. the mutual connection of like minded organizations

Q.3. The most important skill required for good communication is:

e. commanding presentation

f. active listening and responding assertively

g. listening while others are talking

h. collecting new information and sharing with others

Q.4. For me supervision is:

e. getting direction from top level executives
f. finding fault and giving suggestions to the lower level staff
g. collecting information about program activities and reporting
h. joint reviewing, identifying problems, solving them and planning together with subordinate

Q.5. In an effective delegation:

e. the manager hands over only responsibilities to a co-worker in planned way
f. the manager abdicates one's responsibilities and authorities to the co-workers
g. the manager hands over authority and responsibility by possessing ultimate accountability
h. the manager will be less accountable to the delegated piece of work

Q.6. In an NGO monitoring is done by:

e. each and every staff and board member who is responsible to the organizational work.
f. the board members
g. senior management team members
h. subject wise experts from outside

Q.7. In an organization the decision making is:

e. the responsibility of senior management team
f. to generate various alternatives and choose the one that best suits its objectives, resources, time and preferences.
g. taken as only a means of problem solving
h. avoided by junior team because it is taken as risky job

Q.8. Which you think is not one of the features of social audit:

e. critically examine how effectively and efficiently the organization has been providing the service and product to the community people

f. social audit only examine the financial matter to share with stakeholders

g. it examines the support of social causes for education, health, environment, arts, culture and other social needs

h. it also assesses the social impact or social good resulting from the social activities of the organization

Q.9. **Read the following statements. Answer by putting a tick mark in the column True if you agree with the statement and in column False if you disagree.**

S.N.	Statements	True	False
1.	Evaluation is done to ensure that organization is following strategic planning to achieve the objectives.		
2.	Managers are reluctant to evaluate because it points out only weaknesses of policy, procedures and process.		
3.	Evaluation helps to examine cost benefit of the program.		
4.	Evaluation supports to advocate, lobby and influence policy makers with evidences		
5.	Our organization plans evaluation because our funding agency asks for it.		

Q.10. Match the following:

Number		Number	
1.	Monitoring always	a.	Looks backwards
2.	Delegation	b.	Tomorrow's implementation
3.	Supervision	c.	Goes downward
4.	Evaluation always	d.	Looks forward
5.	Today's planning	e.	Develops individual capacity

Action Plan/ Transfer Activities

The action plan/ transfer activities for the participants are proposed in the next page. The activities are compulsory for all the participants for the completion of the module. However, participants may adapt the activities or change them in view of the specific needs or distinct situations of their organizations. Participants from one organization are to prepare and complete the transfer activities jointly.

- Make copies in necessary number of the action plan/ transfer activity sheet beforehand.
- Hand out the sheet to the participants after the completion of the last learning unit of the module.
- Ask them to work on the planned activities to adapt or change them, if necessary.
- Ask them to complete the blank parts of the action plan sheet.
- Explain the procedures, including how to complete and submit the outputs of the transfer activities. Stress that they should use the learning of the module and frequently refer to its materials and exercises for the completion of the planned activities.
- Agree on the time and mode for the submission of the outputs.
- Evaluate the outputs and give feedback to the participants about their performance in the transfer activities during the follow-up period. Identify and suggest areas for improvements.

Action Plan/ Transfer Activity Sheet

Name of Organization

Name(s) of Participant(s):

Action	Output and Outcome	Time Frame	Responsibility	Support Needed	Remark
Development of a schedule for organizing participatory planning process.	A schedule for organizing participatory planning process for the next year is prepared and the participatory process is used for planning.				
a. Preparation of organizational plan for the next year following the participatory process.	Organizational performance plan for the next year is prepared and is implemented.				
Design and use of coordination, supervision and monitoring systems (including schedules, checklists, formats and procedures) for the implementation of organization's programs and services.	Ready-to-use systems are developed and are in place for implementing programs and services of the organization.				
Use of effective decision making, delegation and communication practices in day-to-day managerial role performance.	Effective practices are used by managers and quality of decision making, delegation and communication is improved.				
Design and use of evaluation systems (including schedules, checklists, formats and procedures).	Ready-to-use systems are developed and evaluation, including social audit, is carried out.				

Module Evaluation

The module evaluation sheet for the participants follows in the next page.

- Make copies in necessary number of the module evaluation sheet beforehand.
- Hand out the sheet to the participants after the completion of the last learning unit of the module.
- Collect the completed sheets.
- Compile them and analyze the main findings.
- Use the findings as feedback for improving the module design and delivery in future.

Module Four: Management Functions and Processes

Module Evaluation

Participant's Name:__________________________ Date: ____________________

Rate the various aspects of module design and delivery in terms of how you view them after the completion of the module. The rating scale is as follows:

-- -- very poor; -- poor; + good; + + very good

	Rating	Comments
1. Usefulness of the objectives	[ ]	__________________________
2. Mastery of the objectives	[ ]	__________________________
3. Usefulness of the contents	[ ]	__________________________
4. Progression of subject matter	[ ]	__________________________
5. Modular structure	[ ]	__________________________
6. Applicability of learning matters	[ ]	__________________________
7. Facilitator's supports for learning	[ ]	__________________________
8. Opportunity for active participation	[ ]	__________________________
9. Quality of the examples	[ ]	__________________________
10. Quality of the exercises	[ ]	__________________________

User Guide

This section describes how to use the manual for implementing the module. It suggests guidelines for facilitating sessions. It also gives guidelines for scoring the various tests and indicates the correct answers for the tests.

How to Use the Module?

This training module is a part of the modular series on Organization Development Training. Hence it needs to be used together with the other modules in the series, although it can also be used as a stand – alone module for training NGO leaders and managers on the basic dimensions of organization development.

- Familiarize yourself with the contents and the structure of the module by reading the whole module.
- In particular, study the reference materials (handouts) in depth at the beginning for the understanding of the contents in detail. It is quite important for you to understand and absorb the contents before delivering the module.
- The module is organized into several sections. For the first time, read them in the sequence they are organized to be familiar with its structure.
- Read the About the Modular Series on Organization Development section first to get an overall view of the training program of which this module is a part.
- Read the Module Overview then, to get a detailed understanding of the focus and structure of the module. Read the other sections of the module selectively, this time in more detail and as required, absorbing the contents and guidelines presented in the manual.
- Adapt or adjust the various components of the module as designed in this module according to the specific needs of the group of participants you are handling and the particular context of the training program at any time. Take whatever is presented in the module as basic guidelines, and not as something which should be rigidly followed. It is possible, and even desirable, to make adjustments in the learning objectives, time allocation, session flow, exercises, and other aspects of the module design as per the specific needs.
- Make adaptations well ahead of the time of delivery, and document them.
- Prepare transparencies and other visuals for delivering the sessions based on the reference materials. It is important to visualize the presentation of

core learning materials as much as possible for enhancing learning effectiveness.

- Make necessary copies of the exercise sheets, entry and exit test documents, participants' assessment sheet, and module and program evaluation sheets well in advance in required number.
- Make other necessary preparations, including the rehearsal of the sessions to build your confidence.

Guidelines for Session Facilitation

- If you have made any changes, note the changes in the session flow sheets at appropriate points. Make further preparations as required.
- Start each session with appropriate greeting, addressing, initial learner motivation/ climate setting activities, and. assessment of previous understanding of the learning theme.
- Make the sessions lively and interesting by bringing in appropriate examples, references, ideas, and facts in addition to what has been suggested in the manuals.
- Refer to the session flow sheets frequently while facilitating the sessions but avoid reading out of the manuals.
- Check time regularly but do not be obsessive with keeping everything within the suggested time frame. The time frame is given only as a suggested length of a particular part of the session. In reality the immediate need of the situation should be given priority. If you change the time allocation in the course of a session, you should however make necessary adjustment for the remaining part of the session to finish the session in time.
- Follow the methods and activities as suggested. But here again you should be flexible and innovative to adapt the methodology to the requirements of a particular situation.
- If you decide to use a different method or activity for a particular part of the learning theme, prepare or change exercise sheet in advance.
- Use the methods properly following all necessary steps and activities. For this you should have a thorough understanding of the basic focus and standard procedures of the method.
- Use the visuals and other supporting materials as much as possible but properly. For this you should have a thorough understanding of the handling techniques and standard procedures of the materials and equipment.

- Assess the learning level of the participants in each session as suggested. You may modify the assessment plan and use additional assessment techniques but make preparation in advance.

- Give feedback to the participants immediately after the assessment.

- During the session delivery, follow these techniques;

⇒ Summaries and check understanding from time to time.

⇒ Establish links between sub-topics and between sessions.

⇒ At the time of moving into another learning sub-topic, give a clue about the topic you will be taking up next by previewing it.

⇒ Remind the participants of the previous learning before you take up a new learning topic or sub-topic.

Scoring System of Entry and Exit Tests

Correct Answers

Q. 1
- a. True
- b. False
- c. True
- d. False

Q. 2 **c.** the collaboration among those who are concerned with achieving the common goals

Q. 3 **b.** active listening and responding assertively

Q. 4 **d.** joint reviewing, identifying problems, solving them and planning together with subordinate

Q. 5 **c.** the manager hands over authority and responsibility by possessing ultimate accountability

Q. 6 **a.** each and every staff and board member who is responsible to the organizational work

Q. 7 **b. t**o generate various alternatives and choose the one that best suits its objectives, resources, time and preferences

Q. 8 **b.** social audit only examine the financial matter to share with stakeholders

Q. 9
- a. True
- b. False
- c. True
- d. True
- e. False

Q. 10
1. d.
2. c.
3. e.
4. a.

Scoring

The total mark is 50.

In Question Numbers 1, 9 and 10 full mark in each question is 5. Each right answer will get 1 mark.

In Question Numbers 2, 3, 4, 5, 6, 7 and 8 full mark in each question is 5. Right answer in each question will get 5 marks. No mark is given for wrong one.