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## MANAGEMENT SURVEY

### PURPOSE

A Management Survey of the administrative procedures of a Regional Medical Program and its grantee is intended to be a constructive and protective service to Management. Hopefully, the Survey team will be able to identify areas which could be strengthened and offer recommendations for this purpose. We expect that through this in-house type of review that problem areas, if they exist, can be corrected before being brought to light by some outside group. It is also expected that such a review can serve to assure the Region that it is essentially free of administrative problems.

The survey is not limited to the Core offices but is extended to a review of the management systems of the grantee institution and its service to the Regional Medical Program. To the extent feasible this will follow the DHEW "Program for Improving the Quality of Grantee Management."

There follows a brief narrative description of how the team will be formed and how it will operate. Areas to be reviewed by use of a fairly lengthy and involved Survey Guide are also briefly described in the ensuing paragraphs.

### TEAM COMPOSITION

The team will consist of one RMPS member of the Management Survey Section who will act as team captain, a Grants Management Officer from RMPS or the DHEW Regional Office, and one other administrative person who has particular ability in conducting administrative management reviews.

### PROCEDURE

Each team member will be designated certain administrative areas to review. The team will not become involved in the professional appraisal of projects. During the review, findings will be discussed each day with the Coordinator. Following approximately three days of in-depth review of those areas described below, the team members will fully discuss the findings with the Coordinator. A written report of the findings and recommendations will be mailed to the Coordinator and Grantee.

MANAGEMENT SURVEY

AREAS TO BE REVIEWED

Committee Structure

The composition and function of the Regional Advisory Group will be examined. Committee activities will also be reviewed to determine if they understand their missions, how well they coordinate relevant activities with other committees, and how effective they are. Core staff input in terms of providing information to committees will also be considered.

Organization

In this area the staffing pattern and organizational structure of the Region will be reviewed. In addition the adequacy and effectiveness of personnel policies will be considered. The team will ascertain the degree to which employees understand the policies and their own responsibility and relationship to related elements of the RMP. A review will also be made of office procedures relating to time and leave records, payroll procedures, and internal communication.

Staff Participation in Project Development

Although the team will not make any judgment on the professional aspects of projects, it will inquire into the staff assistance provided in project development, review, and supervision. The team member covering this area will be interested in the Region's data collection and evaluation, guidelines available to project authors and reviewers, and staff participation in developing realistic project budgets.

Financial Management

No effort will be made to conduct a deep financial audit. The Survey team instead will be concerned with what fiscal controls have been established, policies relating to disbursements, and fiscal reports required of the affiliates. A review will also be made of documentation required of affiliates to support payment and what written instructions are available to them.

Purchasing and Equipment

A review will be made of the purchasing policies and of the controls established to assure that they are followed. In the area of equipment, the team will be concerned with inventory records, accountability for equipment, maintenance of it, and what provisions are made for its eventual disposal.

Legal Responsibilities

The Affiliation Agreement, Articles of Incorporation, and any written documents between the RMP or grantee and affiliates will be examined, within the limitations of the team, to determine if the RMP is adequately protected.