

Clinical Assessment for Systems Strengthening (CLASS)

LEADERSHIP AND MANAGEMENT MODULE

AN INTRODUCTION TO THE TOOL

The Leadership and Management Module of the CLASS Tool is a guide, not a prescriptive checklist, for reviewers. This module is divided into four sections.

Each section begins with a set of core competencies based on best practices from international organizations. The core competencies are followed by a series of questions that can be used to facilitate discussions with organization representatives. Verification criteria for the most important core competencies and questions follow along with space for reviewers to make notes. Reviewers should not feel required to complete the tool sections in any specific order. Flexibility to accommodate the time availability of management and staff is encouraged.

The tool contents are based on the assumption that there will be at least four to five hours available to reviewers at each site. When time is more limited, reviewers should focus priority on the Rapid Visit (RV) questions in each of the sections (indicated by RV and shaded in grey). As time allows the Extended Visit (EV) areas should be addressed.

This module is meant as a “stand alone” assessment tool or can be used in conjunction with the CLASS Administrative Module, which outlines some similar competencies but also includes areas unique to non-government organizations (i.e. governance).

CLASS Leadership and Management Module

REVIEWER: _____ DATE: _____

SITE: _____

KEY –Rapid visit items – (RV) | Extended visit items: (EV) | Partner visit: (LP)

SECTION 1: LEADERSHIP

Core Competencies

- The leadership team can describe the organization’s internal and external environment, the quality and extent of its performance, the resources available and challenges facing the organization.
- The leadership team understands Quality Management (QM) and uses data to assess and improve quality planning, control, assurance and improvement efforts in collaboration with staff.
- The leadership team has identified priority challenges and selected actions that address barriers to achieving results.
- Organization leaders demonstrate effective interpersonal and communication skills.
- Team or work group responsibilities and available resources are internally aligned and goals are externally aligned in order to address selected challenges and meet stated objectives.
- Staff members and teams are committed to the organization’s mission and to continuous learning, improvement and innovation.
- The organization has systems for learning about and managing the resolution of organizational performance problems. (EV)
- The organization applies management and leadership practices to address challenges in improving organizational performance and program results.
- The leadership team has had opportunities for formal leadership and/or management training.
- The organization supports improvement efforts (i.e., training, stretch assignments, etc.) for all managers and leaders.
- The organization has an acceptable staff turnover rate (i.e., in line with other similar organizations in the immediate geographic area).
- Organization leaders are able to speak clearly about the organization in public settings.
- The organization practices succession planning as part of a strategic approach to managing staff transitions.
- Organization leaders implement change management strategies in an effort to reduce challenges associated with program and project transitions.

Questions

- In the past six months, has the leadership team¹ reviewed and discussed internal and external information/data from surveys, reports, research or other sources that affect the organization? If so, what data?
- In the past six months, has the leadership team used internal or external data to assess the quality of services provided or to improve processes as a means to achieve more consistent quality?
- Generally, do staff members feel that leaders communicate appropriately?
- In the past six months, has the leadership team reviewed and discussed the strengths, weaknesses and/or needs of the organization?
- In the past six months, has the leadership team developed strategies to overcome barriers to achieving results? Have mid-level managers and others been consulted about ways to overcome barriers?
- Does the organization have a strategic plan including clear organizational goals that are consistent with the

¹ The term “leadership team” will need to be contextualized. Use a term that refers to the persons or body that provides direction for the organization/institution.

organization's mission? In the past six months, has the leadership team referred to the strategic plan when faced with important decisions or new challenges? Are components of the strategic plan shared with all staff? Have meetings or discussions taken place to align available resources with program goals?

- ❑ How are important organization decisions or changes in policy shared with managers? Staff? Are the processes effective and timely? (RV)
- ❑ How are organizational challenges addressed? What leadership and management practices exist?
- ❑ Has the leadership team participated in any formal leadership or management training? Would they be interested in participating in such formal training?
- ❑ Does the organization place emphasis on "growing" new talent from within (as opposed to "buying" it from outside the organization)?
- ❑ Does the organization have a *process* in place to develop new leadership?
- ❑ Do organization leaders and spokespersons clearly describe the organization and its work in public settings?
- ❑ What are some recent examples of settings where leaders speak about the organization and its programs (e.g., in the community)?
- ❑ Does the organization have a succession plan? Does the organization actively train and develop staff to fill key positions in the event of a transition?
- ❑ Are organizational changes acknowledged and managed proactively by leadership team?

Performance Criteria		Verification Information	Comments
1.	Sources of internal and external data exist	a. Surveys, reports, research exist and are used b. Regular monitoring and/or evaluation reports are produced	
2.	Leadership team meetings are held on a regular basis	Meeting minutes	
3.	Leadership team uses data for decision making	a. Leadership team meeting minutes documents use of data in decision making b. Interviews with leadership team and staff on use of data, if possible (Chair and faculty) c. Leadership team meeting minutes	
4.	Leadership team practices quality management	a. Quality management reports shared with leadership team b. Leadership team minutes document quality management activities. c. Interviews with leadership team and staff, if possible	
5.	Feedback is solicited by organization leaders	a. A suggestion box or other feedback mechanism b. Interviews with staff	
6.	The organization assesses its performance	a. SWOT analysis or other assessment conducted b. Interviews with leadership team and staff, if possible	
7.	The organization addresses barriers to success	a. Interviews with leadership team, if possible b. Interviews with mid-level managers, if possible	

8.	The organization has and operates according to a strategic plan	<ul style="list-style-type: none"> a. Strategic plan document with mission and goals b. Fundraising/Development plan document c. Leadership Meeting minutes d. Interviews with leadership team and staff, if possible
9.	The leadership team communicates effectively with staff	<ul style="list-style-type: none"> a. Department meeting minutes b. General Staff meeting minutes c. Interviews with staff, if possible
10.	The leadership team has had formal training in leadership and management	<ul style="list-style-type: none"> a. Documentation of training b. Interviews with leadership team, if possible
11.	The organization promotes from within	<ul style="list-style-type: none"> a. HR policies b. Examples of promotion among current leadership
12.	The organization supports professional development	<ul style="list-style-type: none"> a. HR policies b. Interviews with leadership team and staff, if possible c. Percent of the organization's total staff that were allowed to attend professional development trainings. Number of trainings staff attended.
13.	Leaders communicate effectively about organization	<ul style="list-style-type: none"> a. Archived external communication such as PR, pamphlets, newspaper articles b. Interviews/leader can explain organization clearly and effectively
14.	Succession plans exist and are implemented for staff development	Interviews with leadership team and staff regarding how leaders are developed
15.	Leaders help staff to accept and embrace changes	<ul style="list-style-type: none"> a. Interviews with leadership team and staff b. Leadership can articulate steps taken to manage change

Notes:

SECTION 2: MANAGEMENT

Core Competencies

- The organization has a clear mission statement.
- Staff members understand and apply the mission statement.
- The organization has a well-aligned (i.e., links between activities and resources and achievement of organizational goals are explicit and logical) strategic plan and disseminates it to staff.
- The organization has an effective management structure comprised of individuals responsible for each functional area and outlined in an organogram. (RV)
- Roles, responsibilities, and policies and procedures for organization operations are written, updated regularly and disseminated. (EV)
- There are clear and effective channels of communication throughout the organization regardless of staff level. (RV)
- Organization managers demonstrate effective interpersonal and communication skills which facilitate effective teamwork.
- Management and planning processes demonstrate the effective use of data to inform and guide decision-making. (RV)
- NGOs and universities only: Expertise exists to write proposals/grants or strategies employed to support resource mobilization.

Questions

- Does an organizational mission statement exist? Does it define the organization's purpose and values?
- Is the mission statement reviewed periodically (e.g., in the last 12 months) to assure that it provides a vision and continues to reflect organizational goals and values?
- Can staff explain the mission statement?
- How well does the organogram reflect the management, program, and staff relationships of the organization? (RV)
- Does the organization have a written, defined process to review the organogram periodically to ensure consistency with the organization's current strategies?
- Does the organization have a policy manual clearly defining roles and responsibilities for staff (and board members) as well as the formal system of delegation?
- Are communication mechanisms used to share information across organizational units and among staff at different levels?

- ❑ What are the communication options available for staff feedback/needs to be shared with organization management or across program areas? (RV)
- ❑ Is teamwork facilitated through the application of effective communication and/or conflict management skills?
- ❑ Generally, do staff members feel that managers communicate appropriately?
- ❑ How does management address and provide timely resolution to issues identified by data? (RV)
- ❑ In what ways are interpersonal dynamics of work groups and teams managed?
- ❑ How does management address and provide timely resolution to problems? What level of documentation is kept on resolutions? (EV)

Performance Criteria		Verification Information	Comments
1.	Organization has a mission statement	Mission statement	
2.	Mission statement is periodically revised	a. Interviews with leadership team and staff, if possible b. Mission statement archives	
3.	Staff know and understand mission statement	a. Mission statement is visibly posted b. Interviews with staff	
4.	The organogram accurately reflects current and appropriate lines of authority	a. View organogram and job descriptions b. Confirm version of organogram to see if periodically reviewed and updated	
5.	Organogram is periodically reviewed	Interviews with leadership team and staff to explore whether organogram has been revised/is consistent with current strategies	
6.	Staff roles and responsibilities clearly defined	a. View job descriptions b. View written organization documents (policy manual) that identify each staff's responsibilities	
7.	Managers communicate well with staff	a. Interviews with staff about verbal communication b. Minutes of staff meetings	
8.	Organization-wide communication mechanisms exists	a. Policy manual b. Interviews with leaders and staff c. General staff meeting minutes	
9.	Teamwork is facilitated	a. Interviews with leaders and staff b. Team retreats or regular team meetings are held c. See conflict resolution policies in HR Manual	
10.	Organization general staff meetings are held on a regular basis	Meeting minutes	
11.	Issues are resolved in a timely manner	a. Minutes of staff and management or leadership team meetings b. Interviews with leadership and staff	

Notes:

SECTION 3: SUPERVISION

Core Competencies

- The organization has a plan for recruiting, training, and retaining qualified staff to support program activities. (EV)
- There is a process to orient each employee to the organization practices, benefits, and standards of conduct and HR staff able to respond to employee questions. (RV)
- Each position has a written job description and employees can identify their duties. (RV)
- The organization has a process to review and document the performance of staff at every level of the organization annually. (RV)
- Supervisors are trained in supervision and oriented to the performance review process.
- The organization has a professional development (e.g., staff training) plan.

Questions

- What is the process for providing orientation(s) to employees? (RV)
- What short- and long-term plans does the organization have to recruit and retain staff? (RV)
- How often are performance evaluations completed, what documents are used, and who maintains copies? (RV)
- Approximately what percent of staff have job descriptions that accurately reflect their current responsibilities and supervisory lines?
- Approximately what percentage of staff performance reviews has been completed in the last year?
- Have supervisors been trained in supervisory practice and oriented to the organization's performance review process?
- Does a professional development plan exist for the current fiscal year? Does it address the training needs of staff at all levels?

Performance Criteria	Verification Information	Comments
1. There is a current Personnel/Employee Policies and Procedures Manual	<ul style="list-style-type: none"> a. Written policies and processes exist b. Policies inform staff of their rights and responsibilities c. Employees are provided with a copy of the PPM at hiring/staff interviews d. Employees are familiar with processes/staff interviews 	
2. The following are adequate in the personnel policies and procedures:	<ul style="list-style-type: none"> a. Orientation procedures to the organization/department b. Probation periods and performance evaluations c. Disciplinary actions and appeal procedures 	
3. There are strategies to recruit and retain staff	<ul style="list-style-type: none"> a. Interviews with supervisors and managers b. Policy and procedures manual c. Written retention plan 	
4. There are job descriptions for all staff	<ul style="list-style-type: none"> a. Percentage of staff with job descriptions reviewed (6-8) accurately reflect current responsibilities and supervisory lines b. Interviews with staff c. Percentage of performance reviews completed in last 12 months 	
5. Supervisors trained and oriented to performance review process	<ul style="list-style-type: none"> a. Interviews with supervisors b. Documentation of supervisor trainings on performance review process 	
6. Professional Development plan exists for all staff	<ul style="list-style-type: none"> a. Personnel manual b. Budget line item dedicated to professional development or training c. Interviews with employees 	

Notes:

SECTION 4: POLICY AND ADVOCACY

Core Competencies

- ❑ Organization leaders are able to speak clearly about the organization in public settings.
- ❑ The organization leadership ensures that relevant external policy issues are included in discussions on organizational strategy.
- ❑ Organization leadership advocates for the development of the field of public health care at national, state, provincial and local levels.
- ❑ Organization leadership mobilizes resources and creates stakeholder coalitions to support policy change.

Questions

- ❑ Is the organization leadership familiar with the current policies at the national and donor levels that affect the organization's objectives?
- ❑ Does the organization leadership have a way of continually updating his or her information on these policies?
- ❑ Does the leadership use this information to inform the work of the organization?
- ❑ Does the organization's most recent strategic plan (if any) reflect knowledge of national and donor policies?
- ❑ Has the organization leadership and/or senior managers participated in policy-making with national agencies, regulatory boards, commissions, or donor agencies?
- ❑ Have any policy recommendations issued over the past year included the organization's concerns and suggestions?

Performance Criteria	Verification Information	Comments
1. Leadership team is familiar with relevant national and local policies	a. Copies of relevant external policies such as national guidelines b. Interviews with leadership team	
2. External policies inform organization's work	a. External and MOH strategic plans b. Interviews with leadership team	
3. Leadership team participates in policy making	a. National meeting or conference records b. Regular meetings with government officials or other policy makers c. Interviews with leadership team	
4. Leaders influence public policy	Interviews with leadership team and staff about effectiveness of advocacy	

Notes: