CAPABLE PARTNERS PROGRAM (CAP)

Global Core Initiative 1
CAP Advocacy Fellows Program

Baseline Results Compendium

Institutional Assessments and Improvement Plans

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

May 2005

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Introduction

From February through October 2004, the Capable Partners Program (CAP) facilitated institutional self-assessments with the 17 organizations that participated in its first Global Core Initiative, the Advocacy Fellows Program. The assessments were carried out using the Institutional Development Framework (IDF) toolkit in Albania, Bulgaria, Georgia Ghana, Guyana, India, Indonesia Lebanon, Mongolia, Paraguay, Peru, Sri Lanka, Sudan, Tajikistan and Zambia. This document is a compendium of the results.

The following chapters present the 17 individual reports on the assessment process. Each follows a uniform format, beginning with a summary of the assessment findings and conclusions, followed by background on the organization, details of the assessment process and results, and next steps the organization will take in its development. Each report also has four appendices. *Appendix A: Institutional Development Framework (IDF)* contains the IDF matrix customized to the organization. *Appendix B: Institutional Development Calculation Sheet (IDCS)* presents the assessment results numerically; *Appendix C: Institutional Development Profile (IDP)* displays them graphically. *Appendix D: Institutional Improvement Plan* contains the resulting goals and objectives.

As described in *Public Administration and Development*[1], the IDF toolkit helps an organization:

- Evaluate its Oversight & Vision, Management, Human Resources, Financial Resources, External Resources, and Network Service Delivery;
- Design a plan for strengthening its ability to meet goals and serve constituencies;
- Monitor and evaluate the progress of its development;
- Understand the attributes of an effective network apex organization
- Determine its commitment to improvement;
- Assess training needs.

Key to CAP's success is the IDF's deliberate focus on moving from evaluation to action using the Institutional Improvement Plan developed during the process.

CAP staff or consultants traveled to each organization. Meeting first with Board Members and staff, the IDF facilitator explained the process and its purpose to generate ownership by key individuals. The facilitator then met with the larger group, explained the process in detail, set up a schedule, and helped the participants modify the IDF Matrix to suit their organization. The group then performed the assessment and, with the facilitator, reviewed the results to identify priority needs, from which an Institutional Improvement Plan is devised. Participants also evaluated the process. Most organizations sent a request to CAP for technical assistance to address the needs codified in the Plan.

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[1] *Public Administration and Development,* Vol. 16, 469-483 (1996)

Despite the diversity of the 17 organizations, common technical assistance needs and trends emerged, including the following major findings:

- One of the two most frequent requests for assistance (8 of 17 organizations) related to the **role of the Board of Directors** and the need for strengthening effective leadership and managerial skills for Board members.

- Assistance with **strategic planning** tied as the most frequent request (again, 8 of 17 organizations). This was the highest priority in the E&E region. Several organizations emphasized the need for long-term strategies, linking this with the achievement of autonomy and financial viability.

- The third and fourth highest priorities were the inter-related issues of **fund raising** or the diversification of funding sources and **financial planning and management**. These were of special concern to African organizations, two of which requested development of a "Financial and Administrative Procedures Manual". Organizations in both the LAC and ANE regions called for assistance in formulating "annual institutional budgets" that cover both operating expenses and program costs. Financial planning is frequently treated as a "supply-side" issue: budgets tend to be developed after the fact, based on the amount received as grants for specific projects, rather than in line with the core funding needed to sustain basic operations. For that reason (as was clear in LAC), there is no organized attempt to budget for and raise unrestricted funds or to activate Board members and others for that purpose.

- Assistance with **advocacy planning** was requested by all Latin American organizations.

- For organizations in **conflict-affected countries**, the highest priority was for **financial and administrative procedures**, including development of a manual. Of the four countries included in this category – Indonesia, Sri Lanka, Sudan and Tajikistan – organizations in the latter three countries attached high priority to this need. The second highest priority identified by this group included development of the **Board of Directors** and **Strategic Planning,** each of which was called for by two of the four organizations.

- Other less-frequent requests were for assistance with issues such as: internal and external communications, M&E systems, training/team building, human resources management, media strategy, and so forth.

The full Trend Analysis report is available at www.NGOConnect.NET.

The organizations participating in the Global Core Initiative requested from CAP (and in certain cases other donors) technical assistance to address these needs. To date, much of that assistance has been provided to the benefit of the organizations and their stakeholders.

Institutional Development Framework Reports

Albania	All Together Against Child Trafficking (BKTF)
Bulgaria	Transparency International Bulgaria (TI-Bulgaria)
Georgia	Citizens Advocate! Program (CAP-G)
Ghana	Ghana Association of PVOs in Development (GAPVOD)
Ghana	Legal Resources Centre (LRC)
Guyana	Association of Regional Chambers of Commerce (ARCC)
India	Action Against Trafficking and Sexual Exploitation of Children (ATSEC)
Indonesia	Koalisi Perempuan Indonesia (KPI)
Lebanon	René Moawad Foundation (RMF)
Mongolia	Union of Mongolian Environment Non-Governmental Organizations (UMENGO)
Paraguay	Ciudadanos por la Reforma (CPR)
Peru	Sociedad Nacional del Ambiente (SNA)
Sri Lanka	Sarvodaya Shramadana Sangamaya (Sarvodaya)
Sudan	African Organization for Relief and Development (AORD)
Sudan	New Sudanese Indigenous NGO Network (NESI-Network)
Tajikistan	National Association of Civil Society Support Centers (NACSSC)
Zambia	Zambia Community School Secretariat (ZCSS)

CAPABLE PARTNERS PROGRAM (CAP)

All Together Against Child Trafficking Albania

Institutional Self-Assessment and Improvement Process

CAP is implemented by

AED
Academy for Educational Development

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Management Systems International

USAID
FROM THE AMERICAN PEOPLE

September 2004

Report on All Together Against Child Trafficking
Institutional Self-Assessment and Improvement Process
September 2004

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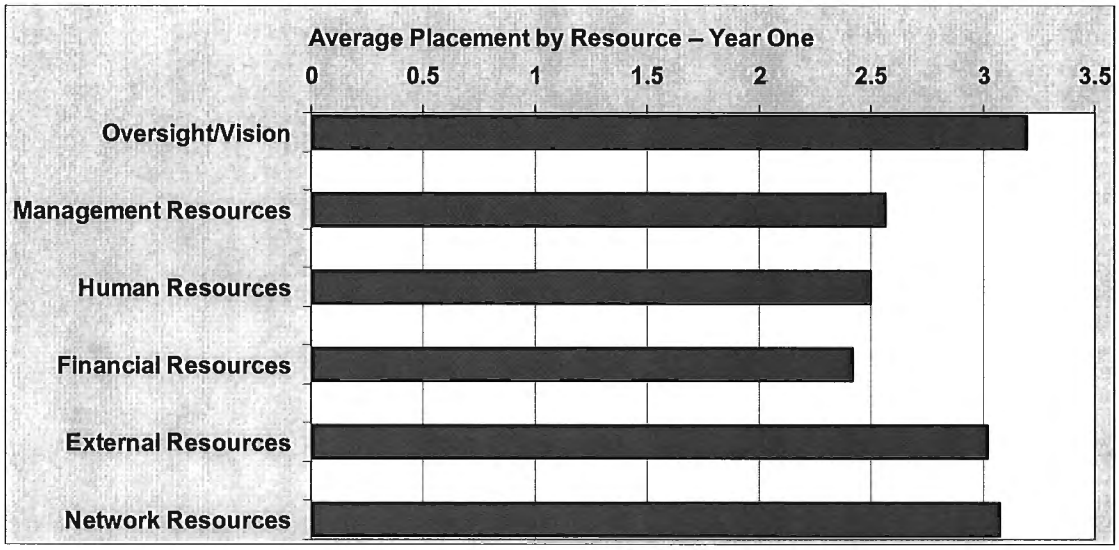
Summary, Findings, and Conclusions

All Together Against Child Trafficking (BKTF) is an NGO network dedicated to fighting child trafficking in Albania. It was established about three years ago, initially to provide informal coordination for NGOs and government officials interested in working to reduce child trafficking. Funded by a single donor (UNICEF), BKTF operates under a one-year work plan which is renewable, with UNICEF's approval, for up to three years. UNICEF's grant supports all of the organization's basic tasks: meeting and information coordination, establishment and management of a child trafficking database, and support services. BKTF's strength is its commitment to open communication and participatory decision-making among its members.

In February 2003, BKTF was officially registered as an Albanian NGO, although it still operated only as a coordination group and had no dedicated staff. BKTF has done well in undertaking its basic responsibilities: establishing an office, setting up a bank account and accounting procedures, developing a work plan, and hiring and orienting staff. However, it now needs to demonstrate its effectiveness in contributing to a reduction in child trafficking, or at least in improving coordination among the key entities involved.

In June 2004, to address this problem, BKTF launched a formal Coordination Unit with three full-time staff. Since the Unit is only just getting started, more time will be required fully to assess its effectiveness. Overall, the Unit is well organized and has quickly established basic administrative and management systems, although those systems have obviously not yet been tested over a significant period of time. The Unit must now begin to determine how most effectively to facilitate its members' work of reducing child trafficking in Albania. A logical next step would be to develop a detailed, practical strategy: define specific objectives which will meet its members' needs; decide what actions will accomplish those objectives; and design a system by which to manage, monitor, and report its effectiveness.

Figure 1: BKTF's Institutional Development Profile, Summary by Resource Area



Based on the institutional analysis, BKTF can increase its effectiveness by addressing the management areas listed below:

- **Board Membership and Effectiveness:** A Board exists, but members have very uneven workloads and participation. A new election is scheduled for October; attention will be given to selecting members who will bring useful skills and contacts and who are able to make an adequate time commitment.

- **Multi-year Strategic Plan:** Currently BKTF operates under a one-year work plan and does not have a longer term strategy. The plan needs to clarify further BKTF's unique role, to identify ways to increase its effective coordination role, including influencing government policy, and to develop specific performance goals and measures (an M&E system).

- **Effective Media Strategy:** BKTF has excellent access to the media but would like to use it more proactively – particularly to build support for advocacy efforts and to sensitize journalists to the need to protect trafficking victims.

- **Administrative and Operational Improvements:** In the coming year, BKTF wants to develop a simple Standard Operating Procedures Manual, staff training objectives, and a staff incentive/motivational system.

The above objectives are ambitious. However, since BKTF management would like to focus on these over the coming year, they seemed sensible. CAP assistance would be appreciated in strategic planning and better media use; BKTF will address the other areas with current resources.

Background

The BKTF Coalition was formally established in February 2003 to improve the coordination of Albanian NGOs involved in fighting child trafficking. BKTF started with nine institutional members and expanded to twelve. The BKTF Coordination Unit, funded through a grant from UNICEF, has only been operational since June of 2004. This three-person unit will provide the day-to-day coordination and support service for the Coalition. .

BKTF was created to respond to child trafficking issues at two levels:

- **Operational coordination of services:** To provide coordination among different actors, field activities, and programs so that a network of services – including reintegration – can meet the needs of child trafficking victims.

- **Advocacy:** To lobby the Albanian government and to work with other neighboring governments, particularly Greece and Italy, to develop and strengthen anti-child trafficking policies and programs.

BKTF's objectives are to:

- Provide a rapid and efficient service against child trafficking, by coordinating action among its members;
- Provide an exchange of information;
- Promote, strengthen, and support the members' actions against child trafficking;
- Represent to national authorities the joint efforts of BKTF and members;
- Implement common or separate action plans and projects within BKTF's framework;
- Develop the relationship and recognition among state agencies and BKTF, thereby enabling the accomplishment of its goals, objectives, and actions.[1]

In November 2004, BKTF was nominated by USAID/Albania to participate in the USAID-funded Capable Partners Program's (CAP) Global Core Initiative (GCI) in Advocacy. BKTF's training in advocacy has been provided by CAP's institutional improvement support. This document reports on the first stage of that assistance: a participatory self-assessment of BKTF, leading to an Institutional Improvement Plan which will address areas that the assessment indicates require urgent attention. It is intended that BKTF will present the improvement plan's recommendations to CAP (once approved by its members) so that CAP can consider providing BKTF additional targeted technical assistance.

Process

The participants in the process (3 male, 7 female) included staff and one Board member:

Name	Title
Hotla Kotherja	President – BKTF Board
Arben Loka	BKTF Coordinator
Renata Kapidani	BKTF Information Officer
Vincent Tournecuillert	Head of Mission, Terre des homes
Mirela Shuteriqi	Child protection lawyer, Terre des homes
Klara Simoni	FBSH
Roland Xhako	Qendra Vatra
Edi Zografi	ICMC
Anduena Shkurti	SCIA
Morena Gjekovic	ISS

The schedule of working with BKTF was as follows:

- **September 15:** BKTF staff and the Board President held orientation training to review the various aspects of the Institutional Assessment process (the matrix, the framework and the scoring sheets), to review the PowerPoint orientation, and to develop a schedule days. BKTF also customized the Institutional Development Framework (IDF).
- **September 16:** Using the IDF, BKTF's analyzed its management. Participants included two staff, one Board member, and six representatives from member institutions

[1] The BKTF objectives are taken from its Charter.

- **September 17:** All workshop participants reviewed the results of the prior day's IDF analysis and proposed actions to address those areas which showed the greatest opportunity for improvement. This session generated a set of four principal recommendations.
- **September 20:** A second workshop was held to facilitate the IDP process with one of BKTF's member organizations, Children of the World. Arben Loka, the Coordinator of BTKF's Coordination Unit, and Renata Kapidani, its Information Officer, facilitated the workshop.
- **September 21:** NGO staff reviewed the findings of the Children of the World assessment and recommended ways to improve certain scores – especially involvement and skills development. BKTF staff also held a final debriefing to review what was produced and to develop a letter to CAP for follow-on technical assistance.
- **September 22-24:** Reporting documents were finalized.

On September 16th, participants summarized the process and began work on the IDF, using a template adapted to fit the likely requirements of an NGO network. BKTF, assisted by the CAP consultant, reviewed each "row" of the IDF, modified that row to suit its present circumstances and future vision, and assessed its progress along the development continuum expressed in the text [see *Appendix A: BKTF Institutional Development Framework (IDF)]*. Mr. Callihan recorded the scores for each row, and all necessary comments, in a separate document [*Appendix B: BKTF Institutional Development Calculation Sheet (IDCS)*] and presented the results graphically [see *Appendix C: BKTF Institutional Development Profile (IDP)]*.

On September 17th, participants reviewed the IDF, assessing the scores for each "row" and making several adjustments based on the discussion – downward, in most cases, as participants felt that several scores were overly generous. Participants then discussed the characteristics of all rows which were most in need of improvement (scored below three); they decided to identify actions to strengthen each, but not to rank their relative importance. The process of addressing each over the coming year should be discussed in the upcoming BKTF General Assembly meeting, which would have broader participation than the IDF workshop.

Assessment Results

The following areas were identified as the foci for BKTF's institutional strengthening – areas of institutional performance which are critical to BKTF's operational effectiveness and for which the assessment process discovered opportunities for improvement:

- Oversight/Vision: the Board's role, membership, and leadership style;
- Management Resources: leadership style and development of monitoring and evaluation systems;
- Human Resources: the need to develop staff training plans and staff motivational incentives;
- Financial resources: the need to decrease vulnerability by diversifying funding support;
- Network resources: the need to broaden member participation beyond a core group of active members.

Improvement Plan

BKTF identified actions which would get it on a sustainable track; those are summarized in *Appendix D: BKTF Institutional Improvement Plan.*

BKTF's next significant step is to develop a strategic plan, containing objectives (and opportunities) which will help better to define the role of the Coordination Unit's staff, better to identify the purpose of the media strategy and better to develop a monitoring and reporting system. The strategy will also provide the Board a formal guide for reviewing and directing the Coordination Unit.

Results of Facilitator Training

BKTF staff – the Coordinator (Arben Loka) and the Information Officer (Renata Kapidani) – were provided an overview on how to conduct the assessment. Following the orientation session, they played the role of participant in analyzing their own Coordination Unit, gaining both theoretical and practical knowledge of the assessment process. Both are experienced NGO managers and easily grasped the IDF concepts and process.

Capacity to Conduct Follow-on IDF Assessment

Following completion of the institutional analysis, Arben Loka and Renata Kapidani facilitated an IDF assessment of one of their member organizations, Children of the World. They had no trouble facilitating the exercise and were adept at explaining the concepts and at managing the discussion of various organizational characteristics. The consultant does no not foresee that they will have any difficulty continuing to apply the IDF process, and anticipates they will use it to conduct assessments of additional members of the BKTF network.

Next Steps

BKTF will first take some time to reflect on its assessment and to make any modifications that may seem warranted. At its next General Assembly Meeting (in October), BKTF will discuss the assessment's outcome and recommended follow-on actions. It will then submit a proposal to CAP for technical assistance to support implementation of its institutional improvement plan; it will also seek funding from members and other donors to ensure its success. In one year, BKTF will re-apply the IDF toolkit to track its own progress. Those results will be reported to CAP.

It is also expected that BKTF may further adapt this tool to conduct assessments of its members, as with Children of the World. BKTF determined that the assessment process may be most useful for the smaller Albanian NGOs that are members of its network, and can be used by the BKTF Coordination Unit to determine the type of technical assistance which it can most usefully provide to its members.

Workshop Rating

Post workshop feedback was positive – both from the BKTF workshop and from the following Children of the World workshop which BKTF staff conducted. Children of the World volunteered to have the IDF assessment done because they felt the process would be useful and relevant. Formal evaluations were not carried out due to time limitations.

Appendix A: BKTF Institutional Development Framework (IDF)

Resources		Criteria For Each Progressive Stage			
		Founding	**Developing**	**Expanding/ Consolidating**	**Sustaining**
Oversight/Vision					
Aspect	**Component**				
Board	Board's Role: Executive Board	Roles of Board members and the relationship of Board members to the Coordinator are unclear.	Board members understand their role and how they relate to Coordinator. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Coordinator and Board members formulate policies and strategic plan for development.	Board Members support organization by lobbying and linking with other organizations.
	General Assembly	Roles of GA members and the relationship of GA to the Board/Coordinator are unclear.	GA members understand their role and how to relate to Board/Coordinator. But, interpersonal or organizational constraints may reduce effectiveness.	GA members work in close cooperation with Board/Coordinator and GA members formulate policies and strategic plan for development.	GA members support organization with lobbying and linking with other organizations.
	Board's Role: Advisory Board	Roles of Advisory Board members and the relationship of Advisory Board members to the Coordinator are unclear.	Advisory Board members understand their role and how to relate to Coordinator. But, interpersonal or organizational constraints may reduce effectiveness.	Advisory Board members work in close cooperation with Coordinator and Advisory Board members formulate policies and strategic plan for development.	Advisory Board members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board playare sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development needs.	Board members selected more strategically, but most of their skills still do not match growing needs of organization.	Board's skills match needs of the developing organization and begin to move it forward.	Board members are catalyst for long-term development of organization.

Resources	Criteria For Each Progressive Stage			
	Founding	**Developing**	**Expanding/ Consolidating**	**Sustaining**
Mission	No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health, or peace.	Mission Statement exists, but is not focused. Diverse portfolio of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the Mission Statement. People outside organization may not identify Mission Statement with the organization.	Clear Mission Statement. It can be articulated by Board and staff and is consistent with portfolio. Outsiders identify the same mission with the organization.
Autonomy	Organization is the implementing agent of one donor.	Organization is able to respond to more than one donor and the organization's Board.	Organization is able to obtain funding to support its program, in consultation with the Board.	In addition to managerial and financial autonomy, organization is able successfully to advocate to and raise funds from, on behalf of its NGO consitutency, to government, donors, and private sector, on behalf of its NGO consitutency

Resources		Criteria For Each Progressive Stage			
		Founding	**Developing**	**Expanding/Consolidating**	**Sustaining**
MANAGEMENT RESOURCES					
Aspect Leadership Style	**Component** Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members.	Vision and management ideas increasingly come from Board as Board members work more closely with the organization.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff, in addition to Coordinator, provide organizational impetus.	Staff increasingly provide vital drive to organization. Staff and Coordinator increasingly work as a team.	Organization would survive without current Coordinator or Chairperson of the Board.

Resources		Criteria For Each Progressive Stage			
		Founding	**Developing**	**Expanding/Consolidating**	**Sustaining**
Planning	Mission/ Overview	Planning is opportunistic and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Coordinator, and Board driven.	The participation of staff in planning is widened, including staff contributions to planning decision making.	NGO constituents provide information for planning but beneficiaries excluded from decision making.	Organization's staff and NGO constituents contribute to planning decisions along with Coordinator and Board.
	Resource Implications	Objectives set without assessment of resource requirements, or consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review plans during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Coordinator and Chairperson with little or no feedback.	Most management decisions taken by Coordinator and Board. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management are decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from Coordinator without clear decision criteria and little or no feedback.	Management decision criteria used by Coordinator is generally shared with Board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.

Resources		Criteria For Each Progressive Stage			
		Founding	**Developing**	**Expanding/Consolidating**	**Sustaining**
	Communication Flow: Coordination Unit to Members	Communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as GA and technical meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
	Communication Flow: Members to Coordination Unit	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote or use it when discussing procedures.
Monitoring and Evaluation	Integrated into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision-making.
	Member Feedback	No feedback from NGO members.	Informal channels for NGO member feedback.	Formal mechanisms exist for NGO member feedback but only via surveys and evaluations.	Continuous feedback and input from NGO members.

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence. They may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is opportunistic and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project-based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with organizational mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training	Little, or no, training provided.	Training is significant, but is opportunistic in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered an important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
Financial Resources					
Aspects Financial Management	**Components** Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts: **Not relevant at this time**	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Own Resource Mobilization	Own resource mobilization (including dues, labor, and services) for operational income is untried or unsuccessful.	Own resource mobilization pursued on an *ad hoc*, basis.	Own resource mobilization strategy is operational	Own resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is available to cover immediate project activities only, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
EXTERNAL RESOURCES					
Aspect **Public Relations**	**Component** Public Recognition: stakeholders = members & gov't	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive membership, and commands respect outside of its core membership.
	Media Strategy = general public	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists that supports advocacy campaigns and seeks to make the organization better known and to foster a broader public awareness in support of the Mission.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect **Advocacy**	**Component** Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic, sporadic, and not coordinated. Advocacy is not strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and member power/interests are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents, but is unaware of the impact or reception of such information.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Organization has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns.	Organization contacts one or more constituent NGOs in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages constituents in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituents for advocacy campaigns and is responsive to their advocacy priorities.	Organization has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the organization.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/Consolidating	Sustaining
Ability to work with central and local government	Viewed as "we", "they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners. Often the central authorities refer to organization for advice.	Formal and informal mechanisms for collaboration exist and are often used. Relations are as equal partners. The central government often integrates the organizations' recommendations into development plans.
Ability to work with NGOs outside network	Organization only slightly known and trusted by broader NGO community. But, organization does not have experience working with NGOs outside its network.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements.	Organization works with international or local NGOs, and participates in other NGO networks and coalitions. Networks and coalitions are based on NGO member needs.	Organization plays leadership role in promoting NGO coalitions based on NGO constituencies' interests. Capable of helping to resolve NGO-NGO or NGO Govt conflict and of affecting policy on behalf of membership.
NETWORK RESOURCES				
Membership Orientation	Organization operates in centralized manner with little connection to NGO consituency.	Organization serves NGO members based on perceptions/assessment, but without active NGO member involvement.	NGO member input sought for key decisions. Organization and its efforts viewed by NGO membership as service provided to them.	NGO member interests are integrated into organization's policies and practices.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/Consolidating	Sustaining
Membership Participation in Network	Organization involves is NGO constiuency only as recipients of the organization's program.	Organization draws on leaders of its NGO constiuency for advice and mobilization of its members.	Organization draws on leaders of its NGO constiuency in planning, implementation and evaluation of organization's events.	NGO constiuency participates fully in planning, implementation, and evaluation. Constiuency NGOs contributing cash, material, labour, and management to create and maintain project results.
Service Delivery	Service delivery to NGO constiuents is supply-driven, often responding to the specifications of donors.	Some NGO member input included in determining services. But, type, quantity, and quality of services delivered to NGO constiuents is at the initiative of the organization. Little monitoring of service quality is undertaken. Customer input into product design or quality review is opportunistic, if at all.	Organization makes consistent effort to obtain NGO constiuents' input into determining the appropriate type, quantity and quality of services. NGO constituents attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to NGO constiuents. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data. Constituent ratings are high.
Active Membership	Organization is a "membership" Intermediate Service Organization, but has few members enrolled, relative to the number in its potential target group, given its mission. Of those enrolled, few are active.	Organization has a reasonable number of members enrolled (relative to their target group). However, fewer than half are current in dues payment, most are not active participants in organizational matters, and many do not identify with the organization and its mission.	More than half of members are current in dues payments and increasingly identify with the organization and its mission. They increasingly avail themseleves of services provided by the mission, but rarely contribute time or energy to maintenance and promotion of the organization. A quorum is always obtained for Annual General Meetings.	Most members are current in dues payments, are active in organizational issues, identify strongly with organization's mission. In addition to availing themselves of services of the organization (such as training) a significant number of members provide real thrust to the organization.
SPECIFIC SERVICE DELIVERY INDICATORS				
	Specifc delivery targets/performance measures have not yet been identified, but will be identifed as part of strategic planning process			

Appendix B: BKTF Institutional Development Calculation Sheet (IDCS)

Resource Aspect	Key Components	Sep-04 Raw Score	Sep-04 Weight	Sep-04 Adj. Score	Comments
Board	Board's Role: Executive Board	2.00		0.00	Three member board: President is driving force and most energetic; less active participation from other members. Expected roles are generally clear but participation uneven, and specialized tasks not assigned/undertaken by all/most members.
	General Assembly	4.00			There are semi-annual meetings for coalition management issues -- review of work plans and operations. More frequent meetings are held to focus on specific technical issues. Sub-groups have been established to deal with specific issues: to review and make recommendations on family code; and border monitoring for Olympic games. Has played role of coalition oversight -- works very well.
	Board's Role: Advisory Board	3.00			Eight member Advisory Board: UNICEF, IOM, USAID, OSE, ILO, Ministry of State, Ministry of Labor and Social Affairs, Ministry of Public Order. Board has participated substantially in technical meetings, with the most participation coming from Ministry of Public Order; Ministries of State and Labor are not as active. The Advisory Board is able to bring a lot of current information to meetings (e.g. gov't initiatives and policy discussion). In addition, group includes donors and potential donors. Provides strength to recommendations for advocating government -- helps to identify inside cooperators/voice.
	Active Board	2.00		0.00	One member resident in Berat (outside Tirana) which makes regular participation difficult. May be difficult for those located outside of Tirana to participate in regular/ad hoc meetings. Some general assembly members have volunteered and helped out with tasks - but Board itself is not active as a cohesive entity. Only President is consistently active.
	Members Advance Org.	2.00		0.00	covered above -- not regular participation across Board
		2.60			
Mission	Mission	4.00		0.00	Clear mission statement exists and was developed with participation of members and approved by General Assembly. Stakeholders are aware of mission. Charter document developed based on mission and includes specific organizational objectives.
		4.00			

Autonomy	Autonomy	3.00		0.00	The Network is funded by one donor, but was started because of the need to address issue of child trafficking in Albania. Donor funds obtained to support organizational mission.
		3.00			
Leadership Style	Board	2.00		0.00	Currently three Executive Board members. Up to now, leadership has come mainly from Board President. New elections (Oct 04) should stress the need for Board members to make a commitment to have time available to contribute. This will be third Board election.
	Staff Teamwork	0.00		0.00	Coordination Unit (Secretariat) and Coordinator position has only been filled for three months - too early to assess.
		2.00			
Planning	Mission/Overview	2.00		0.00	One year strategy/work plan exists (based on mission). Now that Coordination team is in place a new plan will be developed. Past year's plan focused on establishing a coordination unit - now established. BKTF has only recently developed operational management unit/day-to-day operations (previously conducted coordination activities on a voluntary basis).
	Participation	4.00		0.00	Participation in planning was high as it was developed by General Assembly -- staff was not in place when last plan was developed. Next plan will be developed with full participation of staff and members.
	Resource Implications	3.00		0.00	BKTF operates primarily as an advocacy and coordination unit -- not to provide funding to members. Financing is focused on coordination function.
	Work Plan as Tool	2.00		0.00	Coordination unit currently has monthly work plans, which are based on UNICEF-funded project (ONACT). Work plans are used but are short-term plans. (ONACT is a three-year project with year-to-year financing.) Basic work plans exist and are used -- three month work planning should be considered to be consistent with reporting to membership.
		2.75			
Participatory Management	Appropriate Delegation	4.00		0.00	Organization uses collaborative/participatory management - Coordinator has authority to implement work plan. Very specific work plan exists. Project was developed with full membership participation. Staff recently reported to members on first three months of work plan implementation.
	Transparent Decision-making	4.00		0.00	This is a highly participatory organization -- with most decision-making being done by General Assembly (12 members).
	Staff Participation	3.00		0.00	Coordination Unit has only been operational for three months -- so far participation is good, but it is still early in process. Financial Manager position is currently vacant, although a candidate has been selected.

	Communication Flow: Coordination Unit to Members	4.00		0.00	Reporting will be from coordinating unit to members every three months. Reports distributed to members electronically and then discussed in meetings. Communication from coordination unit to members is very good.
	Communication Flow: Members to Coordination Unit	2.00		0.00	Communication from members to the coordination unit is not as regular/strong as is necessary for unit to fulfill its role -- activities of individual members needs to be provided to coordination unit. Need to identify a contact person/liaison for each organizational member -- and appoint one person for consistent participation. Need to better identify responsibilities of members. Most members are active participants, but some do not share information or participate to the degree that would be helpful
		3.40			
Management Systems	Personnel Systems	3.00		0.00	Job descriptions and contracts exist. Three positions currently exist all are project-funded. Process and systems are adequate for current situation - can develop to meet needs as organization grows.
	File Systems	3.00		0.00	Basic system is organized and works well. Part of purpose of project is to develop a database and organize information for members.
	Administrative Procedures	2.00		0.00	Guidelines for financial management exist, but no other procedures codified. System works for a new organization, but policies and procedures still need to be developed, e.g., travel procedures/reimbursement.
		2.67			
M&E Systems	Integration into Decisions	2.00		0.00	No formal system exists for monitoring the performance of the network or BKTF. ONACT project has identified objectives and indicators. Database is being developed and will track activities of coordination unit and help monitor the coordination of members. Activity reviews are held with members to discuss the usefulness/effectiveness of individual activities.
	Constituency Feedback	2.00		0.00	Frequent meetings are held (general assembly) to discuss programs and review progress. No formal review process or measurable objectives are tracked.
		2.00			
Human Resources	Skills	3.00		0.00	Staff is adequate for current needs: three staff covering Coordinator, Financial Manager and Information Officer. No further plans for additional hiring at this time -- staff is adequate for participation in meetings and travel, plus maintaining office presence. Specialists have been used to fill short-term needs, and members can also help to fill gaps.
	Strategy	2.50		0.00	Based on needs of current project, but all staff are project funded.

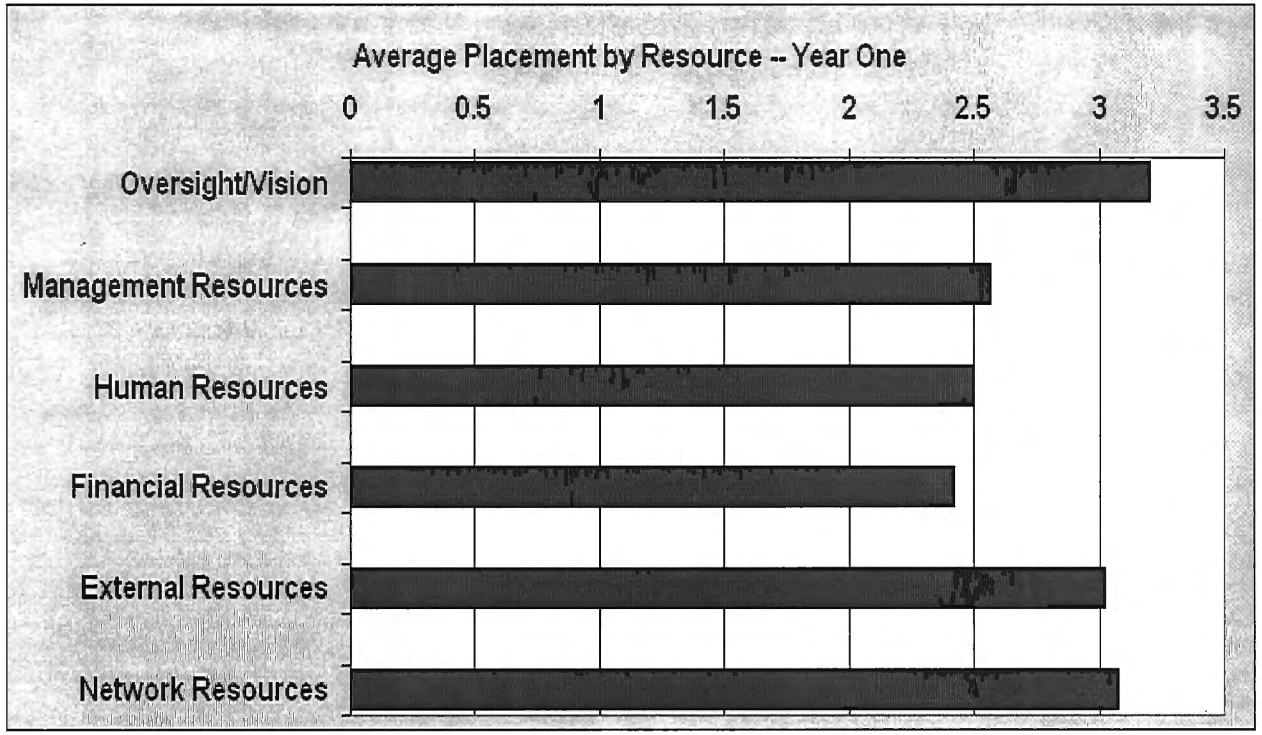
	Training	2.00		0.00	On-the-job training is provided by members to coordination unit staff. Look for opportunities for BKTF to participate in staff development training provided by member organizations. Funds are available for participation in technical events/training, and could be used for broad staff training. No specific training needs have been identified. Technical training funds for administrative support, e.g., database development, are not specified.
	Mentoring	3.00		0.00	Guidance received for member organizations on skills/best practices.
	Motivation	2.00		0.00	Performance recognized informally -- need to identify benefits of good performance.
		2.50			
Financial Management	Planning	3.00		0.00	Annual budget exists and is tracked; monthly work plans are based on existing annual budget.
	Control	3.00		0.00	Finance manager prepares monthly report and expenses shared/reviewed with coordination staff, Executive Board and general assembly -- reports are available on request. Financial Manager position currently vacant but a replacement has been hired and will start end of Sept. 04.
	Reporting	4.00		0.00	Finances will be reported at upcoming quarterly general assembly meeting. Donor receives financial reports every six months.
	Audits	4.00		0.00	Audit funds are included in budget and audit will be performed at the end of the year.
	Separation of Accounts			0.00	Not relevant. If additional projects, they will be managed separately.
		3.50			
Financial Vulnerability	Funding Diversity	1.00		0.00	UNICEF grant
	Local Resource Mobilization	2.50		0.00	$5,000 Lek/member/year. Most organizations have paid. Funds used for annual taxes and legal survival. Organization existed and operated prior to donor funding and could do so again using member contributions -- but would not have an operational budget.
		1.75		0.00	
Financial Viability	Financial Viability	2.00		0.00	Single donor funding.
		2.00			
Public Relations	Public Recognition: stakeholders = members & gov't	4.00		0.00	BKTF has been active in development of policy and national strategies (National Strategy Against Child Trafficking); 3 ministries included on Advisory Board and are active participants.
	Media Strategy = general public	2.50		0.00	Have strong ability to access media -- but not yet a strategy for using media to build awareness or to advance objectives. Also need to be clear about how to protect victims from inappropriate media coverage

					(from trafficking coverage). Ned to also increase the ability of the media to professionally cover trafficking issues - including sensitivity to protection of victims.
		3.25			
Advocacy	Strategic Approach	3.50		0.00	Advocacy is the coalition's main purpose. Helped to influence and develop national legislation, and helped to develop MOU between Greece and Albania on child trafficking (special agreements/effort to monitor issues around Olympics).
	Use of Research/Info	2.00		0.00	Use resources of member NGOs. Also BKTF now has a full-time information coordinator. Information not disseminated under "BKTF" banner, but the role of the information coordinator will be to collect and disseminate such information. Database is currently under development and will be used as a referral and resource for cases and services provided.
	Mobilizing Constituents	3.00		0.00	Coalition exists and functions to bring together members to advocate for actions to reduce child trafficking.
		2.83			
Ability to work with central and local gov't	Ability to work with central and local gov't	3.00		0.00	Productive cooperation with government -- three gov't members on Advisory Board, and Coalition wrote government strategy on preventing child trafficking. Difficult to access local government. Cooperation is good on planning and discussion, but not always follow-through on implementation (in part, due to limited funding). Local gov't has a lot of ability to influence issues but is less accessible/cooperative.
		3.00			
Ability to work with other NGOs	Ability to work with other NGOs	3.00		0.00	New coalition of NGOs -- off to a good start!
		3.00			
Membership Involvement	Membership Orientation	3.50		0.00	Role of members is clear - they created and oversee the coalition and coordination unit.
	Membership Participation	3.00		0.00	The members are responsible for all key decisions through consultation and general assembly meeting. Opportunities and process for participation is very strong, but participation is somewhat uneven with large NGOs participating more.
	Service Delivery for Members	3.00		0.00	The members created the coordination unit to serve the member community -- it is a new unit and so far is absorbing knowledge from members and performing an information and activity coordinating role, but the role is new.
	Active Membership	2.80		0.00	There is a core group of NGO members who are very active, but some NGOs don't participate as much. Need to be clearer about the

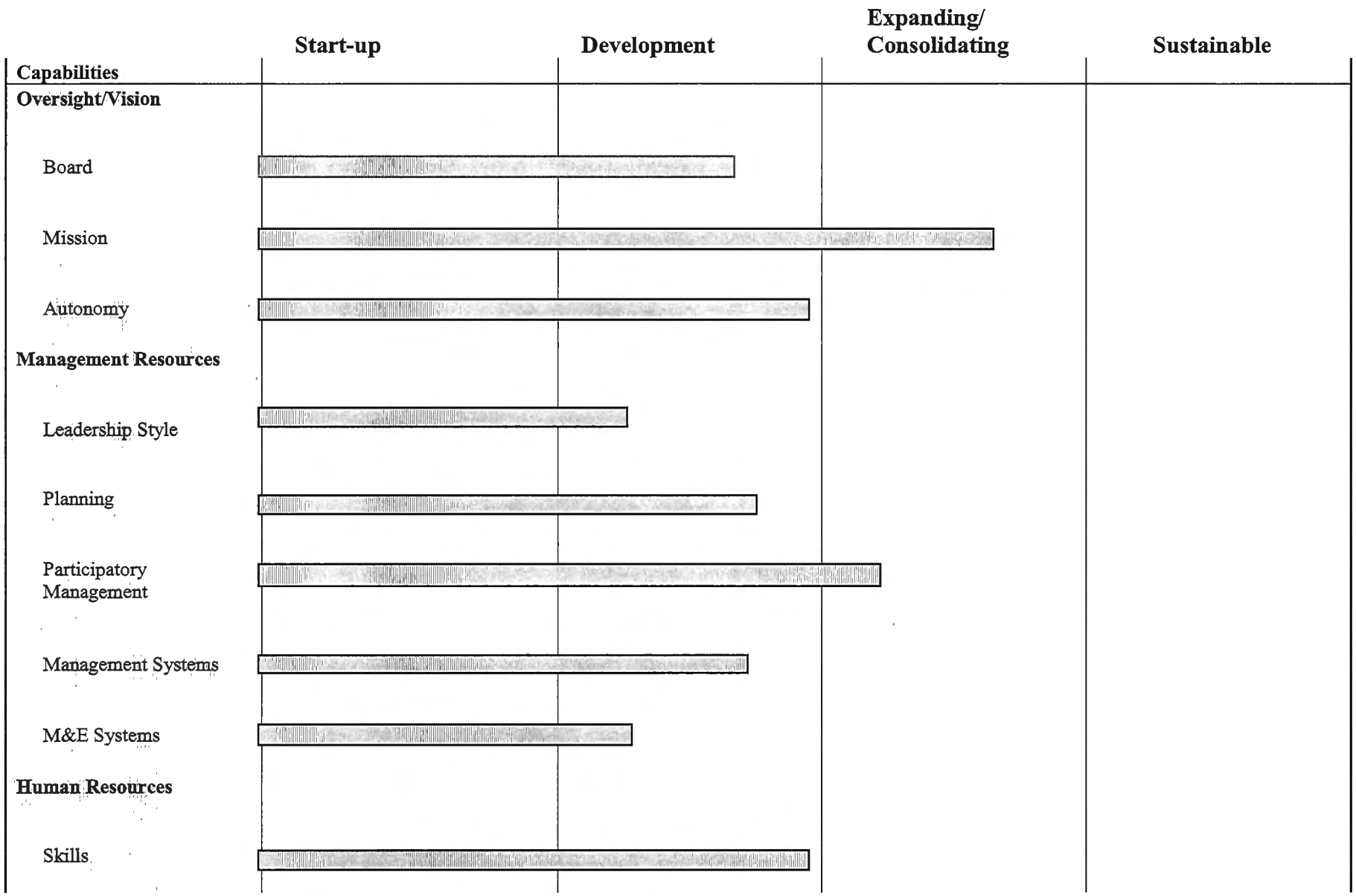
					expectations and responsibilities of members; need to work on ways to improve consistent participation among members; some members may have difficulty participating due to knowledge/expertise or because of location.
		3.08			
Total Placement		**118.30**		0.00	
Average Placement		2.62889			

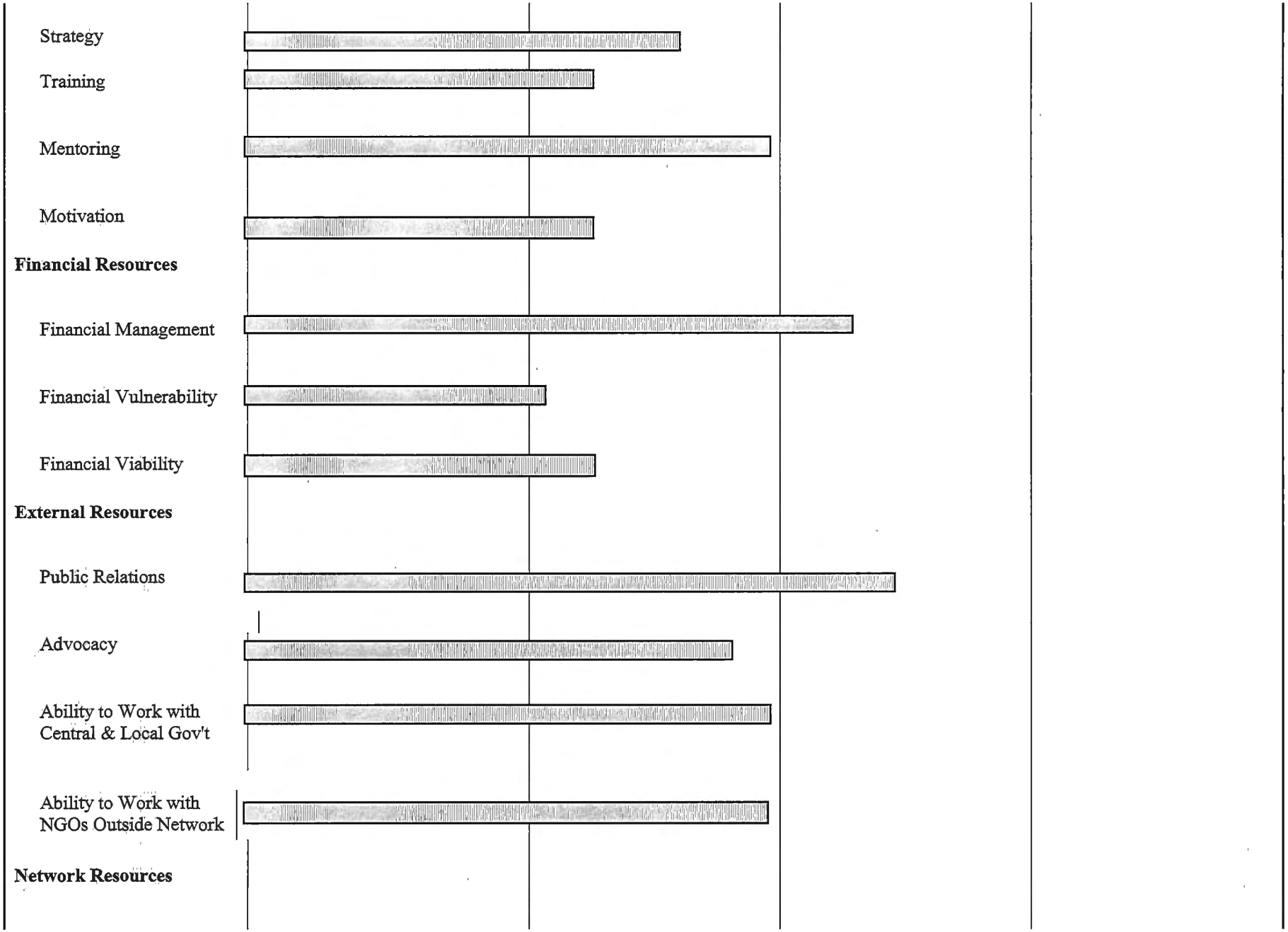
Summary of Average Placement Change, by Resource

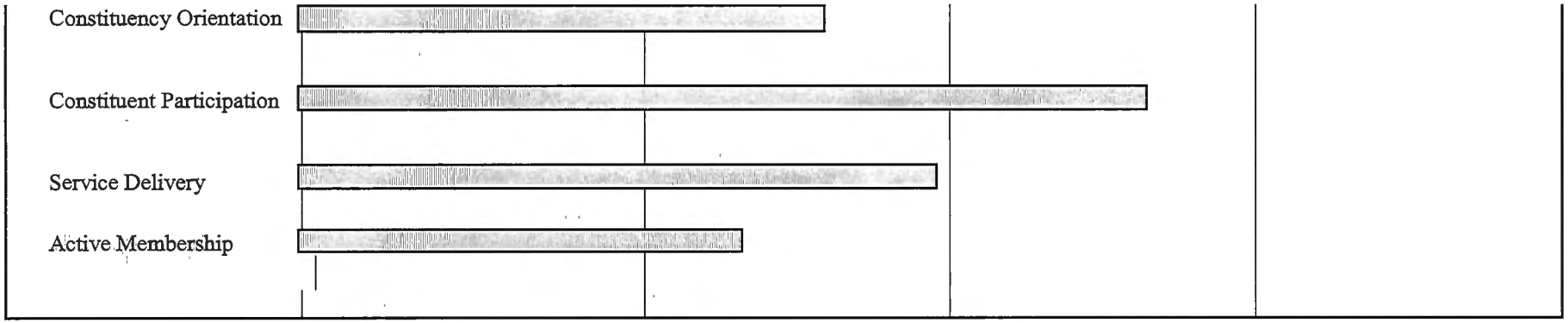
Oversight/Vision	3.20
Management Resources	2.56
Human Resources	2.50
Financial Resources	2.42
External Resources	3.02
Network Resources	3.08



Appendix C: BKTF Institutional Development Profile (IDP)




Strategy
Training
Mentoring
Motivation
Financial Resources
Financial Management
Financial Vulnerability
Financial Viability
External Resources
Public Relations
Advocacy
Ability to Work with Central & Local Gov't
Ability to Work with NGOs Outside Network
Network Resources



Legend:

Baseline: as of Sept 2004

Mid-Course: as of

Post-Grant: as of

Appendix D: BKTF Institutional Improvement Plan

BKTF conducted an institutional self-assessment at its offices in Tirana, Albania on September 15-17, 2004. The Institutional Development Toolkit was used for this process, which was facilitated by staff from the USAID-funded Capable Partners Program (CAP). The results of the assessment are summarized in the attached report. BKTF analyzed the results to prioritize areas for focused improvement over the next year, as follows:

1. **Improve Board Membership and Effectiveness:** A new election is scheduled for October and attention will be given to selecting members who are able to make an adequate time commitment to overseeing BKTF's governance, and who will bring useful skills and contacts. A Board currently exists but only one of its three members is active.

2. **Develop a Multi-year Strategic Plan:** Currently the organization operates under a one-year work plan and does not have a longer term strategy. The plan needs further to clarify BKTF's unique role, to identify ways to increase the organization's coordination role, and to develop specific performance goals and measures (an M&E system). The strategic planning exercise would be carried out during a multi-day workshop involving all or most of BKTF's members. The first day would be a general training and overview on strategic planning, in order to familiarize BKTF with strategic planning and to train them to develop strategic plans for their own organizations. The subsequent days would be devoted to developing BKTF's strategy and a performance monitoring and reporting system.

3. **Develop an Effective Media Strategy:** BKTF has excellent access to the media but would like to be more proactive and targeted in using its media contacts. Particular issues include: building support for advocacy efforts and sensitizing journalists to the need to protect trafficking victims. Advocacy is one of BKTF's two main objectives, and a role it carries out on behalf of all its network members. The media strategy would be developed on behalf of the BKTF network with the input of all members. Individual network members would not develop their own media strategies but rather would engage with the media through BKTF.

4. **Institute Administrative and Operational Improvements:** Operational improvements targeted for development over the coming year include: a simple Standard Operating Procedures Manual, staff training objectives, and a staff incentive/motivational system (e.g., guidelines for salary increases or other incentives).

Planned Improvement Activities

Objective 1: Improve Board Membership and Effectiveness			
Activities	**Resources needed**	**Sources**	**Completion date**
Hold elections for a new Board	None	Internal	October
Develop a set of responsibilities and obligations (Code of Conduct) for new Board members, which will stress the need for active participation and call for a time commitment in order to accomplish required tasks. Consider the need for members in rural districts to participate on Board and, if advantageous, define how this can be best accomplished.	Staff/member participation	Internal	October

Objective 2: Develop a Multi-year Strategic Plan			
Activities	**Resources needed**	**Sources**	**Completion date**
Hold a strategic planning workshop with staff members and board representatives (3 day workshop with follow-up)	Facilitation assistance	CAP	January
Develop a monitoring and evaluation system based on strategic plan. Initial plan will be developed as part of strategic planning process and baseline data collection will follow in February.	Technical assistance – linked to strategy development	CAP	January/ February
Write funding proposals, initially to USAID KAAT Project, to fill gaps identified in strategy.	Staff time/ Board direction & oversight	BKTF	March - May

Objective 3: Develop an Effective Media Strategy			
Activities	**Resources needed**	**Sources**	**Completion date**
Technical assistance/workshop to become better informed on issues of media use and social marketing.	Expert Trainer	CAP	March
Development of a media strategy and an implementation plan. (CAP to help develop the strategy but implementation funds will need to come from current or future grants (possibly from request to USAID/Albania KAAT project).	Expert TA/ Budget for implementation	CAP/ New Proposal	March
Provide a workshop/training for journalists to increase their knowledge of trafficking issues and sensitize them to the need to protect trafficking victims from inappropriate media exposure. (CAP could assist with the workshop, or could provide BKTF advice in how to conduct the workshop).	Trainer	CAP	March/ April

Objective 4: Institute Administrative and Operational Improvements			
Activities	**Resources needed**	**Sources**	**Completion date**
Development of standard operating procedures	None – staff time	Existing budget	December/ January
Identification of training needs for staff (to further professional development) – based on analysis of current skills and on organizational needs identified in new strategy	None – staff time	Existing budget	February/ March
Identification of staff incentives/motivational tools to reward excellent performance and increase retention	None – staff time	Existing budget	January/ February

CAPABLE PARTNERS PROGRAM (CAP)

Transparency International Bulgaria

Institutional Self-Assessment and Improvement Process

May 2004

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

Report on Transparency International Bulgaria
Institutional Self-Assessment and Improvement Process
May 2004

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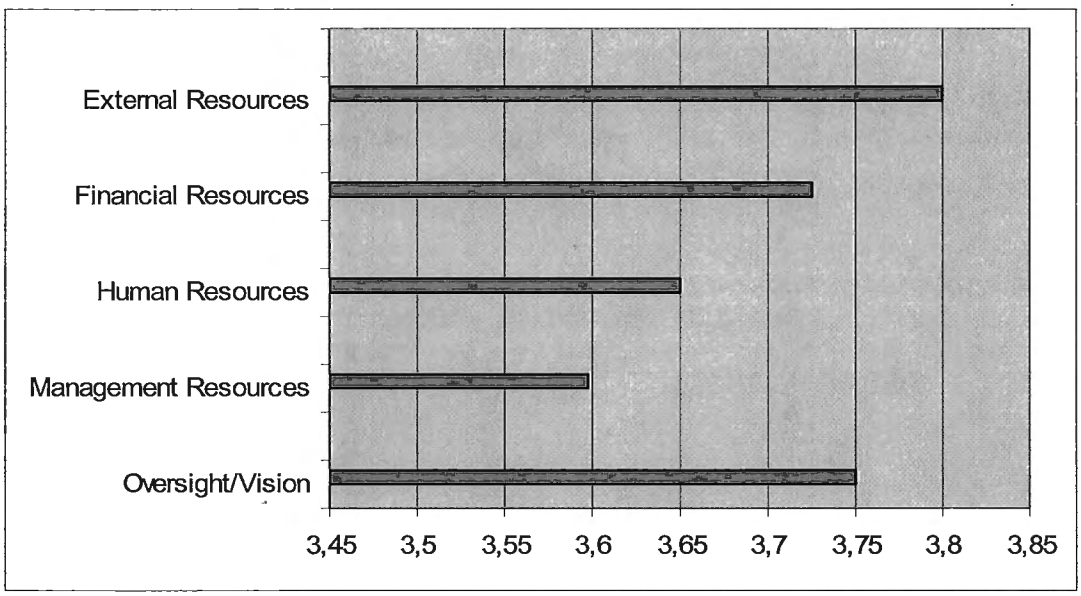
Summary, Findings, and Conclusions

Transparency Without Borders (Transparency International Bulgaria) has earned its reputation as one of the strongest NGOs in Bulgaria: the NGO community, national and local institutions, the media, and the general public recognize it as a strategic player. TI Bulgaria addresses an issue critical to Bulgaria: creating an informed and operative culture for fighting corruption by increasing institutional transparency and accountability at all levels.

TI Bulgaria functions professionally and effectively. Members and staff communicate well and share a commitment to, and a long-term vision of, their complex work. TI Bulgaria is strategically oriented and recognized by all sectors of society. It is financially viable – supported by a diversity of donors, sound financial management, and a good accountability system. Following CAP's criteria, TI Bulgaria has certainly reached Sustainability.

Figure 1: TI Bulgaria's Institutional Development Profile, Summary by Resource Area



TI Bulgaria's approach to fighting corruption is unique. Its programs have provided alternative models for analyzing and counteracting corruption. However, developing a new attitude towards and action against corruption cannot be done haphazardly: many sectors and levels of society must be strategically joined. Through partnerships with key individuals in the various sectors of society (government, NGOs, media, business, academia), TI Bulgaria can reach and mobilize several populations and so broaden support for its work. In this regard, TI Bulgaria's constituency is Bulgarian society.

The association is not designed as a broad membership organization. Due to the area of work – fighting corruption – TI Bulgaria has a very clear policy on conflict of interest, in compliance with the principles set up by TI International. It accepts no membership fees or financial contributions by members in order to avoid the inevitable pressure of possible interest groups.

However, TI Bulgaria faces a very real challenge to its sustainability – arising not from internal organizational weaknesses, but from the external environment. Bulgaria's political energy is focused on joining the European Union in 2007. The EU accession ushers in a new development stage, with significant changes to various political, social and economic aspects.

TI Bulgaria successfully consolidated as a strong organization with a long-term strategy during Bulgaria's initial transition to democracy. However, smoothing the arrival of the well-functioning democracy required by the EU accession will test TI Bulgaria's organizational sustainability. Effectiveness in fighting corruption is an issue within the entire EU and one of the political criteria on which Bulgaria will be assessed, which opens to TI Bulgaria potential partnerships with other NGOs and international stakeholders working in this area.

However, TI Bulgaria (and all chapters of Transparency International in the region) will need to identify, attract, and sustain backing for their work, especially given the significant changes in the profile and type of donors supporting Bulgarian civil society and democratization (and in the regions of Central and Southern Eastern Europe), In the previous decade, US organizations (government and private) provided most funds and technical assistance to civil society, especially for advocacy and policy change. Most (with the exception of the C. S. Mott Foundation) plan to withdraw from Bulgaria in 2006, assuming that with the increasing EU funding intrinsic to the EU accession process, Bulgarian NGOs, which can demonstrate expertise and a sound record, will be able to continue their work.

However, this assumption is not necessarily correct. EU funding is differently conceived and structured: increasingly, it is predominantly channeled through the recipient government, which then subcontracts work to NGOs as it sees fit. However, effective civic control mechanisms are not a viable part of Bulgaria's political and institutional culture, and the Bulgarian government will not innately finance advocacy organizations to develop them.

TI Bulgaria has support for all current projects until the end of 2005, but mainly from US funders – USAID, OSI Budapest, OSF Sofia, Democracy Commission – none of which will be actively present as donors after 2006. Some, like OSF Sofia, will continue in Bulgaria, but compete for funds with former grantees. Fortunately, TI Bulgaria has had some support from EU sources (EU Commission and Phare Civil Society Foundation in Sofia), but the share is relatively small in the overall funding portfolio (only two out of twelve supported projects). In order to meet these challenges, TI Bulgaria needs to develop a long-term strategy – based on in-depth analyses of trends in the creation, systematization, and marketing of its tested models and practices – in order to identify new strategic partnerships and to adapt to EU funding.

TI Bulgaria identified developing this new strategic plan as its leading organizational task for 2004. If not consciously planned, with forethought, technical assistance, and external guidance, the need for a new strategy would be missed in the daily rush of managing current projects. Even delaying the strategic revision until 2005 could seriously jeopardize TI Bulgaria's current sustainability: it could enter the trap of surviving from project to project rather than recording consistent strategic growth. CAP's support will be an investment in sustaining TI Bulgaria as strong and important actor in Bulgaria's civil society.

Background

The association Transparency Without Borders was established in 1998 as the Bulgarian National Chapter of Transparency International (TI) – the only global non-profit and politically non-partisan movement active in more than 90 countries with an exclusive focus on corruption. TI Bulgaria's mission and overall approach follow TI's: to identify, organize, and implement concrete actions against corruption, understanding that corruption is one of the most devastating deterrents to human development, social integrity, and prosperity.

TI Bulgaria acts as a strategic national anti-corruption resource center, providing a wide range of domestic and international information both on corruption and on methods and concrete practices to fight it. It advocates with a variety of key stakeholders: civil society organizations, the media, representatives of institutions and public administration, universities, the business community. Combining research, advocacy campaigns, and public discussions, TI Bulgaria has addressed such critical areas as privatization, public procurement on local and regional levels, transparent functioning of municipal councils, financing of electoral campaigns and political parties, and conflicts of interest in the state administration. TI Bulgaria has initiated and implemented over 15 in-country projects that have had significant impact in inaugurating models for independent expert monitoring, civic control, and public support for increasing transparency and accountability of politicians and public administration.

TI Bulgaria has 47 founding members, eminent public figures from all sectors: academics, journalists, lawyers, judges, businessmen, NGO activists, MPs. The general assembly serves both as supreme governance body and broad sounding board, formulating policy and updating long-term strategic direction. TI Bulgaria has a small but effective Board, consisting of 5 members with various skills relevant for the organization, 8 full-time office staff, and over 35 high-level experts who supply the various niche needs of different projects.

TI Bulgaria was nominated by USAID/Bulgaria to participate in the USAID-funded Capable Partners Program (CAP) Global Core Initiative (GCI) in Advocacy. CAP's institutional improvement compliments TI Bulgaria's training in advocacy. This document reports on the first stage of that assistance: a participatory self-assessment intended to help TI Bulgaria develop an Institutional Improvement Plan to address areas that the assessment indicated require urgent attention. TI Bulgaria will present this plan to CAP, to its members, and to other donors for funding and will ensure that it is implemented.

Process

The consultant met with Executive Director, Diana Kovatcheva, and Program Director, Katia Hristova, on May 22, 2004 to explain the IDF assessment process; all three then adapted it to TI Bulgaria. The essential elements were completed from 28 May – 8 June and the consultant agrees that the improvement plan will be useful. All agreed that it was most efficient, and only feasible, to keep the Ms. Kovatcheva and Ms. Hristova as key liaisons, responsible for summarizing the views expressed in recent team and Board meetings: four out of seven project team members were very new to the organization (hired just several months ago) and already responsible for a number of urgent project tasks; most of the Board members are not regularly available, although there had been recent Board meetings and well-systemized information on TI Bulgaria's policy and practices.

In the first meeting, TI Bulgaria's management, with the Consultant, began work on the Institutional Development Framework (IDF): reviewing each "row", modifying it to suit their circumstances and future vision, and assessing their progress on the IDF's development continuum. The results of this effort are included as *Appendix A: TI Bulgaria Institutional Development Framework (IDF)*. The Consultant recorded the scores for each row and all necessary comments in a separate document [*Appendix B: TI Bulgaria Institutional Development Calculation Sheet (ICDS)*] and presented the results graphically [*Appendix C: TI Bulgaria Institutional Development Profile (IDP)*].

Assessment Results

Following the assessment, the Consultant guided Ms. Kovatcheva, and Ms. Hristova through the process of ranking the immediate priority areas on a scale from "Makes or Breaks TI Bulgaria" to "Not significant at this time." Since the coming two years will bring rapid changes, the group allocated more time to brainstorming the possible threats to and opportunities for TI Bulgaria, selecting for analysis the various resource areas which would most efficiently prevent future vulnerability. TI Bulgaria determined that the following were most essential to long-term survival and sustainability:

- Developing a long-term strategy with a special focus on autonomy and financial viability beyond 2007 (anticipated year of EU accession).
- Developing human resources and skills for strategic fundraising in the new phase.
- Increasing the effectiveness of service provision, advocacy, and public relations strategies.

Improvement Plan

TI Bulgaria then turned its attention to identifying activities that needed to be undertaken for the organization's sustainability. Those are summarized in *Appendix D: TI Bulgaria Institutional Improvement Plan.*

The group concluded that merely following the general indicators in the "rows" could give only a very general idea of TI Bulgaria's overall health, if not combined with analyses of outside threats and opportunities, given that considerable changes are expected. Though TI Bulgaria has consistent strategies and stable support for its programs until 2005, developing a new long-range plan and redefining its strategic position, especially in regard to changing donors' profile and policies, will be crucial for its remaining in the sustainability stage – when the organization has the ability to respond to changes in the environment.

Next Steps

TI Bulgaria will first reflect on the assessment results and make any warranted modifications. It is submitting a proposal to CAP for technical assistance to support the implementation of its improvement plan and seeking funding from members and other donors. One year from now, TI Bulgaria will re-assess itself using the IDF toolkit again, combining that process with analyses of the external environment, in order to track its progress. Those results will be reported to CAP.

Workshop Rating

General comments were favorable, but many thought that the workshop would have been more effective if greater time had been allocated to it, as was originally planned. Post workshop evaluations of the workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	5
2. How useful to you was the assessment of your network's institutional capacity?	5
3. How do you rate the facilitator's ability to explain and communicate clearly?	5
4. How do you rate the facilitator's knowledge of institutional strengthening?	5
5. How do you rate the facilitator's facilitation technique and skills?	5
6. How clearly do you now understand your network's institutional strengthening needs?	5
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	4
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4

Appendix A: TI Bulgaria Institutional Development Framework (IDF)

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
OVERSIGHT/VISION					
Aspect	**Component**				
Board	Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Executive Director to formulate policies and strategic plan for development.	Board Members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active, one or two members contribute and/or pursue resources.	Board Members are increasingly active, according to their field of expertise Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active. Board committees are formed
	Members Advance Organization	Board selected based on initial enthusiasm of founding organization, not necessarily on its long-term development.	Board members' skills do not match the organization's growing needs.	Board's skills match the organization's growing needs of the developing organization.	Board members are catalyst for long-term development of organization.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health or development.	Mission Statement exists, but is not focused. Diverse portfolio of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the Mission Statement and people outside organization may not identify it with the organization.	Clear Mission Statement. It can be articulated by Board and staff and is consistent with portfolio. Outsiders identify the same mission with the organization.
Autonomy		Organization is the implementing agent of one donor.	Organization is able to respond to more than one donor and its own Board.	Organization is able to obtain funding to support its program, in consultation with the Board.	In addition to managerial and financial autonomy, organization can successfully advocate, on behalf of consitutency(ies), to government, donors, and private sector.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
MANAGEMENT RESOURCES					
Aspect **Leadership Style**	**Component** Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members.	Vision increasingly comes from Board as members improve involvement.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly work as a team	Organization would survive without current Executive Director or Chairperson of the Board.
Planning	Mission/ Overview	Planning is predominately ad hoc and incremental.	Annual plans are developed and reviewed during course of year, but often not integrated into longer-term strategic plan.	Planning is expanded and more forward-oriented, long term/strategic in nature, and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments, with regular review of long term plans.
	Participation	Planning is top-down in orientation – Executive Director – and Board-driven.	There is increasing staff participation in planning; contributions are integrated in the decision making.	Increased search for constinuent's information and inputs in planning. Staff pro-actively participating in planning	Planning is bottom-up, based on a systematic constulative process with outside constituencies; staff contributes to planning decisions along with Exec. Dir./Board.
	Resource Implications	Objectives set without assessment of resource requirements or consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors and regularly reviewed during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory	Appropriate	Decisions handed down to	Most management decisions	Management decisions increasingly	Management decisions

Management	Delegation	organization from Executive Director and Chairperson with little or no feedback.	taken by Executive Director and Board. Some input from one or two staff members.	delegated to line and activity managers, as appropriate.	delegated to appropriate level.
	Transparent Decision-Making	Decisions handed down to organization from Executive Director without clear decision criteria and little or no feedback.	Management decision criteria used by Executive Director generally shared with Board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process and full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Communications are open and inter-hierarchical. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all necessary, personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized and understood by employees; redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic, and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed; no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote or use it when discussing procedures.

Service Delivery	Service delivery to customers is supply-driven, often responding to the specifications of donors.	Type, quantity, and quality of services delivered to its customers are at the initiative of the organization. Little monitoring of service quality is undertaken. Customer input into product design or quality review is *ad hoc*, if at all.	Organization makes consistent effort to obtain customer input into determining the appropriate type, quantity, and quality of services. Customers' attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to customers. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
MANAGEMENT RESOURCES					
Constituency Participation		Organization addresses constituency (ies) only as recipients of its program.	Organization bases the programs on more careful resarch and knowledge on constituency (ies) concerns and interest.	Organization draws on its constituncy(ies) leaders for advice and mobilization of constituencies.	Constituency (ies) participate fully in planning, implementation, and evaluation. Constituency (ies) contributing cash, material, labour, and management to create and maintain project results.
Monitoring and Evaluation	Integration into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function.	Ongoing M&E system functioning and data analysis are integrated into decision-making.
	Constituency Feedback	No feedback from constituency (ies).	Informal channels for constituency (ies) feedback.	Formal mechanisms exist for constituency (ies) feedback but only via surveys and evaluations.	Continuous and interactive feedback and input from constituency (ies)

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence and may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is *ad hoc* and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists, consistent with organizational mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training	Little or no training provided.	Training is significant, but is *ad hoc* in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little or no coaching or counselling provided.	Some coaching and counselling provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in setting objectives and know what is expected of them.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
FINANCIAL RESOURCES					
Aspects **Financial Management**	**Components** Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis, but are not used as instrument for organizational decision making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.

	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessfully tried.	Local resource mobilization pursued on an *ad hoc* basis.	Local resource mobilization strategy is operational	Local resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate activities and depends on local opportunities.	Funding is available for short-term costs. It covers some project activities, consistent with mission.	Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
EXTERNAL RESOURCES					
Aspect **Public Relations**	**Component** Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well-known to public and policy makers and able to engage decision-makers in dialogue on policy. It has a supportive constituency and commands respect outside that constituency.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established communication mechanisms.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists and attempts are made, through social marketing and other means, both to make the organization known and to foster a broader public awareness in support of the Mission.

Aspect	Component				
Advocacy	Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests, and constituency power/interests – are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission, and goals, and which incorporate understanding of relevant stakeholder power and constituent issues. Organization uses its plan to guide actions.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents, and is aware of the impact or reception of such information. At this point, number of advocacy issues is limited to one.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Organization has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders, who actively seek the organization's information materials on advocacy issues. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns.	Organization contacts one or more constituencies in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages appropriate constituencies in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization is able to mobilize constituencies	Organization has helped constituents to organize themselves and mobilize others, which they can now do independently.

			for advocacy campaigns and respond to their advocacy priorities.	
Constituency Orientation	Organization operates in centralized manner with little connection to consituency.	Organization serves constituency based on perceptions/assessment, but without active constituency involvement.	Constituency input sought for key decisions. Constituency views organization and its efforts as a service.	Constituency integrated into organization's policies and practices.
Ability to work with central and local government	Viewed as "we", "they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners.
Ability to work with other NGOs.	Organization does not have experience working with other NGOs and is not known or trusted by NGO community.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements only.	Organization works with international or local NGOs and participates in NGO networks and partnerships.	Organization plays leadership role in promoting NGO coalitions based on constituencies' interests. Capable of helping to resolve NGO-NGO or NGO- Govt conflict and of affecting policy on behalf of constituency

Appendix B: TI Bulgaria Institutional Development Calculation Sheet (IDCS)

		June 2004			INSERT DATE			
Resource Aspect	**Key Components**	Raw Score	Weight	Adj. Score	Raw Score	Adj. Score	Change Over Time	**Comments**
Board	Board's Role	3.75	1	3.75		0.00	-4	
	Active Board	3.00	2	6.00		0.00	-6	It is a Board of 5 members, there are no formal committees, but each member has field of expertise and serves as resource/catalyst point on relevant areas
	Members Advance Org.	3.75	1	3.75		0.00	-4	Members are founders of the organization, selected as representative cross sector sample of people who can advance its mission, serving as a broader sounding Board, providing for strategy input, and broader support. TI is not a broad membership organization. Membership is more strategic and cross sector representative.
		3.50			**0.00**			
Mission		4.00	1	4.00		0.00	-4	
		4.00			**0.00**			
Autonomy	Autonomy	3.75	1	3.75		0.00	-4	
		3.75			**0.00**			
Leadership Style	Board	3.75	2	7.50		0.00	-8	
	Staff Teamwork	3.75	2	7.50		0.00	-8	
		3.75			**0.00**			
Planning	Mission/Overview	3.00	3	9.00		0.00	-9	The organization has a clear plan until 2005, as part of a long term strategy developed in 1997. It provides needed flexibility to respond to dynamics in priorities of local context. Critical for the organization is to review long-term strategy in regard to EU accession 2007 and what this will mean to TI as a network and more concretely in Bulgaria. .
	Participation	3.50	2	7.00		0.00	-7	
	Resource Implications	3.50	3	10.50		0.00	-11	Current planning process (strategy and annual

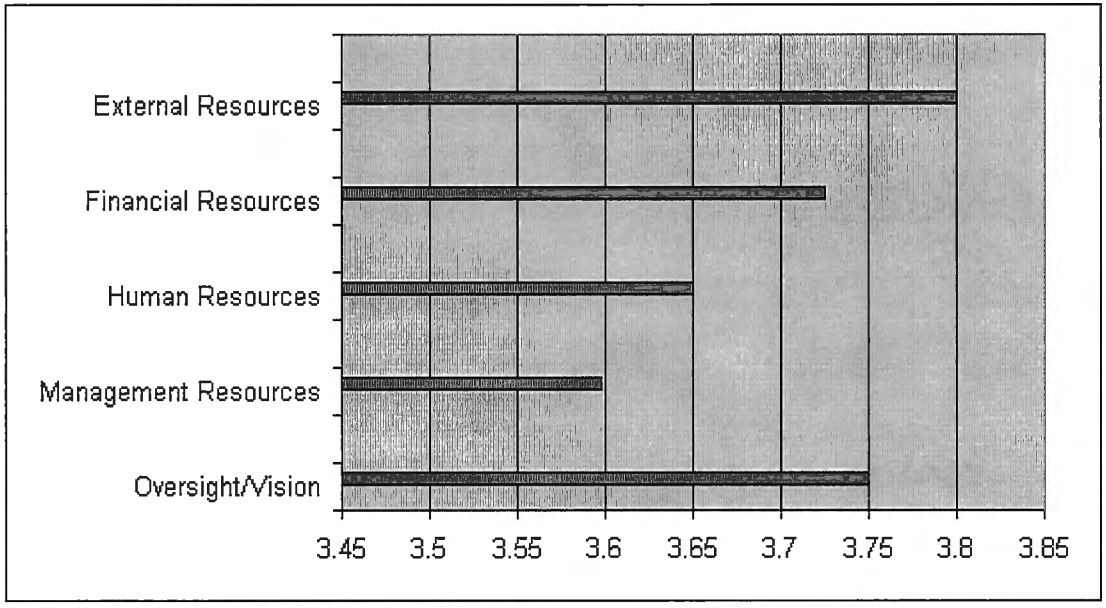
								plans) are well functioning. Anticipated considerable changes in the environment with EU accession requires allocating of resources for new strategy process to prepare the organization for the phase after 2007
	Work Plan as Tool	3.50	2	7.00		0.00	-7	
		3.38			**0.00**			
Participatory Management	Appropriate Delegation	3.50	3	10.50		0.00	-11	
	Transparent Decision-making	4.00	3	12.00		0.00	-12	
	Staff Participation	3.75	3	11.25		0.00	-11	
	Communication Flow	4.00	2	8.00		0.00	-8	
		3.81			**0.00**		-42	
Management Systems	Personnel Systems	3.75	1	3.75		0.00	-4	
	File Systems	3.75	1	3.75		0.00	-4	
	Administrative Procedures	3.75	1	3.75		0.00	-4	
		3.75			**0.00**		-11	
Service Delivery	Service Delivery	3.50	2	7.00		0.00	-7	
		3.50			0.00			
Constituent Participation	Constituent Participation	3.50	1	3.50		0.00	-4	TI has various constituencies. It works through key stakeholders (other organizations, institutions, or individuals) to activate them. Input is provided through consultative process, surveys, cross-sector structure of the membership of TI, partnership with other organizations
		3.50			0.00			
M&E Systems	Integration into Decisions	3.50	1	3.50		0.00	-4	
	Constituency Feedback	3.50	1	3.50		0.00	-4	
		3.50			**0.00**		-7	
Human Resources	Skills	3.50	4	14.00		0.00	-14	
	Strategy	3.75	3	11.25		0.00	-11	
	Training	3.75	2	7.50		0.00	-8	

	Mentoring	3.50	2	7.00		0.00	-7	
	Motivation	3.75	3	11.25		0.00	-11	
		3.65			**0.00**		-51	
Financial Management	Planning	3.50	3	10.50		0.00	-11	
	Control	3.50	1	3.50		0.00	-4	
	Reporting	3.50	2	7.00		0.00	-7	
	Audits	3.50	1	3.50		0.00	-4	
	Separation of accounts	3.50	1	3.50		0.00	-4	
		4.30			**0.00**		-28	
Financial	Funding Diversity	3.75	2	7.50		0.00	-8	There will be changes in the donors active in the country and the region, a lot are phasing out. Main donor after 2007 will be the EU (funding usually channeled through the government)
Vulnerability	Local Resource Mobilization	2.00	1	2.00		0.00	-2	Conditions for local fundraising still not very favorable. The question of conflict of interest - and clear policy of TI in this direction is also restricting some possibilities available to other organizations. There are some cases of selling services - to government, but this is to be further explored.
		2.88			**0.00**		-10	
Financial Viability	Financial viability	4.00	2	8.00		0.00	-8	This is the current picture and all projects have financing until 2005. It is critical to start strategizing for the future beyond 2007, and based on that to consider what should be renewed, or continued in regard to sustaining the viability of the organization
		4.00			**0.00**			
Public Relations	Public Recognition	4.00	2	8.00		0.00	-8	
	Media Strategy	4.00	2	8.00		0.00	-8	
		4.00			**0.00**			
	Use of Research/Info	4.00	2	8.00		0.00	-8	
	Mobilizing Constituents	3.00	2	6.00		0.00	-6	
		3.50			**0.00**			
Ability to work with	Ability to work with	4.00	1	4.00		0.00	-4	

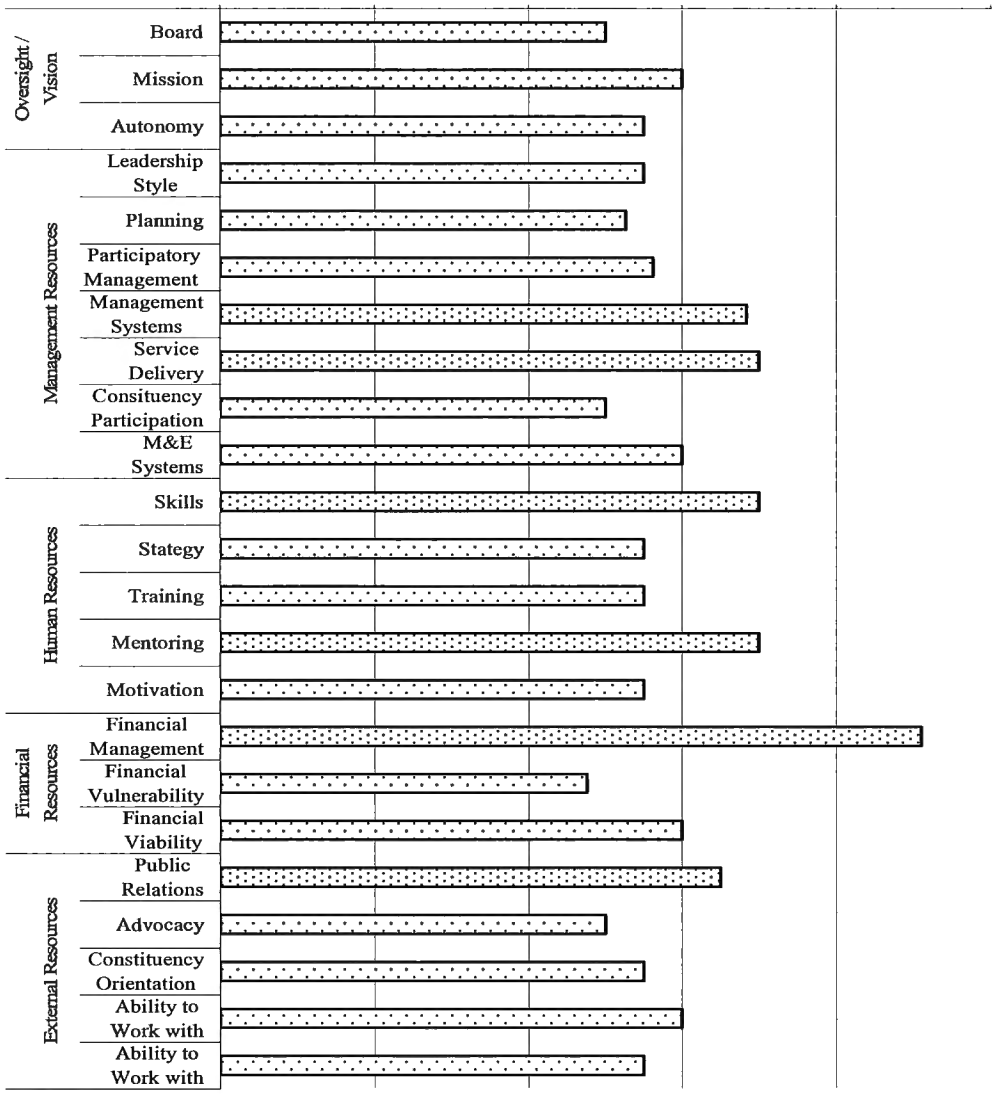
central and local gov't	central and local gov't							
		4.00			**0.00**			
Constituency Orientation	Constituency Orientation	3.75	1	3.75		0.00	-4	
		3.75			**0.00**			
Ability to work with other NGOs		3.75	1	3.75		0.00	-4	
		3.75			**0.00**			
Total Placement		**155.25**		**285.25**	**0.00**	**0.00**	**-285.25**	
Average Placement		3.6105			0		-7	

Summary of Average Placement Change, by Resource

Oversight/Vision	3.75	0.00
Management Resources	3.60	0.00
Human Resources	3.65	0.00
Financial Resources	3.73	0.00
External Resources	3.80	0.00



Appendix C: TI Bulgaria Institutional Development Profile (IDP)



	External Resources					Financial Resources			Human Resources					Management Resources							Oversight / Vision		
	Ab	Ab	Co	Ad	Pu	Fin	Fin	Fin	Mo	Me	Tra	Sta	Ski	M&	Co	Se	Ma	Pa	Pla	Lea	Au	Mis	Bo
								5.5															
Sustainable					4.2			0.0		4.5			4.5			4.5	4.4						
Expansion/Consolidation	3.7	4.0	3.7	3.5	0	4.0	3.3	0	3.7	0	3.7	3.7	0	4.0	3.5	0	0	3.8	3.6	3.7	4	4	4
Development	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Start-Up	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Start-Up Development Expansion/Consolidation Sustainable

Appendix D: TI Bulgaria Institutional Improvement Plan

TI Bulgaria conducted an institutional self-assessment at its Sofia offices from 28 May – 8 June 2004. Using the IDF toolkit, staff from the USAID-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the Self-Assessment Report. TI Bulgaria analyzed the results to prioritize areas for focused improvement over the next year as follows:

1. Design a long-term strategy with a special focus on autonomy and financial viability beyond 2007 (anticipated year of EU accession).
2. Develop human resources and skills for strategic fundraising in the new phase.
3. Increase effectiveness of current service provision, advocacy, and public relations strategies.

These three objectives are interrelated: all are comprised in organizing a comprehensive and well-facilitated process of strategizing for Bulgaria's accession to the EU, based on in-depth analyses of trends in the environment and of expected changes in donors' policies. Addressing these objectives will help TI Bulgaria to develop a future-oriented systematization of and marketing for its tested models and practices and to identify new strategic in-country and international partnerships. Increasing staff capacity, especially in strategy development and fundraising, will be important for timely and successful attainment of new funding. Increasing the effectiveness of TI Bulgaria's current work (services, advocacy and public relations) will in turn enhance visibility and connect its already strong credibility to the identified needs of a changed environment, which will also augment TI Bulgaria's successful marketing.

CAP facilitated the workshop for TI Bulgaria's management (listed below), who provided for systemized input from recent meetings of Board and staff.

Name	Title
Diana Kovatcheva	Executive Director
Katia Hristova	Program Director

Planned Improvement Activities

Objective 1: Develop a long-term strategy with a special focus on autonomy and financial viability beyond 2007.			
Activities	Resources needed	Sources	Completion date
Technical assistance to design and facilitate TI Bulgaria's strategic process, based on strategic review of achievements of programs, products and services (current and potential), and careful analyses of donor policy tendencies and of anticipated changes in the funding environment after 2006. The goal is to sustain TI Bulgaria's long-range viability and effectiveness after 2007.	External consultant, staff and Board	CAP	End of 2004
Strategic review of donor strategies, particularly European funding and opportunities/constraints for TI Bulgaria to raise support. Analyze other NGOs and development actors in Bulgaria and Europe (potential partners or competitors), and TI Bulgaria's relevant advantages/disadvantages. Develop options for best approaches and potential relations with new donors and identify future in-country and	Staff, with TA	CAP	

European partners.			
Analyze current and potential role of TI Bulgaria as a member of Transparency International, particularly in regard to potential regional projects in Southeast Europe	Staff, with TA	CAP	
Develop a strategic plan for 2005-2007 to sustain TI Bulgaria's leading role in fighting corruption and increasing transparency of decision-making and functioning of state and municipal institutions.	External consultant, with staff	CAP	

Objective 2: Human resources and skills development for strategic fundraising in the new phase.			
Activities	Resources needed	Sources	Completion date
1. Increase capacities of new staff for strategy planning: training in various approaches, through participation in the strategy process (see above)	External consultant and staff	CAP	
2. Increase skills in project development and proposal writing	External consultant and staff	CAP	
3. Identify and approach potential independent donors for institutional (or general) support - for example, the C.S. Mott Foundation, Freedom House (Budapest) etc. The goal is to tap into institutional development resources for TI Bulgaria from donors still active in the region in 2005-2006	Management, Board		

Objective 3: Increase effectiveness of current service provision, advocacy, and public relations strategies (closely linked with **Objective 1).**			
Activities	Resources needed	Sources	Completion date
1. Systemize learning from program achievements: analyze current and potential products and services as a basis for better marketing TI Bulgaria to the existing environment.	Staff, with TA	CAP	
2. Facilitate update of current advocacy and public relation strategy to increase the pro-activeness of TI Bulgaria and its image as an expert catalyst for initiating effective coalitions/partnerships and a leader in the public debate on fighting corruption, even in a radically changed external environment	External consultant and staff	CAP	

CAPABLE PARTNERS PROGRAM (CAP)

Citizen's Advocate Program
Georgia

Institutional Self-Assessment and Improvement Process

July 2004

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

Report on Citizen's Advocate Program-Georgia's (CAP-G) Institutional Self-Assessment and Improvement Process

July 2004

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Summary, Findings, and Conclusions

This report describes the successful IDF installation on the Citizens Advocate! Program (CAP-G)[1]. From 13-22 July 2004, CAP-USA trained five CAP-G facilitators, who then installed the IDF on a partner NGO. CAP-G plans to conduct similar assessments on up to fourteen partner NGOs within the next four months. Before 2005, the facilitators will submit an amalgamated improvement plan, with requests for CAP-USA's technical assistance, from these partner NGOs.

Background

USAID/Georgia nominated CAP-G to participate in the USAID-funded CAP-USA's Global Core Initiative (GCI) in Advocacy. CAP-G is a USAID-funded organization, dedicated to improving the capacity of Civil Society Organizations (CSOs) and to creating an enabling environment so that CSOs can promote citizens' interests and effectively advocate their cause. CAP-G aims to strengthen civil society by pursuing issue-based advocacy via coalitions of targeted CSOs working with the public and by engendering an enabling legal and regulatory environment and public support for the Third Sector.

The key components of the CAP-G strategy are:

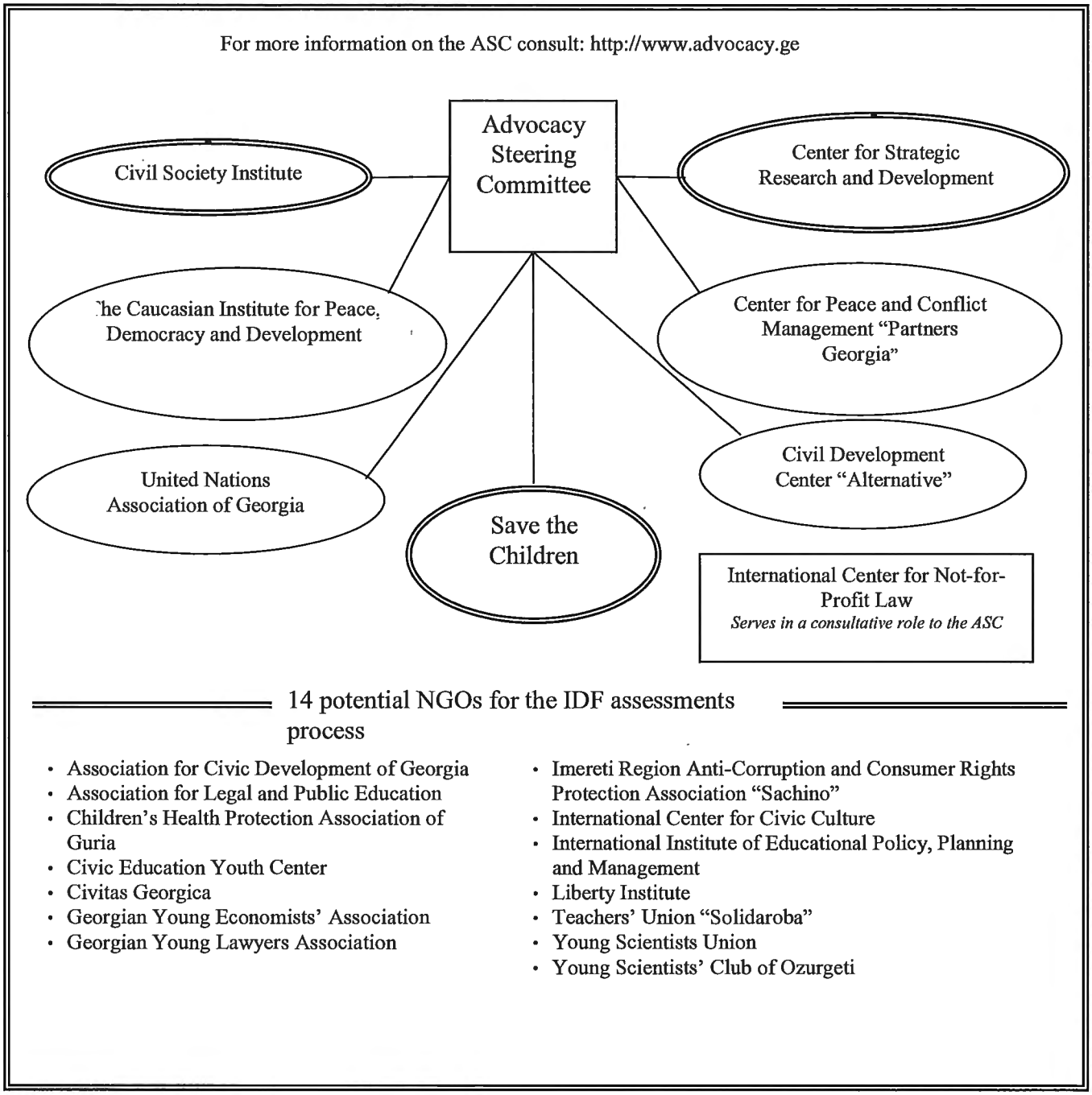
- Support for advocacy campaigns undertaken by broad-based "interest driven" coalitions of CSOs, community organizations, local government representatives, and business or professional associations;
- Awards of two-year grants for such advocacy coalitions, through a transparent and responsive application process lead by a representative Proposal Review Committee;
- Provision of tailored technical assistance packages to selected coalitions to ensure the success of campaigns as well as enhanced NGO management and governance;
- Promotion of an enabling environment for proactive NGO involvement in advocacy writ large and the drafting of legislation to regulate and support CSOs' work;
- Advancement of broad citizen participation in public life in Georgia, particularly from women and youth, through public awareness and media campaigns;
- Establishment of informational resources via a Web site under the name "Advocacy Georgia" (www.advocacy.ge);
- Transition to the sustainability of the CAP-G program through the creation of an Advocacy Resource Center (ARC).

A key feature of CAP-G is the active participation of six Georgian NGOs, coordinated by Save the Children, in program design and implementation. The six NGOs predate CAP-G; along with Save the Children, they form CAP-G's Advocacy Steering Committee (ASC). Each shares a common vision of Georgian civil society's needs and potential. They bring complementary skills and mandates to program initiatives, ranging from stimulating public dialogue, media outreach, and information dissemination to policy and legal analysis, training, and grassroots mobilization. The ASC will culminate in the projected ARC, which will continue CAP-G's efforts after the

[1]This report uses CAP-USA for Capable Partners Program and CAP-G for Citizen's Advocate! Program.

project's close in August 2005. An ARC secretariat will continue to coordinate coalition actions and provide technical assistance to all sectors – public, private, and government – in the promotion of citizens' interests.

Figure 1: Advocacy Steering Committee (ASC) and Partners



= Organizations with trained IDF Facilitators

Process

The five facilitator-trainees (all female) included staff members from three of the CAP-G partner organizations:

Name	Organization
Indira Amiranashvili	Citizen's Advocate Program, Save the Children
Irina Bregvadze	Center for Strategic Research and Development
Lita Surmava	Civil Society Institute
Nino Khachapuridze	Center for Strategic Research and Development
Tina Asatiani	Center for Peace and Conflict Management "Partners Georgia"

The trainees had previous experience in organizational assessment and development. Two held advanced degrees in organizational psychology and all had acquired experience in facilitating well-structured meetings. The facilitator training was broken into three major phases, as shown in Figure 2, below. The first preparation meeting began on July 14 with a two-hour orientation session, during which the CAP trainer proposed an agenda for the facilitator training (see Figure 3 below) distributed draft IDF documents in English and Georgian, and presented an overview of the IDF assessment process (using the IDP PowerPoint presentation that is available on the NGOConnect Web site).

Figure 2: Phases of Facilitator Training

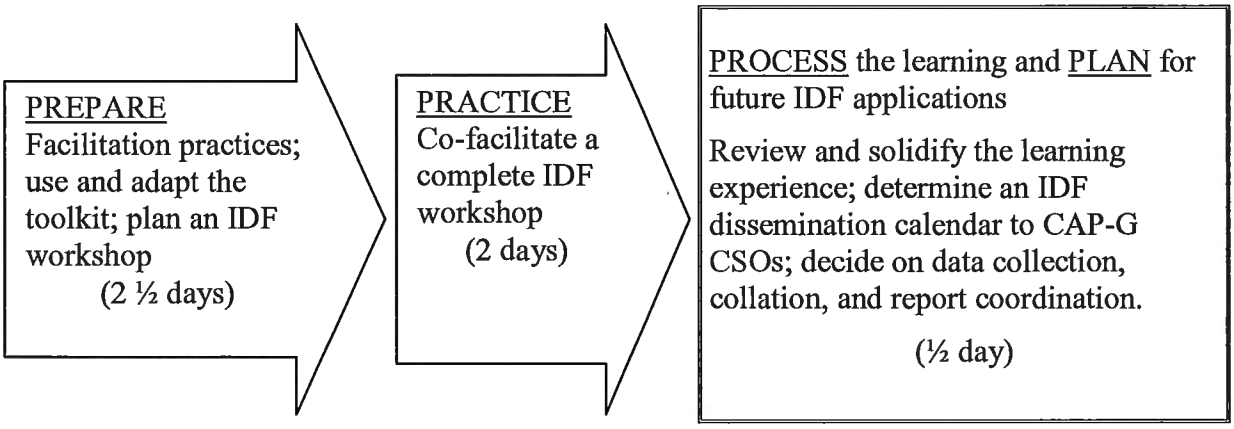


Figure 3: Facilitator Training Agenda

Learning Objectives

1. Understanding the facilitator role,
2. Mastery of the IDF Toolkit, and
3. Planning and preparation for conducting an IDF NGO assessment on their own (with coaching from the master trainer).

Candidates will need to read the documents in the IDF Toolkit prior to the training of facilitators. The Toolkit includes the IDF article and tools (IDF matrix, IDSC and IDP) for their review prior to the first training session. Note that there are two different toolkits, each with specially adapted tools – one for NGOs and a second for network (both available on the NGOConnect Web site). The IDF Toolkit also includes a version of the IDF PowerPoint with annotated notes pages that explain how to present the presentation to new audiences.

Sequencing of Facilitator Training Sessions

1. Introductory Session
- Discussion of each candidate's familiarity with:
  - Organizational development
  - Participatory assessments
  - Ability to work with PowerPoint, Excel, and LCD projectors
- Facilitator "do's and don'ts"

2. Mastering use of the IDF tools
- Conducted in the same manner as standard IDF workshop with the facilitator trainees acting as participants
- A adapting the matrix to the local conditions while keeping the tools generic to local NGOs or networks
  - Understanding the significance of each cell and how the various rows relate to each other is a critical outcome of the training. Have the trainees select an organization or two that they know well enough score as an illustrative example as you work through the matrix.
  - Weighing of IDF elements - how to make the calculations and draw the IDP on their own.

3. Analyzing the IDP
- Identifying important organizational strengths and weaknesses
  - Relationships between rows
  - "Telling the story" of where the NGO

4. Facilitating the prioritization process
- How the top priorities get carried over into the Improvement Plan and TA request
- Adapting the templates for IDF assessment reporting, improvement planning report and TA request to the host situation
- Producing and maintaining a paper trail of IDF data for future reference

5. Conducting the IDF Workshop Evaluation
- Using the evaluation form and Excel calculation sheet
- How the workshop evaluation data will be collected and used

6. Preparation for the Facilitators' First IDF Assessment
- Reviewing and modifying the most appropriate agenda for the upcoming IDF workshop
- Assignments for:
  - Translating & presenting the PowerPoint presentation
  - Facilitating the participants in working through the sections of IDF
  - Noting the IDCS calculation and comments
  - Preparing of IDP
  - Facilitating the prioritization and improvement planning sessions
  - Producing the handouts for IDF workshop (copies of the agenda, revised matrix, calculation sheet, blank IDF, evaluation forms (TRANSLATE))

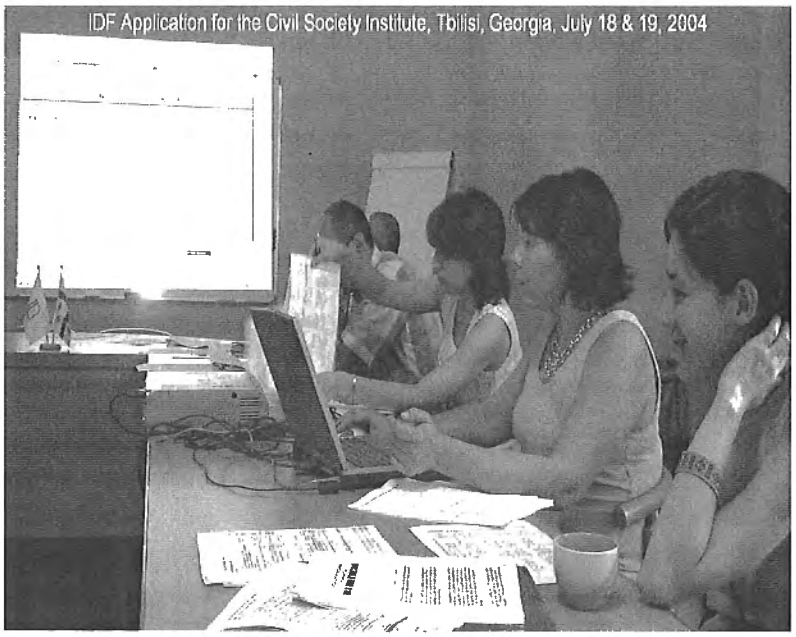
Training of Facilitators Review (post NGO workshop)
Training Case Workshop Review

a) What worked best
b) Any unexpected learnings? Something you didn't expect, or something that is now clear
c) Anything you are still unclear or unsure of?
d) What, if anything, would you definitely need to improve in your next workshop
e) Review/add to "facilitator do's and don'ts"
f) Evaluation of training
g) Certificates

IDF Dissemination Planning

1) NGO allocation by facilitator
2) Calendar of deliverables
   a) Assessments
   b) Compilation and analysis of results
   c) TA request
   d) TA provision
   e) 2nd IDF application
   f) Communications with NGOs
3) NGO workshop
   a) Initial contact to scope
      i) Communication protocols
   b) Process design
   c) Assistance:
      i) Equipment needs
      ii) Logistical costs
      iii) Technical support
   d) Report requirements
      i) Format
      ii) Who gets what information
4) Data collation and storage
5) Registration on NGOConnect

Photo 1: Participants calculate scoring



The next two days of the training, the group adapted CAP-USA's IDF to Georgian CSOs - in English and Georgian *[Appendix A: CAP-G Institutional Development Framework (IDF])*. They adapted and translated the IDCS and IDP into Georgian *[Appendix B: Institutional Development Calculation Sheet (IDCS) and Appendix C: Institutional Development Profile (IDP)]*. The facilitator team also translated the IDF workshop evaluation form and created a Georgian language adaptation of post-IDF assessment Institutional Improvement Plan template for local use with CAP-G NGOs (see Figure 6 below). The group also assigned responsibilities for the "training case" NGO workshop on 19 – 20 July.

In their own workshop, the facilitator trainees reviewed, scored, and modified each "row" of the IDF. At each step, the trainees assessed the progress on the development continuum for the organization they represented; they then charted the results on an IDCS. Finally, the CAP facilitator demonstrated how these results are analyzed, prioritized, and scored on an Institutional Development Profile. After reviewing the "weighting" of the IDF scores, based on the priority assigned to each characteristic on the IDCS, the group decided that this step would not be necessary, at least not during this first wave of NGO assessments. Consequently, the IDCSs adapted for this application do not include formulas for weighting.

The second phase of the training was conducting an actual IDF NGO workshop for the Civil Society Institute. The agenda of the workshop and a brief summary of the workshop results are provided below. The summary includes: the results of the assessment, as presented to the group (see Figure 2 below); the participants' evaluation of the local facilitators; and a brief summary of CSI's organizational improvement plan. The details of this IDF application were not included in this facilitator training report. Once the local facilitators have completed the full series of assessments with local CSOs, the IDF results will be summarized and presented in a composite CAP-G NGO improvement plan, along with a TA request.

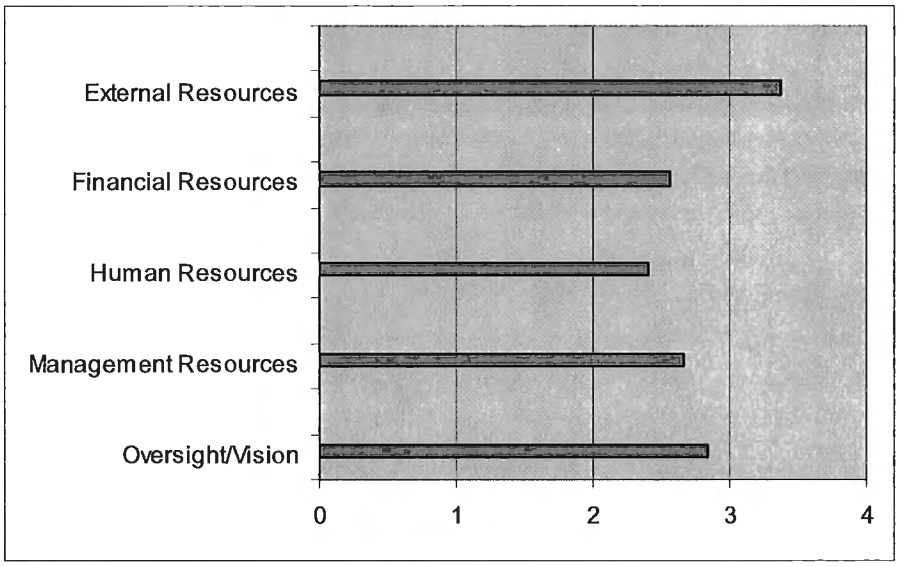
The final phase of the facilitator training process was completed by mid-day on July 22. This session followed the agenda provided in Figure 3, above. The local facilitators analyzed and evaluated their performance in the IDF workshop, refined their understanding of facilitating the IDF tools, and developed a plan for disseminating the IDF. The Dissemination Plans are described in "Next Steps" section below.

Assessment Results

At the final facilitator session on July 22, the CAP trainer led a discussion evaluating the facilitator training. The local facilitators' observations were as follows:

- The IDF's interactive and participatory nature is one of its greatest strengths.
- The IDF process prompts questions about organizational development which normal staff meetings might never raise; the questions in themselves can push an NGO forward along on the development continuum.
- The facilitator often mediates between contrasting ideas about the organization's situation. Although this tension is generally productive, the facilitator may wish to divide large or fractious groups, administer the assessment on the smaller groups, and then average the scores.
- Presenting the IDCS and IDP (see summary in Figure 4 below) with a computer and LCD projector helped focus and expedite the process. Although time-consuming, the projection lets participants see their progress.
- The PowerPoint presentation should cover only what the participants need to start the IDF assessment process. The full presentation might be useful to explain the process to donors or NGO leadership, but within an assessment session it is better to project just the slides that explain the steps in scoring and leave the prioritization slides until later. The most important slides to show at the introductory workshop session are those describing the IDF's purpose and underlying principles and explaining the IDF matrix.

Figure 4: CAP-G Institutional Development Profile, Summary by Resource Area



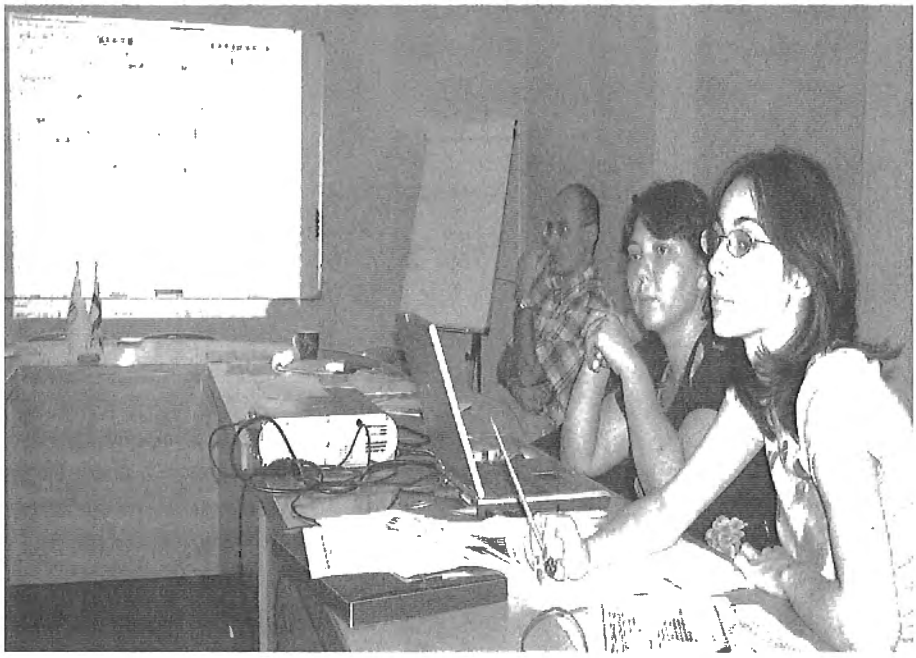
Improvement Plan

On Day Two of the CSI workshop, with the IDF matrix completed, the group turned its attention to determining priority areas for improvement, focusing on the IDP scores that had not surpassed the "consolidation phase" (scores between 2 and 3). Ten rows had not; CSI prioritized these ten on a five point scale, ranging from "Makes or Breaks CSI" to "Not significant at this time." The following five areas emerged as high priority. A few of these desired improvements had been already anticipated but not yet widely discussed.

	CSI Improvement Priority	Anticipated Action
1st	Public Relations/Media Strategy (score 3)	CSI will try to find resources (human and financial) to develop a media strategy by March 05.
2nd	Human Resources (score 3)	• Development of a staff development plan; • Creation of potential staff database; • Development of staff's (current and new) professional skills through trainings and books; • Execution of effective system of staff motivation
3rd	Participatory Management / Appropriate delegation and transparent decision-making (score 3)	Conduct staff retreat Development of a Strategic Plan for the organization
4th	Financial Viability (score 3)	Continued and effective fund-raising
5th	Board (score 2)	• Conduct the first Board meeting on July 23, 04. • Following this meeting – development of a vision on how to increase effectiveness of Board

Note that this IDF assessment was only one of up to fourteen similar assessments which CAP-G's local facilitators will conduct in the next few months. Once the full set of self-assessments is complete, the CAP-G team will assemble a combined Institutional Improvement Plan that identifies common areas of need. This analysis will accompany CAP-G's request for technical assistance from CAP-USA.

Photo 2: The CSI Director listens to staff input while participants take notes



Results of Facilitator Training

A key element of success for this facilitator training effort was CAP-G's careful preparation prior to the arrival of the CAP-USA consultant. In addition to identifying and selecting the competent facilitator candidates, CAP-G arranged for one of its partners, CSI, to undergo an IDF assessment as a "training case" for the facilitator-trainees.

The stated mission of Civil Society Institute (CSI) is to facilitate "the formation and development of civil society and a democratic state by promoting democratic values and the rule of law, educating social actors and increasing their civic activity, and creating a facilitating legal environment for CSOS." Although CSI, in its current incarnation, is only a year old, it stems from two predecessor NGOs, dating from 1994. The acquired experience of CSI's leadership contributes to a level of organizational maturity unexpected in light of its short existence.

CSI was very supportive of the IDF facilitator training, providing meeting space both for their sessions and its own assessment. All seven of CSI's full-time staff participated in the IDF assessment, as well as two board members who each attended for one day. CSI's IDP, from their self-assessment, is presented in Figure 5, in Georgian, with English titles and scores provided below the graphic.

Capacity to Conduct Follow-on IDF Assessments

At the end of the session, the CAP trainer conducted an on-line demonstration of the NGOConnect Web site and invited the local facilitators to join its growing cadre of certified facilitators. Facilitator certificates were produced and distributed to each of the five IDF trainees.

Photo 3: Three CSI staff discuss the Improvement Plan while Georgian IDF facilitators listen

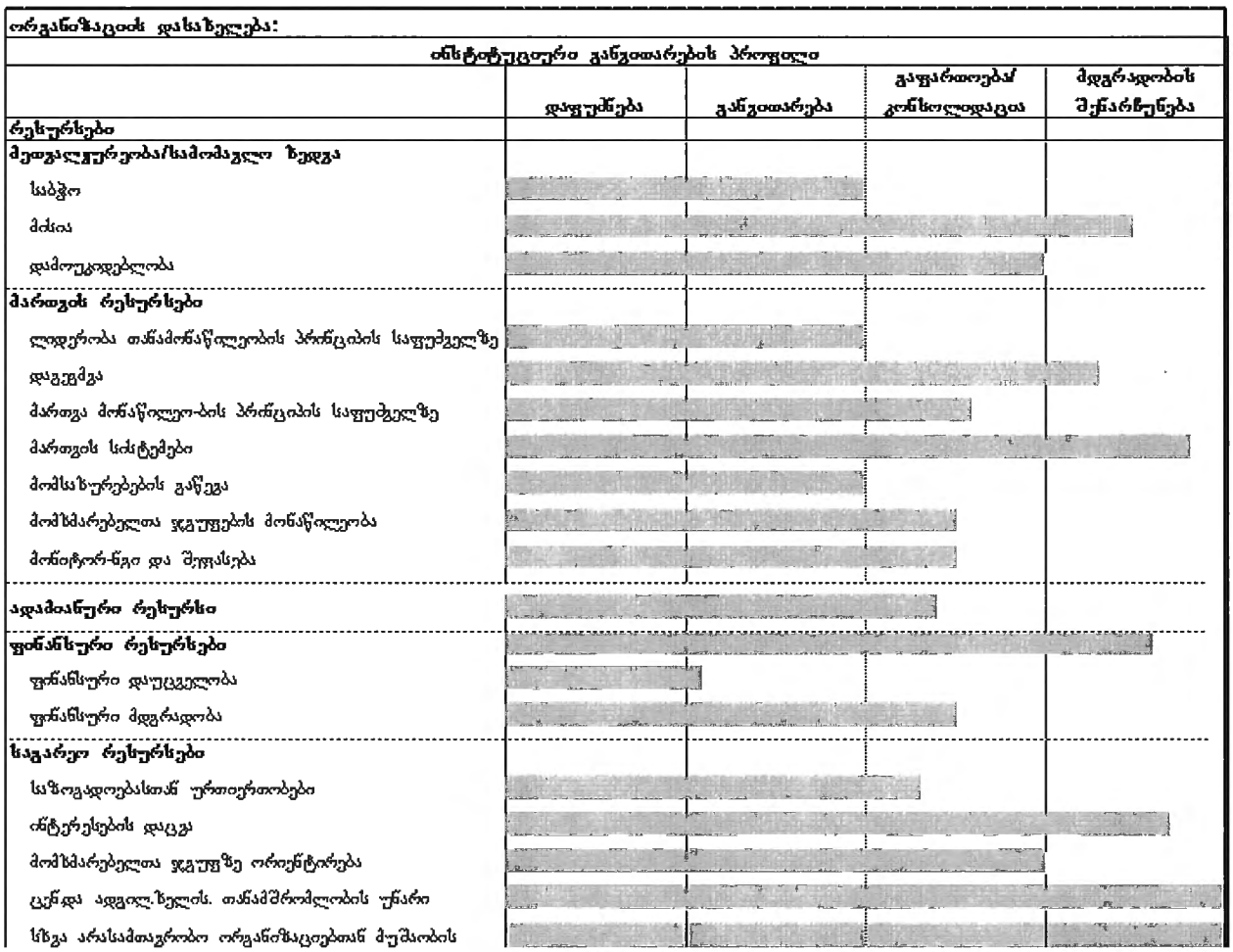
Next Steps

1. **Communications with NGOs to Arrange IDF Assessments** (end of August 2004): CAP-G will contact each NGO to assess interest (it is anticipated that at least seven partners NGOs will be) and put the interested CSOs in direct contact with one of the local facilitators. Note that one limiting factor is that a few of the CSOs are very small – with only two or three members – and so such an assessment may not be suitable. Another limiting factor may be low interest of the CSOs' leaders in the real development of their respective organizations, since undertaking an IDF requires robust commitment and concerted effort.
2. **IDF assessments conducted by local facilitators** (end of October 2004): Each facilitator will conduct two assessments, depending on the number of interested CSOs. Facilitators will work with the NGO leadership to design and complete the assessment process. Each NGO will adapt the IDF matrix and produce an IDP and Institutional Improvement Plan. Facilitators will have access to the Save the Children's LCD projector for the workshops; they will need to prepare and send assessment reports and improvement plans to CAP-G.
3. **TA provision to relevant CSOs** (between January and April 2005) will be coordinated by the ASC and CAP-G and should favor ways in which local capacity will be developed rather than just providing one-off assistance. It is probable that some external assistance may be required. In such a case, the TA provision will be designed in a way to provide the most organizations with assistance needed.
4. **2nd IDF application** (end of May 2005): Each facilitator will also lead the second IDP application on recipient NGOs to assess progress. In some cases, the assessment may only focus on re-scoring particular rows of the IDF; in others, CSOs may wish to re-assess their organization using the full IDF matrix.

It is an ambitious schedule, but the only one that seemed feasible to the group given the constraints of the CAP-G program[2].

[2] The Cooperative Agreement with Save the Children ends in August 2005. Consequently Indira Amiranashvili will not be available to coordinate the CAP-USA organization development efforts any later than May 2005 due to closeout procedures for the Citizens Advocate! Program.

Figure 5: Civil Society Institute IDP, as produced by the Georgian facilitator team, July 21, 2004



The characteristics and scores charted on CSI's IDP above are:

Oversight/Vision
- Board 2
- Mission 3.5
- Autonomy 3

Management Resources
- Shared Leadership 2
- Planning 3.25
- Participatory Management 2.63
- Management Systems 3.83
- Service Delivery 2
- Constituency Participation 2.5
- M&E Systems 2.5

Human Resources 2.4

Financial Resources
- Financial Management 3.6
- Financial Vulnerability 1.1
- Financial Viability 3

External Resources
- Public Relations 2.25
- Advocacy 3.67
- Stakeholder Orientation 3
- Ability to Work with Central & Local Gov't 4
- Ability to Work with other NGOs 4

Facilitator Workshop Rating

The CAP consultant had the facilitators evaluate their training; the results were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool for your work?	5.00
2. How useful to you think the IDF assessments will be for strengthening Georgian NGOs?	5.00
3. How do you rate the CAP facilitator's ability to explain and communicate clearly?	5.00
4. How do you rate the CAP facilitator's knowledge of institutional strengthening?	5.00
5. How do you rate the CAP facilitator's facilitation technique and skills?	5.00
6. How clearly do you now understand NGO's institutional strengthening needs?	5.00
7. How confident are you in your ability to conduct the IDF assessment without the assistance of an CAP facilitator?	5.00
8. To what extent do you believe that using the IDF will result in institutional improvements in local NGOs?	4.75
Overall average rating of 4 respondents:	4.97

NB: One of the five facilitators was absent at this last session due to a family emergency.

The results were exceptional. The one lower score, for question 8, stems from the fact that many other intervening factors affect institutional improvement and so might mitigate the effectiveness of the IDF.

CSI Workshop Rating

The evaluations of the CSI IDF workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	4.00
2. How useful to you was the assessment of your network's institutional capacity?	4.17
3. How do you rate the facilitator's ability to explain and communicate clearly?	4.50
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.17
5. How do you rate the facilitator's facilitation technique and skills?	4.67
6. How clearly do you now understand your network's institutional strengthening needs?	4.17
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3.83
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4.00
Overall average rating out of 6 respondents	4.19

On all accounts, the CSI evaluations were very favorable. The highest ratings were given to the facilitators for both for their facilitation skills and their ability to explain the IDF tools. Better ratings could not have expected better ratings for a first workshop; the evaluations attest to the competence of the local facilitator team.

Appendix A: CAP-G Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
Oversight/Vision					
Aspect	**Component**				
Board	Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plans for development.	Board Members support organization by lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum for Board. Committees, but overall few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding organization, not necessarily on its long-term development.	Board members' skills do not match growing needs of organization.	Board's skills match growing organization's needs.	Board members are catalyst for long-term development.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health, or development.	Mission Statement exists, but is unocused. Diverse portfolio of projects and proposals is inconsistent with Mission Statement.	Mission Statement is clear and generally consistent with portfolio. However, staff are not uniformly capable of articulating it and outsiders may not identify it with the organization.	Clear Mission Statement, consistent with portfolio. Board and staff can articulate it and outsiders identify the same mission with the organization.
Autonomy		Organization is the implementing agent of one donor.	Organization can respond to more than one donor and the organization's Board.	Organization is able to obtain funding to support its programs, in consultation with the Board.	In addition to managerial and financial autonomy, the organization is able to advocate successfully, on behalf of its consitutency(ies), to government, donors, and private sector.
MANAGEMENT RESOURCES					
Aspect **Shared Leadership**	**Component** Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members.	Vision increasingly comes from Board, as members increase involvement.	Virtually all Board members contribute to organization's leadership and development.
	Staff	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly work as a team	Organization would survive without current Executive Director or Chairperson of the Board.
Planning	Mission/ Overview	Planning is predominately *ad hoc* and incremental.	Annual plans are developed but often not integrated into longer-term strategic plans.	Annual plans are reviewed during course of year. Plans are expanded to be long-term / strategic and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long-term plans.
	Participation	Planning is top-down in orientation, Executive Director, and Board driven.	Staff participation in planning is broadened by contributions to decision-making.	Stakeholders provide information for planning but are excluded from decision-making.	Stakeholders and staff contribute to planning decisions along with Exec. Director and Board.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
	Resource Implications	Objectives set without assessment of resource requirements or consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive – specific enough to permit accurate resource allocation and flexible enough to be modified as warranted.
	Workplans as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff.	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Executive Director and Chairperson with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from Executive Director without clear decision explanation and little or no feedback.	Management decision criteria used by Executive Director and generally shared with Board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand their role in organization and see opportunities to participate in management.	Staff increasingly participate in management, where appropriate.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Communications are open and inter-hierarchical. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through formal and informal channels.
Management	Personnel Systems	No formal personnel	Some, but not all necessary, personnel	Virtually all necessary personnel	Formal personnel systems are

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
Systems		systems (job descriptions, recruitment and hiring procedures, etc.) exist.	systems exist. Informal employment practices persist.	systems are institutionalized. Occasionally informal mechanisms are used.	institutionalized and understood by employees; redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic, and accessible.
	Administrative Procedures	Few administrative procedures formalized – or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed, and considered an operational instrument. People quote or use it when discussing procedures.
Service Delivery		Service delivery to NGO's customers is supply-driven, often responding to donor specifications.	Type, quantity and quality of services delivered to its customers are at the initiative of the organization, with little monitoring undertaken. Customer input into product design or quality review is *ad hoc*, if at all.	Organization makes consistent effort to obtain customer input into determining the appropriate type, quantity and quality of services. Customers' attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to customers. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data.
Stakeholder Participation		Organization involves its stakeholders only as beneficiaries of the organization's program.	Organization draws on its stakeholder leaders for advice and mobilization of constituencies.	Organization draws on its stakeholder leaders in planning, implementation and evaluation events.	Stakeholders participate fully in planning, implementation, and evaluation. Stakeholders contribute cash, material, labor, and management to create and maintain project results.
Monitoring and Evaluation	Integration into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at donor request and implemented by outsiders.	Evaluations are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision- making.

Resources		Criteria For Each Progressive Stage			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
	Beneficiary Feedback	No feedback from beneficiaries.	Informal channels for beneficiary feedback.	Formal mechanisms exist for beneficiary feedback but only via surveys and evaluations.	Continuous feedback and input from beneficiaries.
Human Resources					
Skills		Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence and may even provide expertise and assistance to outside organizations.
Strategy		Human resource development is *ad hoc* and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project-based.	Staff development is based on needs assessment and an action plan, consistent with organizational mission, exists.	Professional development is considered part of overall organizational development. It is supported by individual career development plans.
Training		Little or no training provided.	Training is significant, but *ad hoc* .	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring		Little or no coaching or counselling provided.	Some coaching and counselling provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.
Motivation		Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
FINANCIAL RESOURCES					
Aspects **Financial Management**	**Components** Planning	Budgets are set unrealistically, developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial conditions in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors; internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing. All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.
	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessful.	Local resource mobilization pursued on an *ad hoc* basis.	Local resource mobilization strategy is operational.	Local resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and independent on local opportunities.	Funding is available for short-term costs. Strategies for medium-term funding in place.	Funding is available to cover the full term of project activities; projects are consistent with the mission.	All projects are consistent with mission and have long-term funding plans. Current funds are adequate for management plan.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
EXTERNAL RESOURCES					
Aspect **Public Relations**	**Component** Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work are well known to public and policy makers and able to engage decision-makers in dialogue on policy. It has a supportive constituency and commands outside respect.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters, but there are no established mechanisms for communication.	Organization begins to seek out media exposure, usually based on publicizing specific, compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Frequent, but not strategic, exposure to media.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists and attempts are made, through social marketing and other means, both to make the organization known and to foster a broader public awareness in support of the mission.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
Aspect **Advocacy**	**Component** Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic: organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests, and constituency power/interests – are used on selected issues, but may not be reviewed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission, and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide actions.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on constituents' behalf, and is aware of the impact or reception of such information. At this point, number of advocacy issues is limited to one.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first-rate.	Organization established as a credible source on issues within its interest areas, with a reputation among outsiders who actively seek the organization's information materials on advocacy issues. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns.	Organization contacts one or more constituencies in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages all appropriate constituencies in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituencies for advocacy campaigns and respond to their advocacy priorities.	Organization has helped constituents to organize themselves and mobilize others, which they now do independently.
Constituency Orientation		Organization operates in centralized manner with little	Organization serves constituency	Constituency input sought for key decisions. Organization and its efforts viewed by	Constituency interests integrated into

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding Score 1	Developing Score 2	Expanding/Consolidating Score 3	Sustaining Score 4
	connection to consituency.	based on perceptions / assessments, but without active constituency involvement.	constituency as a service.	organization's policies and practices.
Ability to work with central and local government	Viewed as "us" versus "them". Little regular communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners.
Ability to work with other NGOs	Organization does not have experience working with other NGOs and is not known or trusted by NGO community.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements only.	Organization works with international or local NGOs, and participates in NGO networks and coalitions. Networks and coalitions are based on constituency needs.	Organization plays leadership role promoting NGO coalitions based on constituencies' interests. Able to help resolve NGO-NGO or NGO Govt conflict and affect policy for constituency.

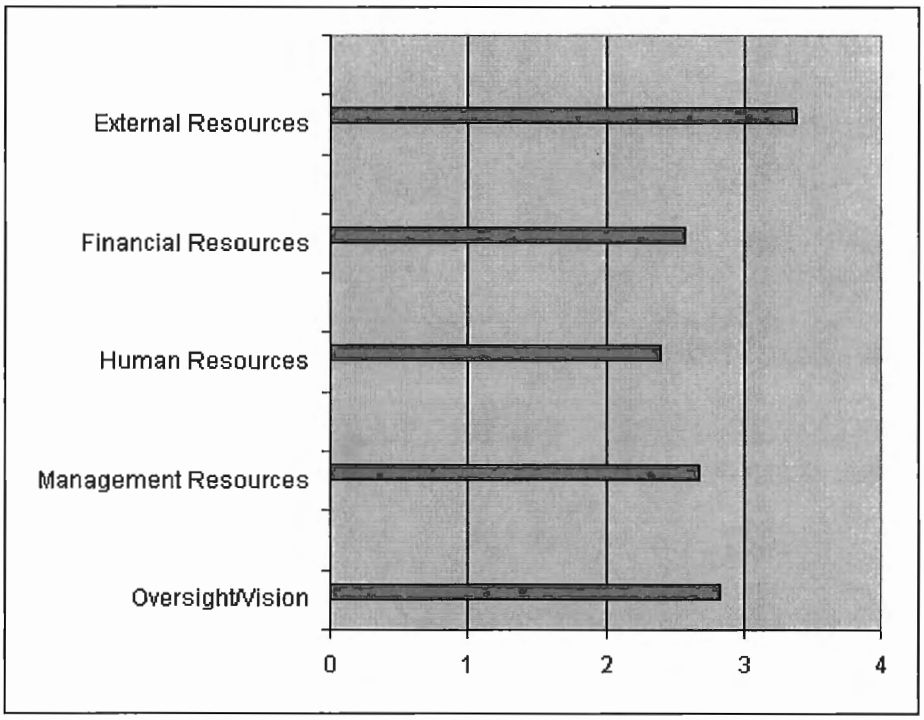
Appendix B: CAP-G Institutional Development Calculation Sheet (IDCS)

Resource Aspect	Key Components	Raw Score	Raw Score	Change Over Time	Comments
Board	Board's Role	1.5		-1.5	
	Active Board	1.5		-1.5	
	Members Advance Org.	3		-3	
		2	0	-2	
Mission		3.5			
		3.5	0	-3.5	
Autonomy	Autonomy	3		-3	
		3	0	-3	
Leadership	Board	1		-1	
Style	Staff Teamwork	3		-3	
		2	0	-2	
Planning	Mission/Overview	3		-3	
	Participation	2.5		-2.5	
	Resource Implications	3.5		-3.5	
	Work Plan as Tool	4		-4	
		3.25	0	-3.25	
Participatory	Appropriate Delegation	2		-2	
Management	Transparent Decision-making	3		-3	
	Staff Participation	2.5		-2.5	
	Communication Flow	3		-3	
		2.625	0	-2.625	
Management	Personnel Systems	3.5		-3.5	
Systems	File Systems	4		-4	
	Administrative Procedures	4		-4	
		3.83333333	0	-3.833333	
Service Delivery	Service Delivery	2		-2	
		2	0	-2	
Constituent Participation	Constituent Participation	2.5		-2.5	
		2.5	0	-2.5	
M&E Systems	Integration into Decisions	2		-2	
	Constituency Feedback	3		-3	
		2.5	0	-2.5	
Human Resources	Skills	3		-3	

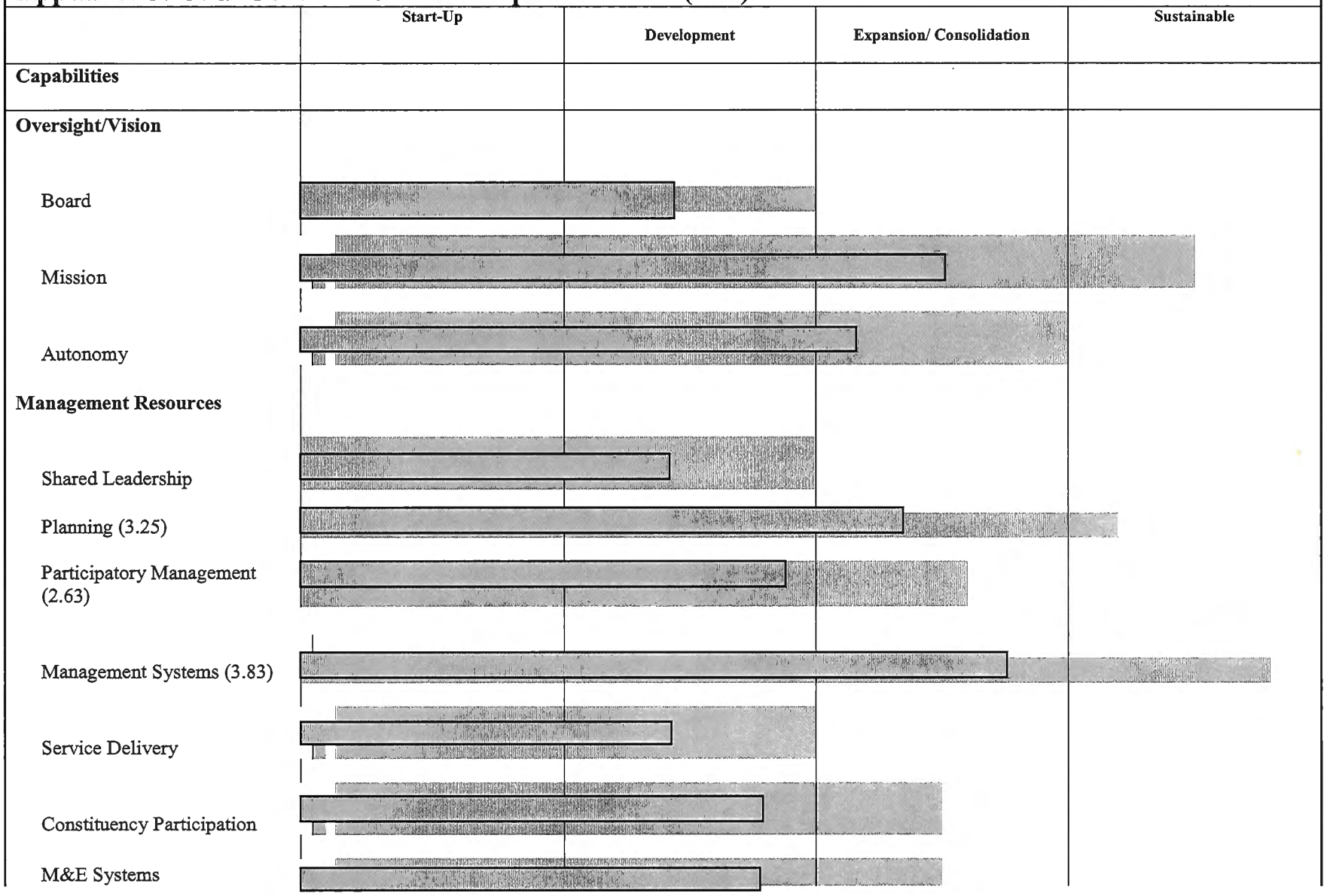
	Strategy	1		-1	
	Training	2		-2	
	Mentoring	3.5		-3.5	
	Motivation	2.5		-2.5	
		2.4	0	-2.4	
Financial	Planning	2		-2	
Management	Control	4		-4	
	Reporting	4		-4	
	Audits	4		-4	
	Separation of Accounts	4		-4	
		3.6	0	-3.6	
Financial	Funding Diversity	1.2		-1.2	
Vulnerability	Local Resource Mobilization	1		-1	
		1.1	0	-1.1	
Financial Viability	Financial viability	3		-3	
		3	0	-3	
Public Relations	Public Recognition	3		-3	
	Media Strategy	1.5		-1.5	
		2.25	0	-2.25	
Advocacy	Strategic Approach	4		-4	
	Use of Research/Info	4		-4	
	Mobilizing Constituents	3		-3	
		3.66666667	0	-3.666667	
Ability to work with central and local gov't	Ability to work with central and local gov't	4		-4	
		4	0	-4	
Constituency Orientation	Constituency Orientation	3		-3	
		3	0	-3	
Ability to work with other NGOs		4		-4	
		4	0	-4	
Total Placement		122.7	0	-122.7	
Average Placement		2.85348837	0	-2.853488	

Summary of Average Placement Change, by Resource

Oversight/Vision	**2.83333333**	**0**
Management Resources	**2.67261905**	**0**
Human Resources	**2.4**	**0**
Financial Resources	**2.56666667**	**0**
External Resources	**3.38333333**	**0**



Appendix C: CAP-G Institutional Development Profile (IDP)



Human Resources
Financial Resources
Financial Management
Financial Vulnerability
Financial Viability
External Resources
Public Relations (2.25)
Advocacy (3.67)
Stakeholder Orientation
Ability to Work with Central & Local Gov't
Ability to Work with other NGOs

Appendix D: CAP-G Institutional Improvement Plan

CSI conducted an institutional self-assessment from 13-22 July 2004. Using the Institutional Development Toolkit, staff from the USAID-funded Capable Partners Program (CAP-USA) facilitated the process. The results are summarized in the Self-Assessment Report. CSI analyzed the results to prioritize areas for focused improvement over the next year as follows:

1. Public Relations/Media Strategy;
2. Human Resources;
3. Participatory Management/Appropriate delegation and transparent decision-making;
4. Financial Viability; and
5. Board

Note that this IDF assessment was the first of up to fourteen similar assessments which CAP-G's facilitators will conduct in the next few months. Once the full set of NGOs have completed their self-assessments and drafted their own improvement plans, the CAP-G team will assemble a combined Institutional Improvement Plan identifying common areas of need. This analysis will accompany CAP-G's request for technical assistance from CAP-USA.

The five facilitator-trainees (all female) included staff members from three CAP-G partner organizations, as follows:

Name	Organization
Indira Amiranashvili	Citizen's Advocate Program, Save the Children
Irina Bregvadze	Center for Strategic Research and Development
Lita Surmava	Civil Society Institute
Nino Khachapuridze	Center for Strategic Research and Development
Tina Asatiani	Center for Peace and Conflict Management "Partners Georgia"

Planned Improvement Activities

Please note that the following activities are the result of rapid brainstorming. CSI will further refine them in the coming days and complete columns 2, 3, and 4.

Objective 1: Public Relations/Media Strategy			
Activities	Resources needed	Sources	Completion date
CSI will try to find resources (human and financial) to develop a media strategy.			March 2005

Objective 2: Human Resources			
Activities	Resources needed	Sources	Completion date
Design a staff development plan			
Create potential staff database			
Develop staff's (current and new) professional skills through trainings and books			
Execute effective system of staff motivation			

Objective 3: Participatory Management / Appropriate delegation and transparent decision-making			
Activities	Resources needed	Sources	Completion date
Conduct staff retreat			
Develop a Strategic Plan for the organization			

Objective 4: Financial Viability			
Activities	Resources needed	Sources	Completion date
Continued and effective fund-raising			

Objective 5 : Board			
Activities	Resources needed	Sources	Completion date
Conduct the first Board meeting on July 23, 04			
Following this meeting – develop a vision on how to increase Board effectiveness			

CAPABLE PARTNERS PROGRAM (CAP)

Ghana Association of Private Voluntary Organizations in Development

Institutional Self-Assessment and Improvement Process

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

February 2004

Report on Ghana Association of Private Voluntary Organizations in Development Institutional Self-Assessment and Improvement Process

February 2004

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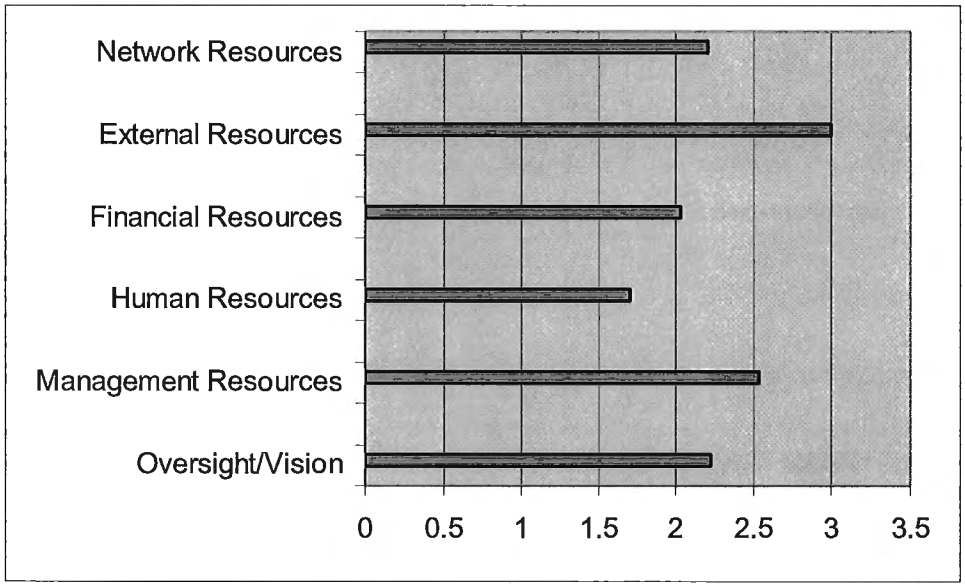
Summary, Findings, and Conclusions

GAPVOD (Ghana Association of Private Voluntary Organizations in Development) is full of contradictions: it has an important mandate, a long history, dedicated staff – and a very uncertain future. Although it boasts 394 members, only 76 pay their dues. Although Ghana and the international community recognize GAPVOD as the voice for Ghana's NGO sector, many members gripe about lack of services and harbor unrealistic expectations of GAPVOD's ability to help their organizations, almost to the point of "making rain fall on their fields." Although GAPVOD is the central player in the country's NGO reform movement and the voice for NGOs in the Ghana Poverty Reduction Strategy Program, it has not had sufficient funds to pay rent for the last two years. To represent Ghana's NGOs successfully, GAPVOD must strengthen its member ties and improve its finances.

Figure 1: GAPVOD Institutional Development Profile, Summary by Resource Area



What emerges from the above is a "picture" of a once highly-functioning organization that has fallen on hard times. As would be expected, given its 24 years of experience, GAPVOD is well able to interact in the larger political world and work through a network; it has also managed to retain capable management systems.

However, since its initial "full ride" UNDP funding ended, GAPVOD has drifted from its mission and membership base. Its board is not maximally effective in representing the interests of the constituent NGOs or in matching its technical skills with those most needed to advance GAPVOD (see low "oversight/vision" score). GAPVOD is on the verge of financial collapse (see low "financial resources" staff) and is unable to afford an adequate staff.

In order to "reinvent" its self-perception, the perceptions of its members, and its relationship to the larger society, GAPVOD needs maximize its strengths. The group agreed that this could be

done only by simultaneously directing attention to three fronts: improving GAPVOD's governance by strengthening its board, dramatically improving member services, and gaining fuller member commitment to GAPVOD's future. As members perceive GAPVOD as more effective, they will be more engaged (pay dues and contribute their energies). As its member vitality increases, donors will view GAPVOD as an essential partner, meriting funding, and Ghana's government will recognize that GAPVOD represents a sector crucial to policy dialogue (civil society). This healthy cycle would result in a more effective and solvent GAPVOD, more skilled NGOs, and a more vital civil society sector increasingly capable of engaging in productive dialogue with the government.

It is an ambitious track, but the only one that seemed feasible. With CAP assistance, and a great deal of effort from GAPVOD staff, it can work.

Background

GAPVOD was established in 1980 as an umbrella organization for local and foreign NGOs. It started as a small network but has grown phenomenally and boasts with a current membership of almost 400. GAPVOD is recognized, both nationally and internationally, as a credible voice of Ghana's NGO sector.

GAPVOD's mission is to promote the sustainable growth and development of NGOS and their active participation in the process of national development for the improved well-being of all Ghanaians, particularly the poor, marginalized, and vulnerable. The mission is pursued through:

- Advocating and lobbying for development policy.
- Forging networks for organizations to benefit from shared expertise, knowledge, and technical support.
- Serving as a clearing house for information relevant to member operations
- Facilitating development of partnerships between the Government and NGOs and the creation of an enabling environment for member operation in support of national development agenda.
- Building member capacity to enhance service delivery and performance
- Initiating and supporting research on issues relevant to the development, operation, and performance of NGOs. [1]

GAPVOD was nominated by USAID/Ghana to participate in the USAID-funded Capable Partners Program's (CAP) Global Core Initiative (GCI) in Advocacy. CAP's institutional strengthening complements GAPVOD's experience in advocacy. This document reports on the first stage of CAP's assistance: a participatory self-assessment, leading to an Institutional Improvement Plan for GAPVOD to address areas that the assessment indicate require urgent attention. GAPVOD will then present this plan to CAP, to its members, and to other donors for funding, and ensure that it is implemented.

[1] Ghana Association of Private Voluntary Organizations in Development (GAPVOD) Annual Report (2002-2003), page 1.

Process

The Consultant met with GAPVOD's Executive Director and a key staff member on 16 February to present the IDF process, field questions, and plan the week. Scheduling conflicts required the process to be compressed from four days to two. When all essential elements were completed, GAPVOD and the consultant agreed that the product would be useful. More time would have helped GAPVOD gain a more profound understanding of the institutional issues to be addressed in the upcoming year.

The Participants (6 male, 1 female) included staff and a board member, as follows:

Name	Title
Kofi Adu	Executive Director
Frank Boakye-Dankwa	Business Manager
Evans Gyampoh	Communications Officer
Abdul Jaleel Odoom	National Service Person
Eric Dalinpuo	National Service Person
Andre Sossdorf	Intern
Kate Abam	Board Member

In the first meeting, after overviewing the process, the group began to customize the IDF, using the template designed for an NGO network. Facilitated by the consultant, GAPVOD reviewed each IDF "row", modified it to suit their circumstances and vision for the future, and assessed their progress on the development continuum. This process was completed by mid-day on 20 February and the results (reflecting GAPVOD's edits) are included as *Appendix A: GAPVOD Institutional Development Framework (IDF)*. The Consultant recorded the scores for each row and all necessary comments in a separate document [*Appendix B: GAPVOD Institutional Development Calculation Sheet (IDCS)*] and presented the results graphically [*Appendix C: GAPVOD Institutional Development Profile (IDP)*].

Assessment Results

With the assessment done, the group began to prioritize the various IDF rows, using five gradations ranging from "Makes or Breaks GAPVOD" to "Not significant at this time." The group selected as highest priority those areas in which the analysis indicated GAPVOD was weakest. The following priorities emerged as being those that are absolutely essential to GAPVOD's survival and in which GAPVOD is currently seriously deficient:

1. Improve Board effectiveness.
2. Improve services to members and increase member participation.
3. Improve fundraising and financial management.

Improvement Plan

GAPVOD then identified activities that necessary to getting GAPVOD on a sustainable track (See *Appendix D: GAPVOD Institutional Improvement Plan*).

GAPVOD concluded simply addressing the "rows" as they appeared in the IDF would not be sufficient to solve its current problems. As GAPVOD approaches its 25th anniversary, it clearly needs to reexamine its place in Ghana and consider fundamental changes. Accordingly, an area

for attention identified in the Improvement Plan calls for a strategic review of GAPVOD's role, its services, and its membership. It is expected that this will positively affect virtually all aspects of the organization.

Next Steps

GAPVOD will first reflect on its assessment results and make any warranted modifications. It will then submit a proposal to CAP to fund its improvement plan and seek funding from members and other donors to ensure its success. One year from now GAPVOD will re-apply the IDF Toolkit to track its progress; those results will be reported to CAP.

In conducting the second assessment, GAPVOD must remember there are two "scores" in the IDCS (*Appendix B*). The "raw score" reflects the placement of the IDF (for example, if two cells have been satisfied, the score would be "2"). For each row, GAPVOD also assigned a "weight", based on the priority it assigned to each characteristic. Thus, the score referenced above might have a "weight" of 4, for an overall weighted score of 8. In measuring progress in a year, comparisons must be made against this weighted score. CAP is interested in overall percentage change in weighted score (weighted score for this assessment = 288) because it provides greater "credit" for improvements in areas that are of greater priority. Please note, however, that graphic depictions on the IDP should be based on the raw score only.

It is also expected that GAPVOD will adapt this tool to its members and provide technical assistance in institutional assessment as a new service.

Workshop Rating

Post workshop evaluations of the workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	5
2. How useful to you was the assessment of your network's institutional capacity?	5
3. How do you rate the facilitator's ability to explain and communicate clearly?	5
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.7
5. How do you rate the facilitator's facilitation technique and skills?	4.8
6. How clearly do you now understand your network's institutional strengthening needs?	4.3
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3.5
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4.8

General comments were favorable, but many thought that the workshop would have been more effective if it were longer (as was originally planned). Respondents indicated that they are prepared to replicate the assessment without the CAP consultant, though confidence is lower than would be hoped.

Appendix A: GAPVOD Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
OVERSIGHT/VISION					
Aspect	**Component**				
Board	Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Some board members understand their role and how to relate to Executive Director. Others are not fully aware of their role and are confused about howt to participate.	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. Several members contribute and/or pursue resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance Organization	Board elected from membership to represent their organization.	Board members elected more strategically, but primarily represent their organizations' interests.	Organizations increasingly put forth members as board candidates to match skills needs on board.	Board members are catlyst for long-term development of organization and represent constituent NGOs' interests.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health, or peace.	Mission Statement exists, but is not focused. Diverse portfolio of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the Mission Statement. Some members and outsiders may not identify Mission Statement with the organization.	Clear Mission Statement. It can be articulated by Board and staff and is consistent with portfolio. Members and outsiders identify the same mission with the organization.
Autonomy		Organization is the implementing agent of one donor.	Organization is able to respond to more than one donor and the organization's Board.	Organization is able to obtain funding to support its program, in consultation with the Board.	In addition to managerial and financial autonomy, organization is able to successfully advocate and raise funds, on behalf of its NGO consitutency, to government, donors, and

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
MANAGEMENT RESOURCES					
Aspect **Leadership Style**	**Component** Board	All leadership emanates from core founder(s).	Leadership comes from Executive Director and several Board members.	Vision and management ideas increasingly come from Board as Board members work more closely with the organization.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly work as a team	Organization would survive without current Executive Director or Chairperson of the Board.
Planning	Mission/ Overview	Planning is opportunistic and incremental. No formal planning documents exist.	Annual plans, consistent with Mission, are developed and reviewed during course of year. Often not integrated into longer-term strategic plan, as longer-term funding is not available. Organization still responds opportunistically, based on funds availabilty.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission – as longer-term funding becomes available.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Executive Director, and Board driven.	The participation of staff in planning is widened, including staff contributions to planning decision making.	NGO constituents provide information for planning but NGO constituents excluded from decision making,except through board representation.	Organization's staff and NGO constituents contribute information to planning decisions. Decisions taken by Executive Director and Board.
	Resource Implications	Objectives set with assessment of resource requirements, but without high likelihood of obtaining sufficient resources at this time.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as	Workplans are viewed by management and operations staff as useful tools and are modified as required.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
				warranted. Plans are often overambitious.	
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Executive Director and Chairperson with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from Executive Director without clear decision criteria and little or no feedback.	Management decision criteria used by Executive Director generally shared with Board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in relevant decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear. Staff pitch in as appropriate.	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument..	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Monitoring and Evaluation	Integrated into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision- making.
	Constituency Feedback	No feedback from NGO constituency.	Informal channels for NGO constituency feedback.	Formal mechanisms exist for NGO constituency feedback but only via surveys and evaluations.	Continuous feedback and input from NGO constituency.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
		HUMAN RESOURCES			
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence. They may even provide expertise and assistance to outside organizations.	**Skills**
Strategy	Human resource development is opportunistic and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with organizational mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.	**Strategy**
Training	Little, or no, training provided.	Training is significant, but is opportunistic in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.	**Training**
Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.	**Mentoring**
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.	**Motivation**

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
FINANCIAL RESOURCES					
Aspects **Financial Management**	**Components** Planning	Operational/Recurrent budgets are set realistically. In addition, budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained for recurrent expenditure and on project-by project basis, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Own Resource Mobilization	Own resource mobilization (including dues, labor, and services) for operational income is untried or unsuccessful.	Own resource mobilization pursued on an ad hoc, basis.	Own resource mobilization strategy is operational	Own resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate and is dependent on local opportunities.	Funding is barely available to cover immediate project activities, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
EXTERNAL RESOURCES					
Aspect **Public Relations**	**Component** Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed somead hoc lines of communication with public. Able to engage decision-makers in dialogue on policy. It has a supportive constituency., and is well known amoung among donors and international collaborators.	Organization is well known outside its constituency and to general public.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists that supports advocacy campaigns and seeks to make the organization better known and to foster a broader public awareness in support of the Mission.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect **Advocacy**	**Component** Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents, and is aware of the impact or reception of such information. At this point number of advocacy issues is limited to one.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Organization has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials on advocacy issues. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns.	Organization contacts one or more constituent NGOs in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages constituents in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituents for advocacy campaigns and is responsive to their advocacy priorities.	Organization has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the organization.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/Consolidating	Sustaining
Ability to work with central and local government	Viewed as "we", "they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners. Often the central authorities refer to organization for advice.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners. The central government often integrates the organizations' recommendations into development plans.
Ability to work with NGOs outside network	Organization only slightly known and trusted by broader NGO community. Organization does not have experience working with NGOs outside its network.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements.	Organization works with international or local NGOs, and participates in other NGO networks and coalitions. Networks and coalitions are based on NGO constituency needs.	Organization plays leadership role in promoting NGO coalitions based on NGO constituencies' interests. Capable of helping to resolve NGO-NGO or NGO-Govt conflict and of affecting policy on behalf of constituency.
NETWORK RESOURCES				
Constituency Orientation	Organization operates in centralized manner with little connection to NGO consituency.	Organization serves NGO constituency based on perceptions/assessment, but without active NGO constituency involvement.	NGO constituency input sought for key decisions. Organization and its efforts viewed by NGO constituency as service provided to them.	NGO constituency interests are integrated into organization's policies and practices.

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/Consolidating	Sustaining
NGO Constituent Participation in Organization	Organization involves its NGO constiuency only as recipients of the organization's program.	Organization draws on leaders of its NGO constiuency for advice and mobilization of its members.	Organization draws on leaders of its NGO constiuency in planning, implementation and evaluation of organization's program.	NGO constiuency participates fully in planning, implementation, and evaluation. Constiuency NGOs contributing cash, material, labour, and management to create and maintain project results.
Service Delivery	Service delivery to NGO constiuents is supply-driven, often responding to the specifications of donors.	Some NGO constituency input included in determining services. But, type, quantity, and quality of services delivered to NGO constiuents is at the initiative of the organization. Little monitoring of service quality is undertaken. Customer input into product design or quality review is opportunistic, if at all.	Organization makes consistent effort to obtain NGO constiuents' input into determining the appropriate type, quantity and quality of services. NGO constituents attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to NGO constiuents. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data. Constituent ratings are high.
Active Membership	Organization is a "membership" Intermediate Service Organization, but has few members enrolled, relative to the number in its potential target group, given its mission. Of those enrolled, few are active.	Organization has a reasonable number of members enrolled (relative to their target group). However, fewer than half are current in dues payment, most are not active participants in organizational matters, and many do not identify with the organization and its mission.	More than half of members are current in dues payments and increasingly identify with the organization and its mission. They increasingly avail themseleves of services provided by the mission, but rarely contribute time or energy to maintenance and promotion of the organization. A quorum is always obtained for Annual General Meetings.	Most members are current in dues payments, are active in organizational issues, identify strongly with organization's mission. In addition to availing themselves of services of the organization (such as training) a significant number of members provide real thrust to the organization.

Specific Service Delivery Indicators

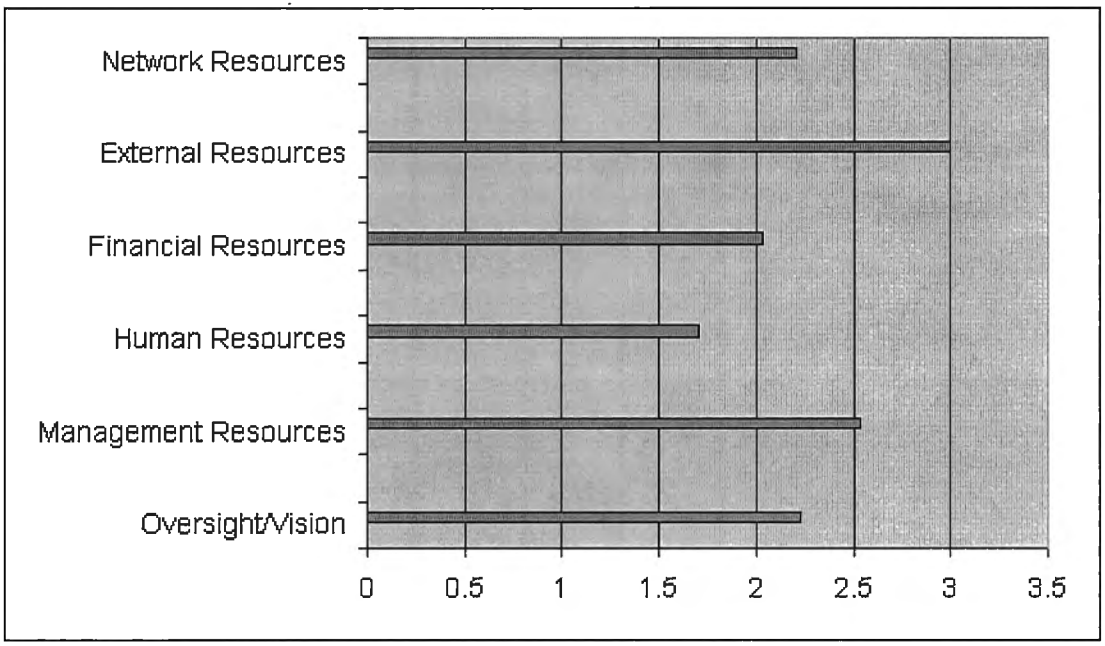
Appendix B: GAPVOD Institutional Development Calculation Sheet (IDCS)

Resource Aspect	Key Components	Raw Score	Weight	Adj. Score	Raw Score	Adj. Score	Change over time	Comments
Board	Board's Role	2	4	8				Board elected from general membership. Often ambiguous as to whether they stand personally, or on behalf of organization. Membership needs to be briefed better on appropriate criteria for electing board members, and, upon election, board members need clearer policy directives on how they should serve.
	Active Board	2	4	8				2-3 members were involved in proposal development and 2-3 provided funds for rent, supplies, and helped seek new office site. Assistance not yet strategic or on large scale.
	Members Advance Org.	1	4	4				Board members are not currently elected to meet any skill mix, as might be required to provide balanced leadership to the organization.
		1.66667			0			
Mission		3	3	9				Outside the organization: insufficient publicity means that few outside of the GAPVOD membership appreciate its mission. Inside the network representatives frequently do not report back to organizations and constituents on what they learn about GAPVOD mission and practices.
		3			0			
Autonomy	Autonomy	2	4	8				Autonomy is not the problem, but GAPVOD is very short on funding.
		2			0		0	
Leadership	Board	2	4	8				Board is relatively active. However, communication constraints mean that it is sometimes difficult to constitute formal meetings. However, consultation is still consistently engaged with those with whom it is possible.
Style	Staff Teamwork	3	1	3				Executive Director provides for considerable autonomy to staff, to the extent that it is a challenge to assure that initiatives are properly vetted (though it is currently under control)
		2.5			0			
Planning	Mission/Overview	2	2	4				Organization used to do longer-term planning. But, as long-term funding became scarce, it was discontinued.
	Participation	4	3	12				GAPVOD has decided that it does NOT want to have members participate in actual decision-making. Since there are 400 members, it would be too much to manage.
	Resource Implications	1	4	4				GAPVOD faces the challenge of having dramatically insufficient funds while having significant ambitions for important work.

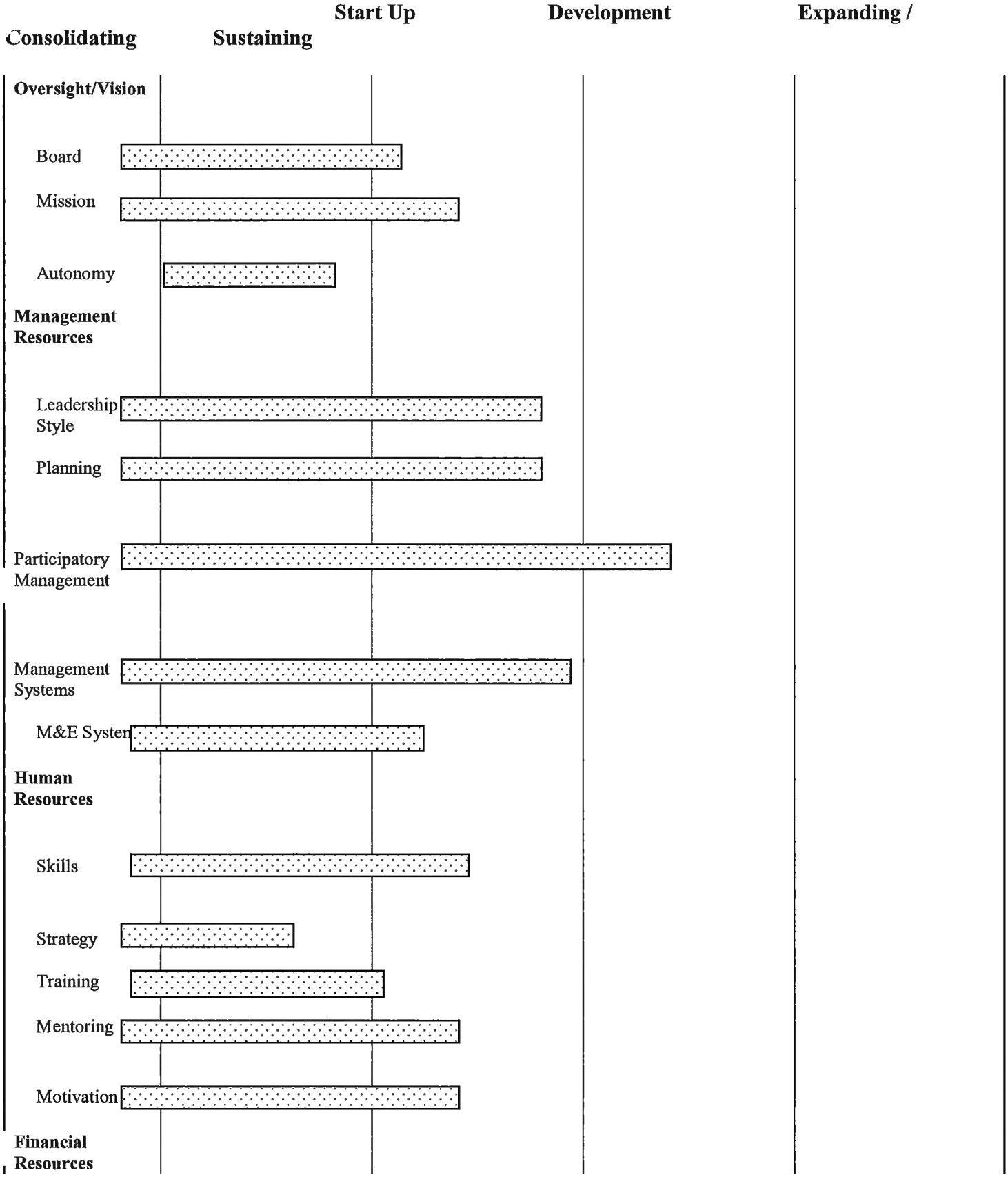
	Work Plan as Tool	3	3	9				
		2.5			0			
Participatory	Appropriate Delegation	3	3	9				Significant levels of delegation.
Management	Transparent Decision-making	4	3	12				
	Staff Participation	2	1	2				Some staff require greater technical grounding to be able to fully appreciate their potential roles.
	Communication Flow	4	3	12				
		3.25			0			
Management	Personnel Systems	3	1	3				Jr. staff systems less regularized.
Systems	File Systems	3	2	6				Some difficulties ensuring that files are available when needed.
	Administrative Procedures	2	2	4				No administrative manual.
		2.66667			0			
M&E Systems	Integration into Decisions	1	1	1				
I	Constituency Feedback	2.5	1	2.5				Ad hoc participant training assessments, but no systematic customer surveys or evaluations. Not institutionalized.
		1.75			0			
Human Resources	Skills	2	2	4				Some gaps exist. Efforts to recruit the skills from membership (for example, for fundraising) have not been successful.
	Strategy	1	2	2				Funds are lacking for sufficient HR program.
	Training	1.5	1	1.5				Some training arranged, but lack of funds limit the amount of training.
	Mentoring	2	2	4				Some mentoring also provided by SNV.
	Motivation	2	1	2				
		1.7			0			
Financial	Planning	3	4	12				Although GAPVOD maintains extensive budgets, financial shortfalls still lead to need to borrow across accounts.
Management	Control	2	3	6				
	Reporting	3	1	3				
	Audits	4	4	16				Annual audits performed.
	Separation of Accounts	1	1	1				
		2.6			0			

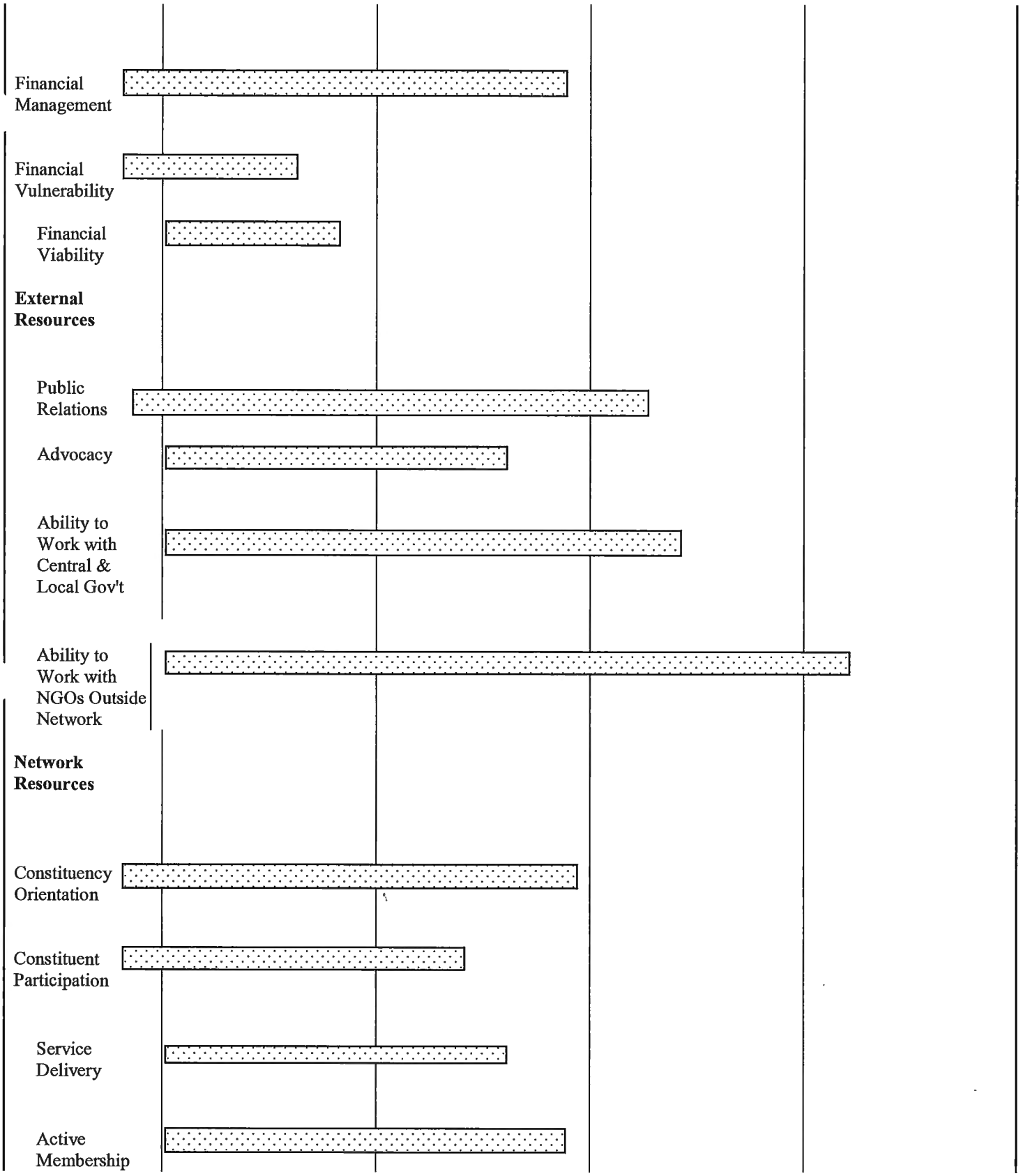
Financial	Funding Diversity	4	4	16				
Vulnerability	Local Resource Mobilization	1	4	4				
		2.5		0	0			
Financial Viability		1	4	4				
		1			0			
Public Relations	Public Recognition	3	3	9				Well known to policy makers, but not public. Able to dialogue with policy makers. GAPVOD is well known among Ghana donors and internationally (CIVICUS, INTERACTION, etc.) for its role as NGO umbrella. Not well known to general public.
	Media Strategy	3	1	3				
		3			0			
Advocacy	Strategic Approach	2	2	4				
	Use of Research/Info	2	2	4				
	Mobilizing Constituents	2	2	4				
		2			0			
Ability to work with central and local gov't		3	3	9				Two ministries are on board. Also collaborate with District Assemblies.
		3			0			
Ability to work with other NGOs		4	4	16				Responsible for establishing regional coalitions. ISODEC and government conflict mitigation efforts. Asked to come in and help with conflict b/w NGOs. GAPVOD helped arrange for discussion b/w Tax Commissioner and NGOs on taxation.
		4			0			
Network Resources	Constituency Orientation	2.5	4	10				Constituency orientation is based on *perceptions* of constituency needs. Formal Assessment not yet completed. Constituents' perceptions of GAPVOD's services (and constituent orientation) are not high. Perhaps, from lack of good information.
	Constituency Participation	2	4	8			-2	
	Service Delivery	2	4	8			-2	
	Active Membership	2.33	4	9.32			-2.33	19% of members have paid dues ($20 for local NGOs; ING)s = $500 contribution). But, a quorum was achieved in 2004.
		2.2075			0			
Total Placement		104.83		288.32				

Average Placement		2.3825		0	0			
Oversight/Vision		2.22222			0			
Management Resources		2.53333						
Human Resources		1.7			0			
Financial Resources		2.03333			0			
External Resources		3						
Network Resources		2.2075						



Appendix C: GAPVOD Institutional Development Profile (IDP)




Financial Management
Financial Vulnerability
Financial Viability
External Resources
Public Relations
Advocacy
Ability to Work with Central & Local Gov't
Ability to Work with NGOs Outside Network
Network Resources
Constituency Orientation
Constituent Participation
Service Delivery
Active Membership

Appendix D: GAPVOD Institutional Improvement Plan

GAPVOD conducted an institutional self-assessment at its offices in Accra from 19-20 February 2004. Using the Institutional Development Toolkit, staff from the USAID-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the Self-Assessment Report. GAPVOD analyzed the results to prioritize areas for focused improvement over the next year as follows:

1. Improve Board effectiveness.
2. Conduct a strategic review of GAPVOD's niche in Ghana's NGO sector, with a view to increasing its effectiveness and sustainability.
3. Improve services to members and increase member participation.
4. Improve fundraising and financial management.

Please note that in order to achieve the improvement objectives above, the activities must be highly interrelated. For example, the review of GAPVOD's niche should improve services; they, in turn, should increase membership, yield a higher percentage of dues-paying members, and produce a more credible GAPVOD – all of which could contribute to continual improvement.

Participants throughout the process included:

Name	Title
Kofi Adu	Executive Director
Frank Boakye-Dankwa	Business Manager
Evans Gyampoh	Communications Officer
Abdul Jaleel Odoom	National Service Person
Eric Dalinpuo	National Service Person
Andre Sossdorf	Intern
Kate Abam	Board Member

Planned Improvement Activities

Please note that the following activities are the result of rapid brainstorming. GAPVOD will further refine them in the coming days and complete columns 2, 3, and 4 in the coming weeks.

Objective 1: Improve Board effectiveness			
Activities	Resources needed	Sources	Completion date
Contract for legal advice on how to revise GAPVOD's constitution to encourage election of Board members accountable to representing constituent interests.			
Hold extraordinary Annual General Meeting to approve revision to GAPVOD's constitution (and to obtain endorsement for the revamping of GAPVOD, as per Objective 2).			
Develop clear election criteria (what should be considered when nominating and selecting among candidates) to guide members as they elect new Board members.			
Develop roles and responsibilities for new Board members to improve their ability to be effective.			
Train new members to be effective Board members.			

Objective 2: Review of GAPVOD's niche			
Activities	Resources needed	Sources	Completion date
Technical assistance to facilitate GAPVOD's strategic review of its current (and potential) membership, its current (and potential) services, its activities, and its role in Ghana's NGO and policy sectors. The target is to improve GAPVOD's viability, effectiveness, and sustainability.	External consultant	CAP	
Analyze membership base, particularly characteristics of organizations in good standing in comparison to those which are not paid up.	Staff, with TA	CAP	
Survey of all GAPVOD's members (paid and non-paid) to learn of their perceptions of GAPVOD's services and effectiveness, and to determine which services they would most like GAPVOD to provide.	Staff, with TA	CAP	
Develop a strategy to renew GAPVOD and place it on a sustainable and productive path.	External consultant, with staff	CAP	

Objective 3: Improve services to members and increase member participation			
Activities	Resources needed	Sources	Completion date
Use results of Objective 2 to design and implement improved services to customers.	See above		
Immediately consider developing training for members in Advocacy, Institutional Assessment, Improvement Planning.	Build on CAP training	CAP	
Publicize full range of GAPVOD's services to members, including access to resource center via special newsletter.	Stationery; postage	CAP	
Aggressively inform members of what GAPVOD can and can't do for its members, to manage expectations and raise appreciation levels.	Radio; newspaper; media	CAP	
Develop lead role for GAPVOD in NGO Platform for CSO participation in Ghana Poverty Reduction Strategy Program	Proposal to be submitted	World Bank and UNDP	
Hire membership manager for ten-month period while scaling up services and customer perceptions.	10-month salary	CAP	
Consider developing Web pages for members, linked to GAPVOD's web page.	Training and labor	CAP	
Obtain passage of NGO law.		??	

Objective 4: Improve fundraising and financial management			
Activities	Resources needed	Sources	Completion date
Acquire accounting software.		CAP	
Hire local consultant to train financial manager in more realistic financial planning techniques.	External consultant	CAP	
Develop systems to ensure that GAPVOD systematically matches financial and human resources needs against proposal commitments.	External consultant		
Utilize technical assistance to review overhead and administrative fees to ensure that GAPVOD is collecting its fair share of running costs .from grants	External Consultant		
Develop more rigorous approach to collecting membership dues: • Entice greater contributions by providing better services to members (see earlier objectives). • Non-paying organizations will be denied membership privileges. • Develop different categories of membership. • Once services improve, review membership fee levels. • Use "Chegg" (Chicken AND egg simultaneously) approach in which dramatic improvement in services is coupled with restriction of privileges to paid members, emphasizing that "membership has its privileges.	GAPVOD staff, with TA		
Aggressively pursue proposal opportunities, such as G-RAP, UNDP/WB NGO Platform for GPRS.	GAPVOD staff		

CAPABLE PARTNERS PROGRAM (CAP)

Legal Resources Centre

Institutional Self-Assessment and Improvement Process

CAP is implemented by

AED
Academy for Educational Development

in partnership with

MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

September 2004

Report on Legal Resources Centre
Institutional Self-Assessment and Improvement Process
September 2004

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Summary, Findings, and Conclusions

Legal Resources Centre (LRC) has an important mandate within the community it serves: educating citizens about their rights, advocating for rights, and providing legal representation. Founded in 1997 and registered in 1998, it is fairly young but increasingly recognized as the community's mouthpiece. Begun by two young law students, LRC is staffed by a great team of young and dedicated women and men who are committed to making LRC a viable organization. However, staff roles are ill-defined, and LRC's workforce is often overstretched. Their commitment sometimes leads staff to under-budget rather than not serve their constituents. Since the Executive Director (also a co-founder) has left and the Associate Executive Director works "part-time", LRC's future seems uncertain. To succeed, LRC must define staff roles more clearly, match proposed program objectives to available financial and human resources more realistically, and appoint a substantive Executive Director.

Figure 1: LRC Institutional Development Profile, Summary by Resource Area

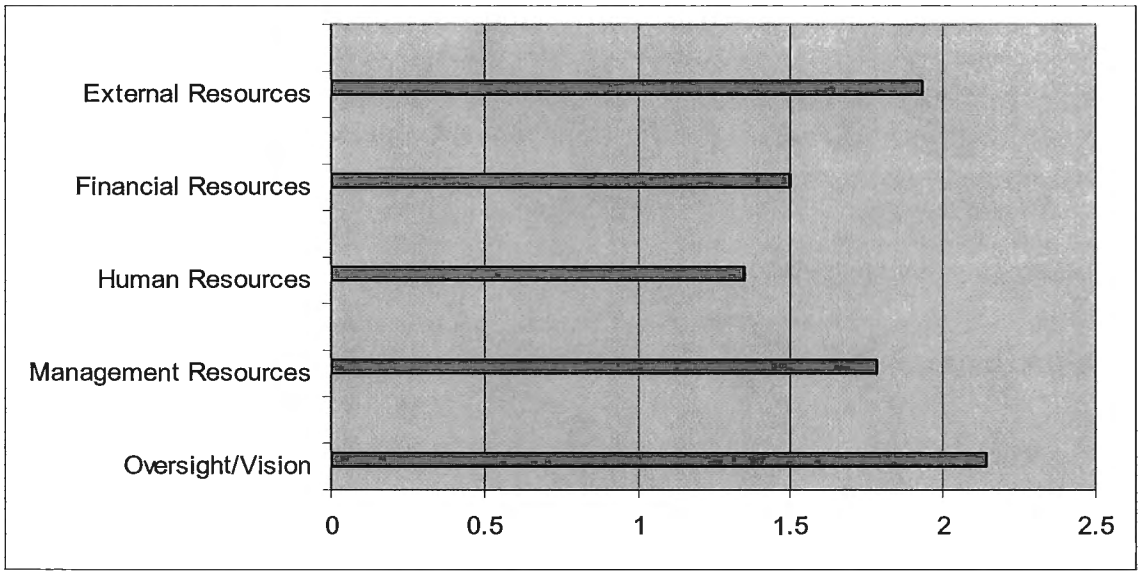


Figure 1 depicts an organization with an important mission, strong commitment to that mission, and an ambition to be a major player within Ghana's NGO community. As would be expected, LRC is relatively strong in working with and through its constituents, enjoys a fairly stable relation with central and local government, and is quite well-known among NGOs both within and outside Ghana. As a growing organization, these achievements are remarkable.

In analyzing its weaknesses, LRC staff identified three areas of institutional improvement which require immediate action. To address these needs, LRC started to develop an improvement plan for these three areas and will use available CAP technical assistance to set realistic actions for the next six months which will strengthen LRC and allow it to continue to advance its motto, "reaching out to all with Law, Justice and Development."

1. **Financial viability.** LRC is reaching a possible breaking point in its current response to donor demands to reduce funding requests and sometimes not include core costs. As a result, LRC overextends staff by under-budgeting and not reducing proposed program results. LRC also has difficulty covering basic administrative costs.

2. **Human resources strategy.** LRC needs to address its human resource strategy: currently no formal recruitment or staff motivation procedures exist, staff roles are not clearly defined, staff responsibilities overlap, and required expertise is lacking from certain areas. In addition, two key positions, Executive Director and Program Director, are currently being filled on a part-time basis.

3. **Media strategy.** LRC wants to move from being "low profile"; build on its "so far, so good" relations with its constituents, local and central government, and funders; and market itself more effectively in order to attract more resources, including core funding.

Background

LRC is a non-governmental organization formed in 1997. It was registered as a company limited by guarantee under the laws of Ghana on 4 February 1998. Its mission is to build a human rights culture within an enduring democratic framework by establishing communities steeped in human rights practice. The overall aim is to ensure the enforcement of human rights – economic, social, cultural, political, civil – for every person in Ghana. To this end, the LRC works with international, national, regional, and local institutions to address concrete human rights issues which citizens face daily.

LRC works in three areas of Ghana: Nima/Mamobi (Greater Accra Region), Bongo (Upper East Region), and Walewale (Northern Region). Its three principal program foci are: 1) community mobilization and public human rights and civic education, 2) legal aid, and 3) research and advocacy. It currently has 15 full-time staff (10 male, 5 female); in the last year, LRC has employed 6 part-time staff and 20 consultants.

Over the last three years, LRC has implemented approximately 10 projects, with funds from USAID, Doen Foundation, Harvard University, UNDP/National Governance Program, and Open Society Initiative for West Africa (OSIWA). In the past year, the budget was in the range of $100,000 USD (@9,000 cedis = $1 USD).

LRC was nominated by USAID/Ghana to participate in the USAID-funded Capable Partners Program's (CAP) Global Core Initiative (GCI) in Advocacy. LRC's training in advocacy is complimented through CAP's institutional improvement support. This document reports on the first stage of that assistance: a participatory self-assessment of LRC, leading to an institutional improvement plan for LRC to address areas which the assessment indicated require urgent attention. LRC will then present this plan to CAP, to its members, and to other donors for funding and ensure that it is implemented.

Process

The CAP consultant met with the Associate Executive Director and key staff on 7 September to present the assessment process, field questions, and plan the workshop schedule. All essential elements of the IDF were completed during the week of 20 September; LRC and the consultant team agree that the product will be useful.

The participants (8 male, 1 female) included LRC management staff and the Associate Executive Director, who is also a Board member:

Name	Position
Shamima Muslim	Parliamentary Advocacy Officer
Kassim M. Larry	Community Mobilization Officer, Nima-Mamobi
Abraham Amaliba	Programme Officer, Bongo-Walewale
Abdul Baasit A. Aziz Bamba	Programmes Director
Issah Akolgo	Community Mobilization Officer, Bongo-Walewale
Tuinese Edward Amuzu	Legal Officer
Issifu Papa Clement	Finance Officer
Raymond Atuguba	Associate Executive Director
William Odoi	ICT Officer

The consultant team included the CAP Consultant and representatives from ICA-Ghana, MURAG, POSDEV, and GAPVOD whom the CAP consultant had previously guided through an IDF TOT program during the week of 6 September 2004 (further described below).

In the first meeting on 21 September 2004, LRC overviewed the process and began to customize the IDF matrix, using the template designed for an NGO. Facilitated by the consultant team, the group reviewed each IDF "row", modified it to suit their circumstances and vision for the future, and assessed their own progress on the development continuum. This process was completed by midday on 23 September 2004. The results of this effort (reflecting LRC modifications) are included as *Appendix A: LRC Institutional Development Framework (IDF).* The consultants recorded the scores for each row and all necessary comments in a separate document [*Appendix B: LRC Institutional Development Calculation Sheet (ICDS)*] and then presented the results graphically [*Appendix C: LRC Institutional Development Profile (IDP)*].

Assessment Results

With the assessment behind them, the group began to prioritize areas for improvement, using four gradations ranging from "Makes or Breaks LRC" to "Not significant at this time." The group then selected as the highest priority those areas in which LRC was weakest. The following priorities emerged as areas absolutely essential for LRC's survival, in which LRC is currently seriously deficient:

1. Financial Viability;
2. Human Resource Strategy;
3. Media Strategy.

Improvement Plan

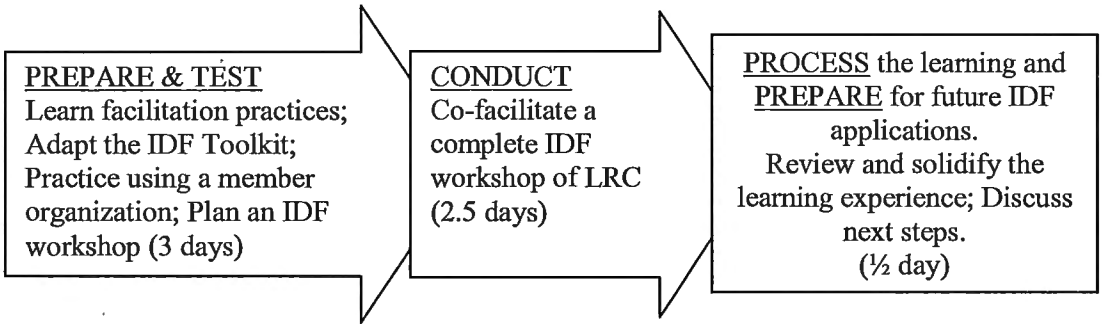
Having brainstormed areas in need of urgent attention, LRC began identifying activities which would get LRC on a sustainable track. Those are summarized in *Appendix D: LRC Institutional Improvement Plan.*

Results of Facilitator Training

Four staff from GAPVOD and member organizations participated in a three-day TOT on the IDF tool and its use in helping organizations assess their strengths and weaknesses. This training was conducted two weeks before the actual work sessions with LRC because the CAP consultant was providing technical assistance to GAPVOD during the week of 13 September 2004. The four trainees co-facilitated the IDF workshop with LRC as a practical application of their training. The participants in the TOT were:

Samuel Kwaku Boateng Arthur	Muslim Relief Association of Ghana (MURAG)
Evans Gyampoh	GAPVOD
Bernardin Gatete	POSDEV
Peter Simon Maar	Institute of Cultural Affairs – ICA-Ghana

The IDF facilitator training was achieved in three major phases:



This training revealed several important issues. None of the trainees had access to laptop computers or LCDs – critical elements for the most effective use of the IDF – and two needed better computer skills. All four trainees demonstrated good understanding of the issues affecting organizational effectiveness which the IDF addresses. However, the group had limited facilitator experience: prior to the IDF assessment of LRC, none had conducted organizational assessments. Because of their insight into the use of the IDF and apparent understanding of how organizations work, the trainees should have been able to co-facilitate the application of the IDF to other organizations. However, they need additional coaching in facilitation techniques.

Because of the link between the IDF and use of the computer/LCD, GAPVOD should find support for a laptop computer, requisite software, and LCD so that the IDF tool can most effectively be used. It should be noted that LRC rented the LCD and screen at a cost of USD 100 per diem.

Capacity to Conduct Follow-on IDF Assessment

Reflecting on the process on the final day, LRC staff made several interesting observations. Many noted that although LRC had previously reviewed each IDF category individually, reviewing them all together accentuated their interrelation within LRC and their commonality among all organizations. Staff also commented on the value of the detailed focus the workshop required, which had not happened before. As is seen in the workshop assessment below, LRC staff indicated very little confidence in doing a follow-up assessment with no outside facilitation. Such support is available and should be sought, if still felt necessary, when the follow-up assessment is completed in a year.

Next Steps

LRC will first take some time to reflect on the assessment results and make any warranted modifications. Because of the CAP consultant's schedule, CAP technical assistance is to be provided over an additional 2.5 days during the week of 27 September. CAP will help the LRC staff develop a realistic improvement plan in the three identified areas, identify potential sources of external support to implement the plans, and design a monitoring plan to assess results. One year from now, LRC will re-apply the IDF toolkit to track its resulting progress. Those results will be reported to CAP.

In conducting the second assessment, LRC must remember it has two "scores" in the IDCS (*Appendix B*). The "raw score" reflects the placement of the IDF (for example, if two cells have been satisfied, the score would be "2".) For each row LRC also assigned a "weight", based on the priority it assigned to each characteristic. Thus, the score referenced above might have "weight" of 4, for an overall weighted score of 8. In measuring progress in one year's time, comparisons must be made against this weighted score. CAP is interested in overall percentage change in weighted score (weighted score for this assessment = 202.05). This is important because it provides greater "credit" for improvements in greater priority areas. Please note, however, that graphic depictions on the IDP should be based on the raw score only.

Workshop Rating

Post workshop evaluations of the workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	4.38
2. How useful to you was the assessment of your NGO's institutional capacity?	4.38
3. How do you rate the facilitator's ability to explain and communicate clearly?	3.88
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.13
5. How do you rate the facilitator's facilitation technique and skills?	4.13
6. How clearly do you now understand your NGO's institutional strengthening needs?	4.38
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3.50
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4.50

Appendix A: LRC Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
OVERSIGHT/VISION					
Aspect **Board**	**Component** Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness. X	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources. x	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, irrespective of their skills.	Board members' skills do not have all the diversity and skills needed for the organization.	Board's skills match needs of the developing organization. X	Board members are catlyst for long-term development of organization.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health or development.	Mission Statement exists, but is not focused . Diverse portfolio of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the Mission Statement and people outside organization may not identify all aspects of it with the organization. X	Clear Mission Statement. It can be articulated by Board and staff and is consistent with portfolio. Outsiders identify the same mission with the organization.
Autonomy		Organization is the implementing agent of one donor.	Organization is able to respond to more than one donor and the organization's	Organization is able to obtain funding to support <u>its</u> program, in consultation with the Board.	In addition to managerial and financial autonomy, organization is able to

		Board.	X	successfully advocate, on behalf of its consitutency(ies), to government, donors, and private sector.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
MANAGEMENT RESOURCES					
Aspect **Leadership Style**	**Component** Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members. X	Vision increasingly comes from Board as Board members improve involvement.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly work as a team. X	Organization would survive without current Executive Director or Chairperson of the Board.
Planning	Mission/ Overview	Planning is predominately ad hoc and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission. X	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Executive Director, and Board driven.	The participation of staff in planning is widened with contributions to decision making.	Constituents provide information for planning but beneficiaries excluded from decision making. X	Constituents and staff contribute to planning decisions along with Exec. Dir./Board.
	Resource Implications	Project objectives set without assessment of resource requirements, nor consideration of important external factors.	Accomplishment of objectives tied to resources, but may stretch human resources when there is financial short-fall. X	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff.	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.

					X
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Executive Director and Chairperson with little or no feedback.	Most management decisions taken by Executive Director and management. X	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from Executive Director without clear decision criteria and little or no feedback.	Management decision criteria used by Executive Director generally shared with Board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions. X	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities changeable to meet needs.	Staff roles better understood, but appropriate avenues for participation not always clear. X	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Communications are open and inter-hierarchical. Formal and informal channels established and utilized. X	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all necessary, personnel systems exist. Informal employment practices predominent. X	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic. X	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists. X	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.

Service Delivery** (See further analysis below- by program – at end of matrix)	Service delivery to NGO's customers is supply-driven, often responding to the specifications of donors.	Type, quantity and quality of services delivered to its customers are at the initiative of the organization in response to donor requirements and community inputs. X	Organization makes consistent effort to obtain customer input into determining the appropriate type, quantity and quality of services. Customers' attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to customers. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
MANAGEMENT RESOURCES					
Constituency Participation (by program)		Organization involves its constituency (ies) only as recipients of the organization's program. X (Legal Aid & Parliamentary advocacy).	Organization draws on its constituency (ies) leaders for advice and mobilization of constituencies. X (Nima, Mamobi)	Organization draws on its constituncy(ies) leaders in planning, implementation and evaluation events.	Constituency (ies) participate fully in planning, implementation, and evaluation. Constituency (ies) contributing, labour, and management to create and maintain project results. X (Bongo, Walewale).
Monitoring and Evaluation (note, also varies by program)	Integration into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders. X	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision- making.
	Constituency Feedback	No feedback from constituency (ies).	Informal channels active and formal mechanisms being initiatiated for constituency (ies) feedback. X	Formal mechanisms exist for constituency (ies) feedback but only via surveys and evaluations. Women and marginalized groups not included.	Continuous feedback and input from constituency (ies) where women and marginalized groups are clearly involved.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain. X	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence and may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is *ad hoc* and based on emerging opportunities. X	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with organizational mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training	Little, or no, training provided.	Training is significant, but is *ad hoc* in nature. x	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling, provided. x	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists and burn out is common. X	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
FINANCIAL RESOURCES					
Aspects **Financial Management**	**Components** Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project; usually under budgeted and hardly take care of core costs. x	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic. x	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis. x	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are becoming regular but need to be more thorough. x	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated by project but regular cross project financing occurs. x	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding. x	No single source provides more than 40% of funding.

	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessful.	Local resource mobilization *ad hoc* to date. Just starting planned effort. X	Local resource mobilization strategy is operational	Local resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover all project activities. X	Funding is available to cover project activities, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
EXTERNAL RESOURCES					
Aspect **Public Relations**	**Component** Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers. X	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication. X	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists and attempts are made, through social marketing and other means, to both make the organization known and to foster a broader public awareness in support of the Mission.

Aspect	Component				
Advocacy	Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience. X	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries. X	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents, and is aware of the impact or reception of such information. At this point number of advocacy issues is limited to one.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Organization has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials on advocacy issues. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns.	Organization contacts one or more constituencies in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages all appropriate constituencies in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituencies for advocacy campaigns and is responsive to their advocacy priorities.	Organization has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the organization. X
Constituency Orientation		Organization operates in centralized manner with little connection to consituency.	Organization serves constituency based on perceptions/assessment, but without active constituency involvement.	Constituency input sought for key decisions. Organization and its efforts viewed by	Constituency integrated into organization's policies and practices.

			constituency as service provided to constituency. X	
Ability to work with central and local government	Viewed as "we", "they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects. x	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners.
Ability to work with other NGOs.	Organization does not have experience working with other NGOs. Not known or trusted by NGO community.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements only. X	Organization works with international or local NGOs, and participates in NGO networks and coalitions. Networks and coalitions are based on constituency needs.	Organization plays leadership role in promoting NGO coalitions based on constituencies' interests. Capable of helping to resolve NGO-NGO or NGO Govt conflict and of affecting policy on behalf of constituency

Appendix B: LRC Institutional Development Calculation Sheet (IDCS)

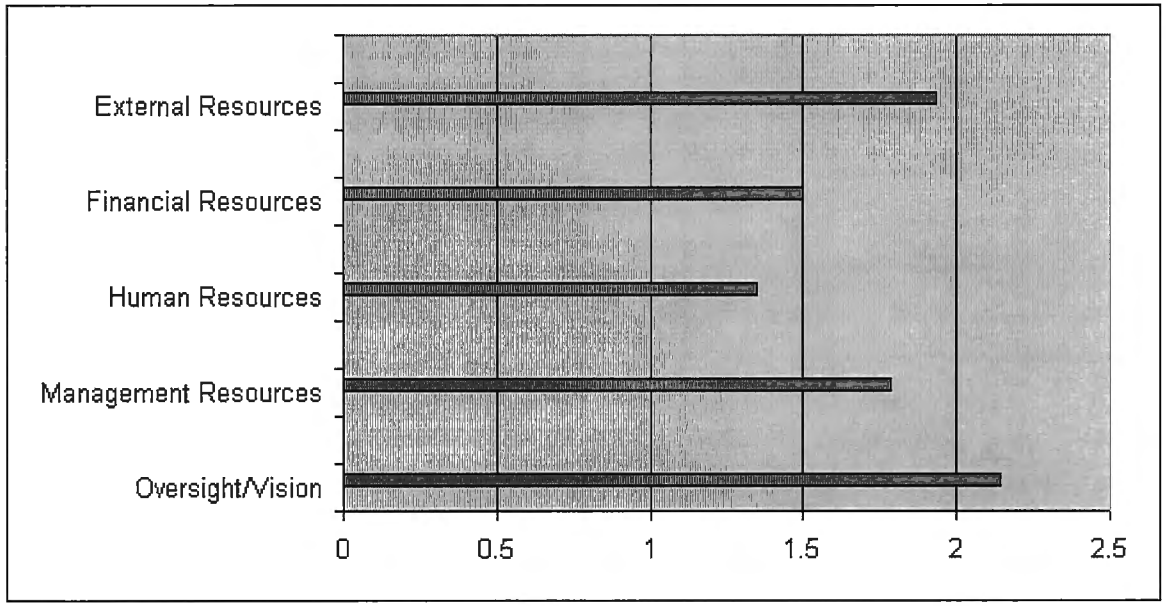
Resource Aspect	Key Components	Raw Score	Weight	Adj. Score	Raw Score	Adj. Score	Change Over Time	Comments
Board	Board's Role	1.50	2	2.25		0.00	-2	Roles are clearly defined, members know the roles, but cannot fulfill roles because of financial constraints.
	Active Board	1.75	2	2.63		0.00	-3	Founding members and one other member are very active.
	Members Advance Org.	2.25	2	4.50		0.00	-5	Board all males, all lawyers, but do not have diversity of skills to match the needs of the organization.
		1.83			**0.00**			
Mission		2.50	4	10.00		0.00	-10	Clear mission statement, consistent with the organization's activities but not exposed.
		2.50			**0.00**			
Autonomy	Autonomy	2.10	4	8.40		0.00	-8	Nature of work exposes them to donors who later contact them to submit proposals.
		2.10			**0.00**			
Leadership Style	Board	1.25	2	1.88		0.00	-2	Very little leadership provided by Board.
	Staff Teamwork	2.50	3	7.50		0.00	-8	Teamwork is present but constraints exist.
		1.88			**0.00**			
Planning	Mission/Overview	2.25	4	7.88		0.00	-8	Development of plans started in April 2004.
	Participation	2.75	4	9.63		0.00	-10	Constituents play active role in their planning.
	Resource Implications	1.75	4	6.13		0.00	-6	Individual staff contribute their own resources to the organization.
	Work Plan as Tool	3.25	4	12.19		0.00	-12	Work plans are dynamic and modified as needs arise.
		2.50			**0.00**			
Participatory Management	Appropriate Delegation	1.75	4	7.00		0.00	-7	Issues are discussed and feedback sought from staff members. Department heads and the Executive Director normally take final decisions.
	Transparent Decision-making	2.00	3	6.00		0.00	-6	Staff and management discuss issues to arrive at decisions.
	Staff Participation	1.25	3	3.13		0.00	-3	Staff are forced to perform a variety of duties outside of their normal schedules as and when the need arises.
	Communication Flow	2.00	4	8.00		0.00	-8	Communication flows both formally and informally.
		1.75			**0.00**		-24	
Management	Personnel Systems	1.25	3	3.75		0.00	-4	Personnel systems exist but are not applied.

Systems	File Systems	1.50	3	4.13		0.00	-4	Files are not easily accessible.
	Administrative Procedures	1.75	2	3.06		0.00	-3	Long frustrating procedures, particularly in finances.
		1.50			**0.00**		-11	
Service Delivery	Service Delivery	1.50	3	4.50		0.00	-5	Mainly donor-driven.
		1.50			0.00			
Constituent Participation	Constituent Participation	2.00	2	3.00		0.00	-3	Dependent on programs and communities; e.g. Bongo/Walewale (4), Nima/Maamobi (2), Legal Aid (1).
		2.00			0.00			
M&E Systems	Integration into Decisions	1.25	3	3.13		0.00	-3	Few evaluations at donor requests and based on program requirements.
	Constituency Feedback	1.50	2	2.63		0.00	-3	Constituencies call to give their impressions about the project.
		1.38			**0.00**		-6	
Human Resources	Skills	1.25	4	4.38		0.00	-4	Gaps exist, but are occasionally filled by consultants (e.g. in accounting)
	Strategy	0.50	4	1.75		0.00	-2	Staff development based on individual initiative; no formal policy exists.
	Training	1.50	3	4.13		0.00	-4	Training considered significant, but no budget for it and no conscious effort to institutionalize it.
	Mentoring	1.75	4	7.00		0.00	-7	Coaching and mentoring done at department level.
	Motivation	1.75	3	5.25		0.00	-5	Recognition given informally; still staff burn-out.
		1.35			**0.00**		-23	
Financial Management	Planning	1.50	3	4.50		0.00	-5	No budget experts, which sometimes leads to unrealistic budgeting (under budgeting). External budgets are realistic.
	Control	1.50	4	5.25		0.00	-5	Control systems exist but do not function effectively and are not systematic.
	Reporting	1.75	3	4.38		0.00	-4	Three reports: one for USAID, one for other donors and the internal statutory reports.
	Audits	1.25	1	1.25		0.00	-1	External auditing only now becoming regular.
	Separation of Accounts	1.50	1	1.50		0.00	-2	One main account with different accounting books.
		1.50			**0.00**		-17	
Financial Vulnerability	Funding Diversity	3.00	2	4.50		0.00	-5	One strategic funder at a time who provides not more than 50% of total funding needs.
	Local Resource Mobilization	1.50	2	3.00		0.00	-3	Some activities have taken place in an *ad hoc* manner and staff also contribute.
		2.25			**0.00**		-8	

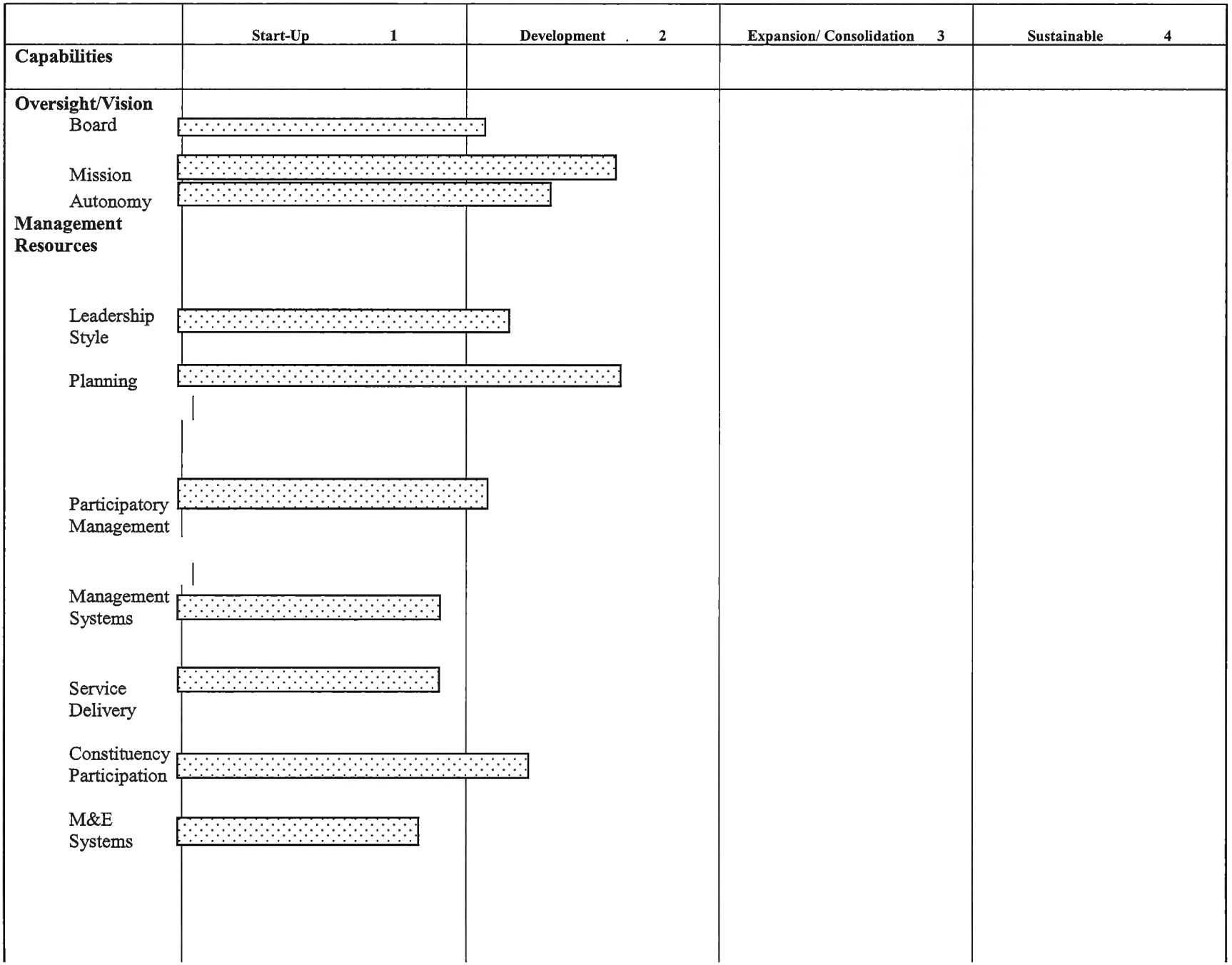
Financial Viability	Financial viability	0.75	4	3.00		0.00	-3	Plans exist, but often financially constrained.
		0.75			**0.00**			
Public Relations	Public Recognition	1.50	2	3.00		0.00	-3	Organization known to some public and policy makers but there has been no conscious effort at marketing because staff energies are consumed by housekeeping.
	Media Strategy	1.00	2	2.00		0.00	-2	Publicize and seek media coverage on some events; press initiates some encounters but not regularly because management prefers low profile.
		1.25			**0.00**			
Advocacy	Strategic Approach	2.25	3	6.75		0.00	-7	Plans take into account constituents' power; stakeholder interests are reviewed based on experiences.
	Use of Research/Info	0.75	3	1.88		0.00	-2	Do not proactively produce information for public consumption.
	Mobilizing Constituents	3.50	2	7.00		0.00	-7	Organize and train constituents; constituents are now independent needing little or no supervision from LRC.
		2.17			**0.00**			
Ability to work with central and local gov't	Ability to work with central and local gov't	1.75	2	3.50		0.00	-4	Relations are generally friendly, except when legal suits have been pursued.
		1.75			**0.00**			
Constituency Orientation	Constituency Orientation	2.50	2	4.38		0.00	-4	Seek views of constituents and lead them in making decisions. However, these constituents are not actively involved in LRC.
		2.50			**0.00**			
Ability to work with other NGOs		2.00	1	2.40		0.00	-2	Good working relations with local, international NGOs and NGO networks.
		2.00			**0.00**			
Total Placement		**76.35**		**202.05**	**0.00**	**0.00**	**-202.05**	
Average Placement		1.77558			0		-5	

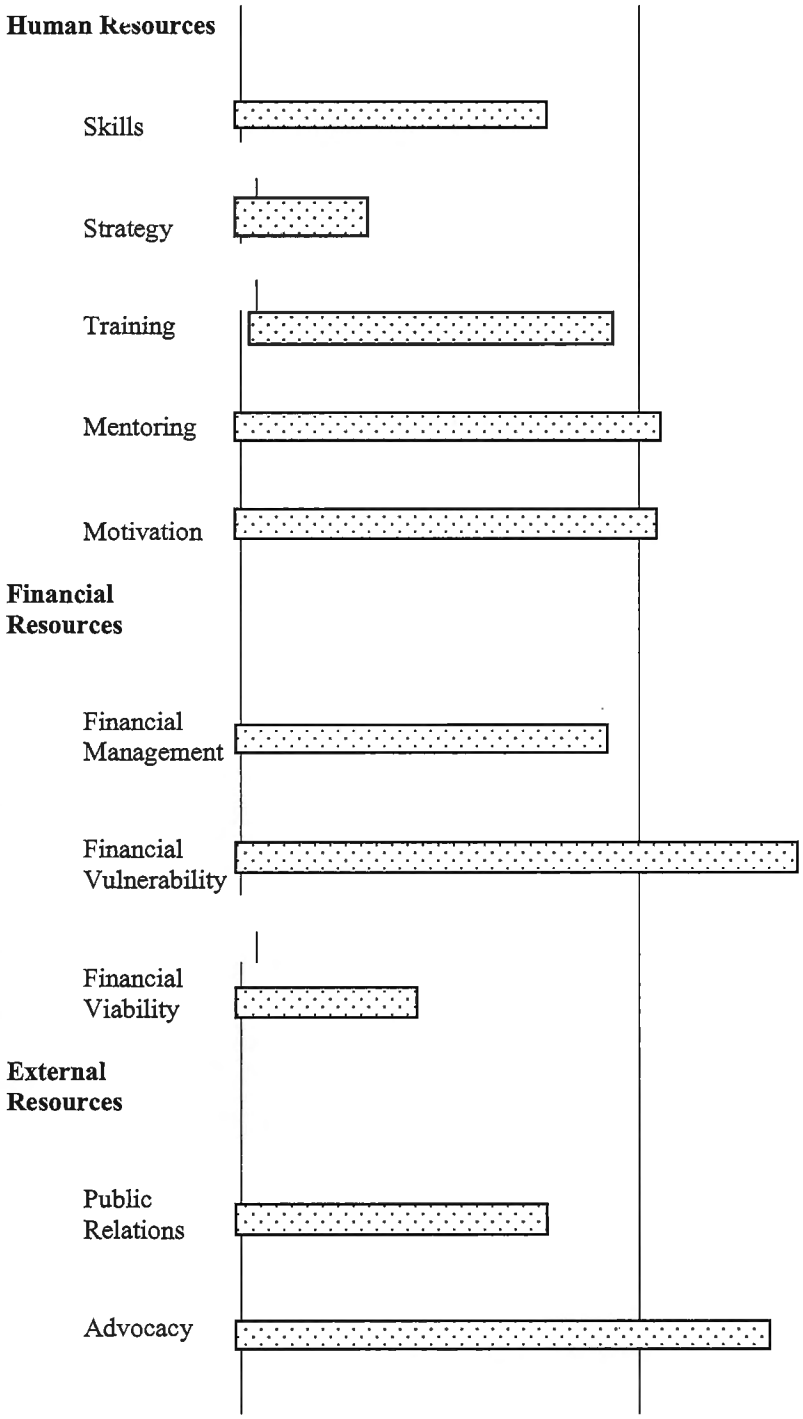
Summary of Average Placement Change, by Resource

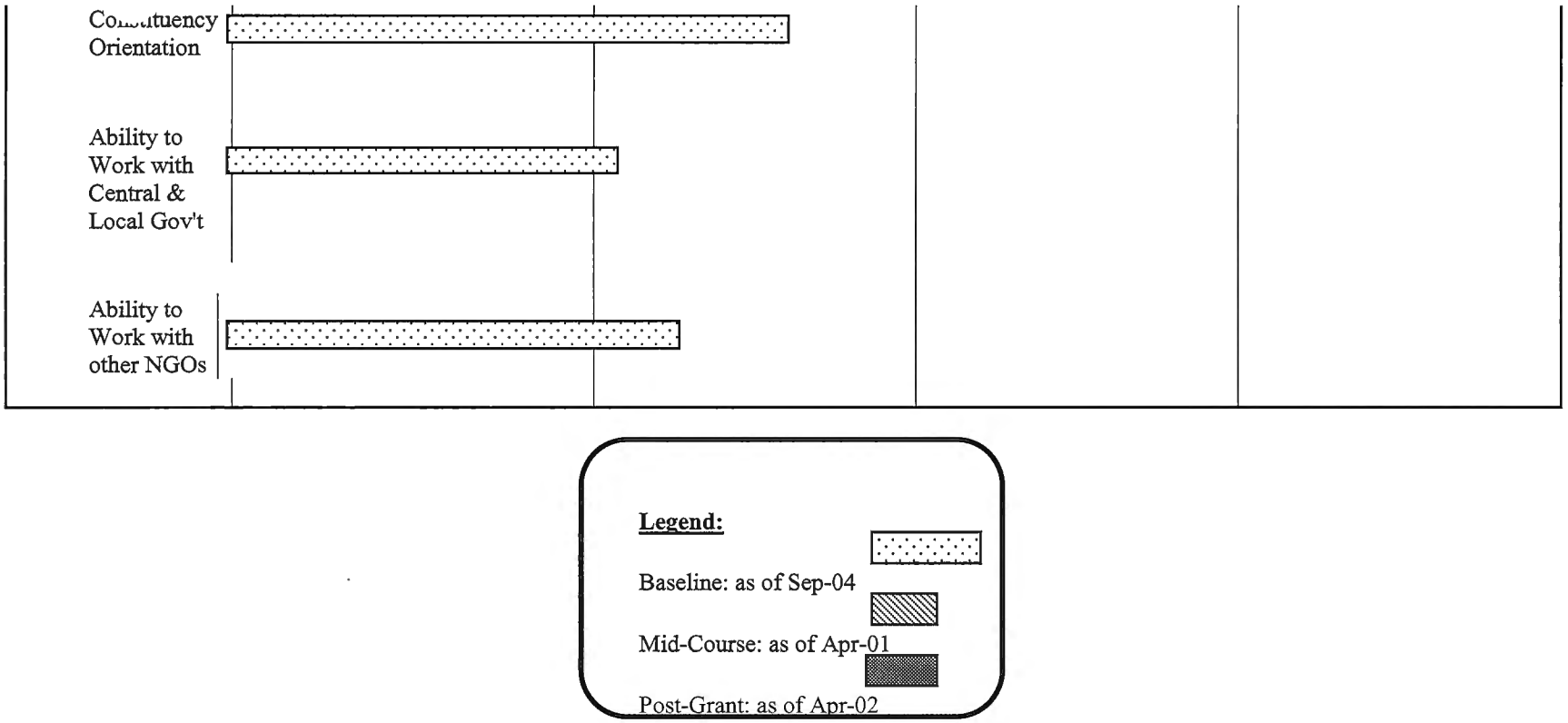
Oversight/Vision	2.14	0.00
Management Resources	1.79	0.00
Human Resources	1.35	0.00
Financial Resources	1.50	0.00
External Resources	1.93	0.00



Appendix C: LRC Institutional Development Profile (IDP)




Human Resources
Skills
Strategy
Training
Mentoring
Motivation
Financial Resources
Financial Management
Financial Vulnerability
Financial Viability
External Resources
Public Relations
Advocacy


Constituency Orientation
Ability to Work with Central & Local Gov't
Ability to Work with other NGOs
Legend:
Baseline: as of Sep-04
Mid-Course: as of Apr-01
Post-Grant: as of Apr-02

Appendix D: LRC Institutional Improvement Plan

LRC conducted an institutional self-assessment in September 2004. Using the Institutional Development Toolkit, staff from the USAID-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the Self-Assessment Report. LRC analyzed the results to prioritize areas for focused improvement over the next year as follows:

1. To Attract and Sustain Core Funding (long-term); to Identify and Contact Organizations which Offer Core Funding
2. To Design an HR Strategy Capable of Meeting the Growing Needs of LRC by September 2005
3. Objective 3: To Help Enhance the Work of LRC and Bring it into the Limelight as a Leading NGO in the Country by September 2005

Planned Improvement Activities

Objective 1: To Attract and Sustain Core Funding (long-term); to Identify and Contact Organizations which Offer Core Funding			
ACTIVITY	**RESPONSIBILITY**	**RESOURCES NEEDED**	**BY WHEN**
1. Financial Viability	• Well spelt out mission and vision • Proper documentation of LRC and its activities(projects) • Improve office layout and setup. • Check that LRC is operating according to regulations of the Companies code: Procedural manual, IRS returns etc.	• Staff of LRC • Availability of funds • LRC Administration • Financial Controller / Consultant & Core management.	• October, 2004 • Dependent on funds availability • October, 2004
2. Resource Implications	• To set realistic budgets for projects and activities as well as administration.(Input from departments and Project coordinators).	• Financial Controller & Core management.	• Starting November, 2004
3. Financial Planning	• To set realistic budgets for activities and projects. • Administrative costs should be well laid out.	• All staff of LRC • Financial controller / consultant	• Starting November, 2004
4. Financial Control Systems	• Proper monitoring of LRC finances through auditing, financial system checks etc. • LRC should follow proper financial procedures as laid out by the LRC Procedural manual.		• Starting November,
5. Motivation			

	• Staff→ department head→ finance officer → financial controller →AED **OTHERS** • Finance officer to stop signing as financial controller. • Finance officer should do careful calculations to avoid accounting errors. • All expenditure of the organization should be backed by receipts, invoices, vouchers etc. • Staff should be motivated through increase in salaries.	• Finance officer • Core management / Financial Controller	2004 • Starting October, 2004

Objective 2: To Design an HR Strategy Capable of Meeting the Growing Needs of LRC by September 2005			
ACTIVITY	**RESPONSIBILITY**	**RESOURCES NEEDED**	**BY WHEN**
1. Redo organization and Job descriptions according to LRC vision and mission. **2. Restructure staff placement according to organogram and job descriptions. (Hiring, firing, training, retaining).** **3. Design mentoring scheme based on transparency and effective communication.** **4. Implement Mentoring Scheme.** **5. Incorporate monitoring and evaluation in public recognition in service delivery.**	. Core management of LRC . Administrative consultant	. Human and Financial Resources	• November, 2004 • December, 2004 • March, 2005 • January, 2005

Objective 3: To Help Enhance the Work of LRC and Bring it into the Limelight as a Leading NGO in the Country by September 2005			
ACTIVITY	**RESPONSIBILITY**	**RESOURCES NEEDED**	**BY WHEN**
6. Service delivery	. Public relations department to be set up.	• Interpersonal relations with the media houses.	• Starting October, 2004
7. Public Recognition / Marketing	. Officer(s) assigned to be responsible for media relations.		
8. Filing Systems		• Links with key persons in the media houses.	
9. Media Soiree			• Starting October, 2004
10. Contributions to media discussions on issues relating to LRC work		• Brochures, leaflets and flyers.	
11. Taking advantage of radio and television programs to explain LRC's work			• Starting October, 2004
		• Separate budgets for media relations.	
12. Sending out encouraging messages to particular individual reporters			• Starting October, 2004

CAPABLE PARTNERS PROGRAM (CAP)

Association of Regional Chambers of Commerce

Institutional Self-Assessment and Improvement Process

CAP is implemented by

AED
Academy for Educational Development

in partnership with

MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

June 2004

Report on Association of Regional Chambers of Commerce Institutional Self-Assessment and Improvement Process

June 2004

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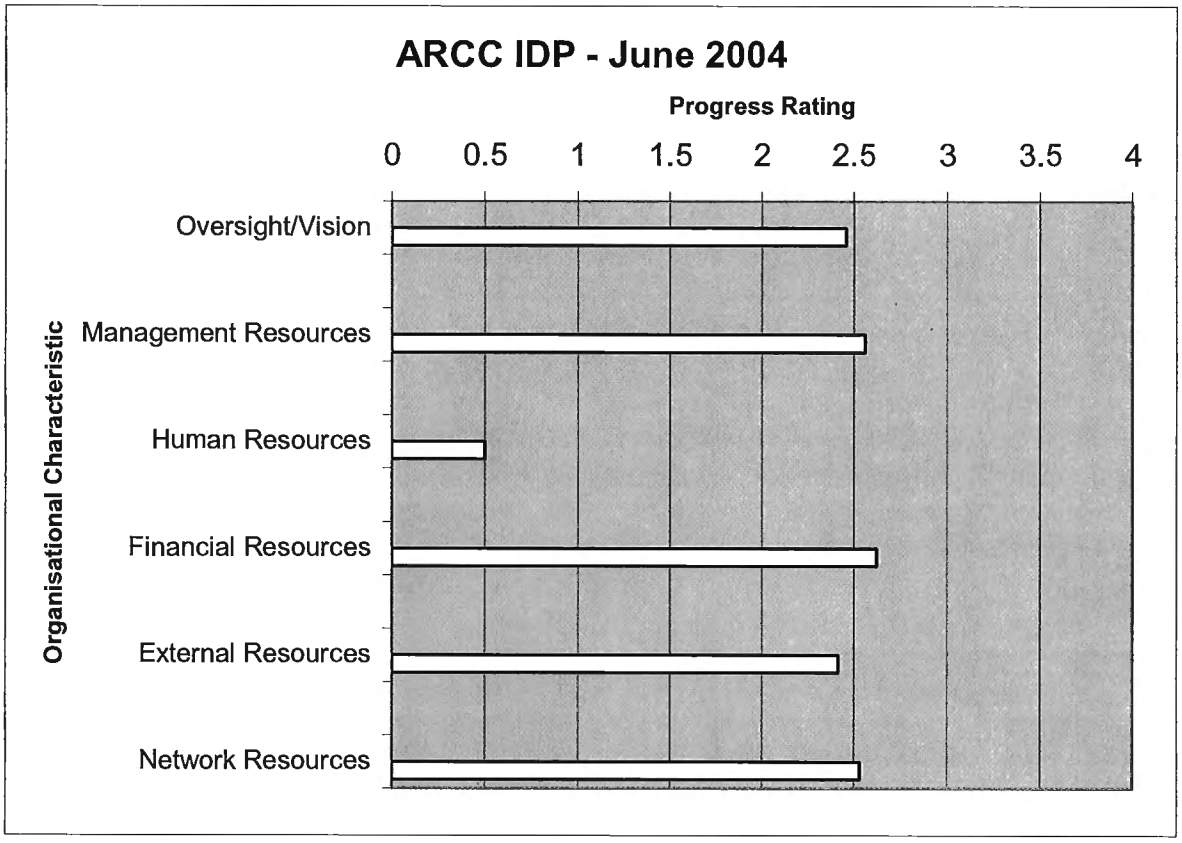
Summary, Findings, and Conclusions

The assessment provided a very positive appraisal, given that the Association of Regional Chambers of Commerce (ARCC) has only been operational for a few years and is essentially functioning on volunteer labor and member-generated funding.

Figure 1: ARCC Institutional Development Profile, Summary by Resource Area



ARCC scored itself firmly in the "consolidation stage" on Board strength, mission, and autonomy, although several members cited a need to update ARCC's mission statement.

Since ARCC only has one employee, an Administrative Assistant who provides managerial and secretarial assistance to the Executive Committee officers, twelve IDF rows were deemed irrelevant. However, they were adapted to ARCC's vision and marked "reserved for future use", so that they could be included in later IDF assessments. For this year, the IDCS was modified to disregard these rows. Under Human Resources, only one row (Training) was used; the rest were reserved for when ARCC had at least a paid Executive Director. Very little training has yet to be conducted for ARCC membership (training was considered essential), which explains the low score indicated on the IDP above.

Members also eliminated the rows relating to financial viability and the component of financial vulnerability that speaks to "own resource mobilization." These rows seem most relevant to NGOs that take on externally initiated and funded projects; ARCC primarily envisions funding activities with its own means. Had ARCC maintained the row, "Own resource mobilization", it would always be scored as a 4 and have little developmental relevance. ARCC's sound financial

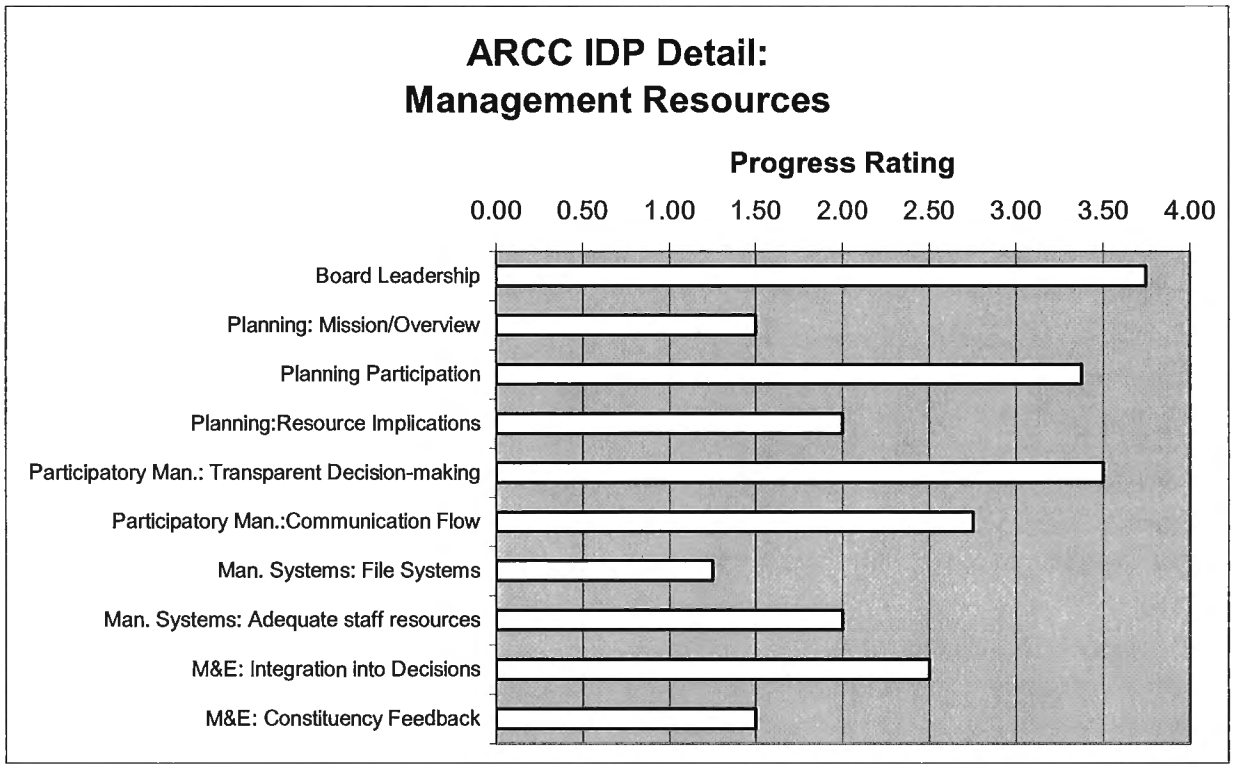
management is a clear strength. This function is in the competent hands of a volunteer treasurer and has not yet been systematized into the organization. Since resource levels are currently very low, this aspect will be tested only when they increase.

Finally, a row was added under Management Resources – Management Systems, to assess the adequacy of staff (paid and voluntary) resources. This is discussed below, under the detailed review of IDF results for Management Resources. As a member-initiated association of well-functioning Chambers of Commerce, it is not surprising that ARCC scored itself highly on external and network resources, even though the group identified clear areas for improvement in these aspects.

ARCC currently lacks adequate resources to equip the association with sufficient paid staff. The Executive Committee (Board) manages ARCC and essentially serves as staff, distinguishing itself in this endeavor by establishing and maintaining highly participatory and transparent management and decision-making practices. As defined by its constitution, ARCC's board is comprised of the Presidents of the ten-member Chambers of Commerce. The Annual General Meeting elects five officers (President, Vice-President, Secretary, Treasurer and Public Relations Officers) to the Board, either from current Chamber/Board members or the general membership.

A few of these Chambers are quite new, but others date back over 50 years; the more mature Chambers are more functional than ARCC. The configuration of the Executive Committee ensures that ARCC represents its members equally, although it also limits board selection by needed skills, such as fund-raising and marketing expertise.

Figure 2: ARCC Institutional Development Profile, Management Resources Detail



The risk underlying ARCC's highly effective board leadership is possible burnout of the committed, though small, pool of volunteers who have so far built and managed the Association. ARCC leadership has recognized for some time that hiring an Executive Director/Secretary to manage ARCC's daily operations is critical for the association's effectiveness and sustainability. For this reason, a new row was included in ARCC's IDF that speaks to "adequate staff resources" (see Figure 3).

Figure 3: ARCC's IDF Row: Adequate Staff Resources

	1	2	3	4
Management Systems: Adequate staff resources	No paid staff – all volunteer labor.	Limited paid staff, but ARCC's effectiveness still dependent on voluntary input	Executive Director and professional technical staff working to implement or support ARCC programs.	Adequate mix of staff resources to implement ARCC Strategic Plan, includes volunteer and professional paid positions.

To fulfill its mission, ARCC needs an Executive Director and possibly a Member Services Officer. The weaknesses identified in terms of file systems, planning, and monitoring and evaluation are all related, in part, to a lack of adequate professional resources needed to manage these functions. Members recognized, however, that ARCC program management would need to continue to rely on a mix of volunteer (primarily Board member-led committees) and professional paid positions – for the simple reason that key members will always be needed to lend necessary credibility and influence.

Complementing CAP's advocacy focus, ARCC envisions becoming an influential force in Guyana's private sector and community development. In three years, the association has expanded membership and extended its reach to the major economic regions of Guyana. However, the members connected the need to improve ARCC's efforts to advance national-level advocacy in favor of Chamber interest and the need to develop the newer and weaker Chambers as active members.

ARCC's Institutional Improvement Plan (*Appendix D*) includes four interrelated objectives to be implemented through a combination of participatory Chamber-level interventions and Association-level strategic planning. The objectives focus on improving ARCC's practices in financial planning and fund-raising, equipping ARCC will more adequate staff resources, identifying goals and measures for organizational development, and clarifying and managing a long-term advocacy agenda over the next five years.

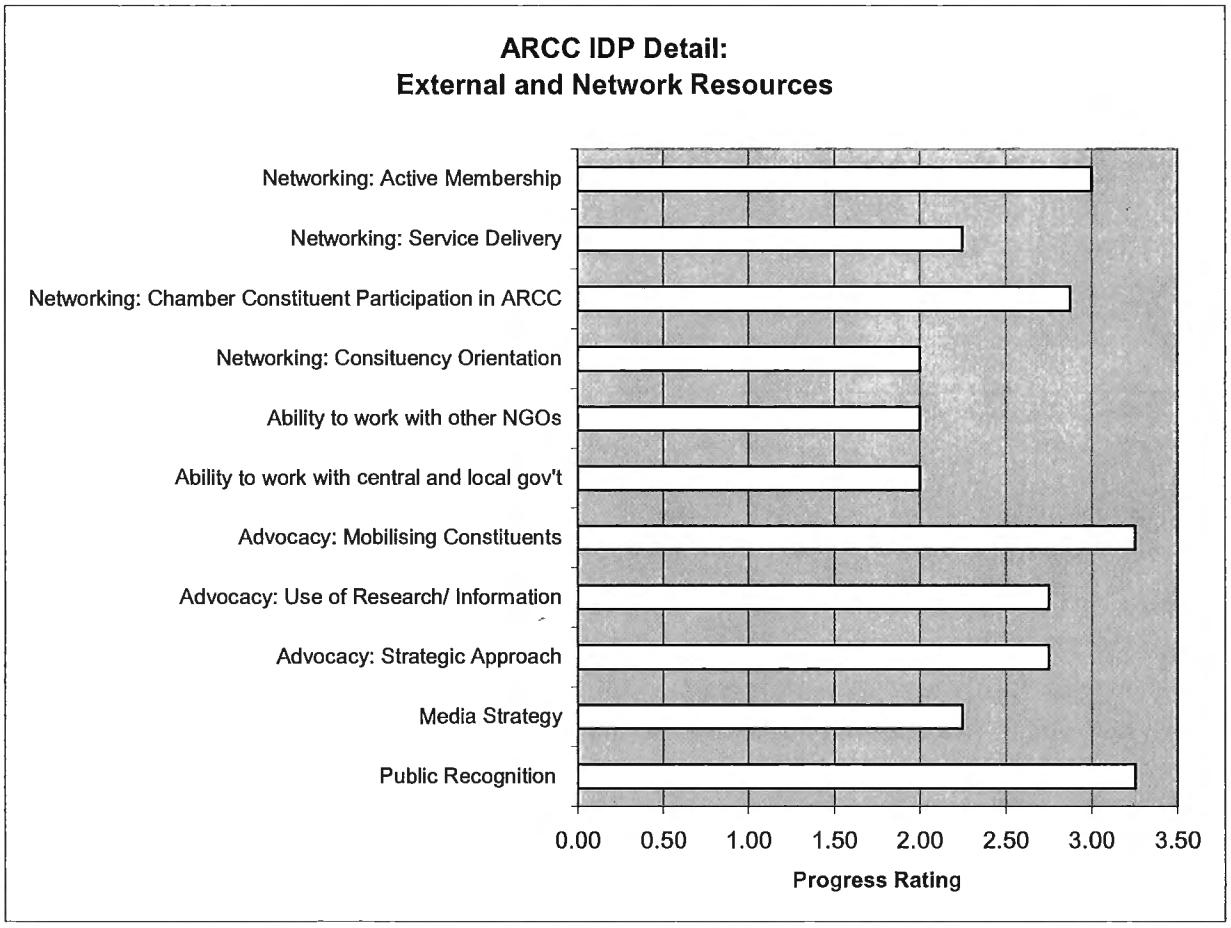


Figure 4: ARCC Institutional Development Profile, External and Network Resources Detail

Background

ARCC, established in November 2000, was formed to aid commerce, economic development, and advocacy in support of Guyana's Regional Chambers of Commerce. ARCC may freely discuss, recommend, and take action on any policies affecting Guyana's commercial community, put forward by government, municipalities, any individual, accepted and properly constituted body, donor organizations, or any externally based organization. ARCC's membership consists of ten regional Chambers totaling 500 large, medium, small, and micro businesses.

ARCC was nominated by USAID/Guyana to participate in the USAID-funded Capable Partners (CAP) program's Global Core Initiative (GCI) in Advocacy. ARCC's training in advocacy is complimented by CAP's institutional strengthening support. This document reports on the first stage of that assistance: a participatory self-assessment of ARCC, leading to an Institutional Improvement Plan for ARCC to address areas which the assessment indicated require urgent attention. ARCC will then present this plan to CAP, to its members, and to other donors for funding and ensure that it is implemented.

Process

ARCC conducted the IDF self-assessment from 2-7 June 2004, beginning and ending with Executive Committee meetings. Between the two Executive Committee meetings, two regional meetings were conducted in New Amsterdam and Linden, engaging five member Chambers. The final Executive Committee meeting combined and analyzed the assessment information gathered from the regional meetings.

The Participants (18 male, 5 female) included ARCC Executive Committee (board) members, ARCC member Chamber officers, and the members as listed below. Note that several of these people attended more than one of the IDF assessment meetings described above. Note also that Muntaz Ali, President of ARCC, was overseas during the IDF workshop. ARCC's Administrative Assistant kept him informed and he concurred with the conclusions.

Name	Title
1. Abraham Subnauth	Member, Upper Corentyne Chamber
2. Alfred Juliew	Member, Linden Chamber
3. Alfred Ramsarran	President, Rupunini Chamber
4. Cosmata Lindie	Staff, Berbice Chamber
5. David Subnauth	Acting ARCC President, ARCC, President, Upper Corentyne Chamber
6. Derrick Cummings	Public Relations Officer ARCC, Vice President, West Demerara Chamber
7. Dr. Fred Sukdeo	Executive Committee Member, West Demerara Chamber
8. Elwin Jones	Member, Berbice Chamber
9. Fazil Ramzan	Member, West Demerara Chamber
10. Gyandat Murray	Executive Committee Member ARCC; President, Berbice Chamber
11. James Park	Secretary, Linden Chamber
12. Kim Ramdaya	Executive Member, Linden Chamber
13. Leonard Forde	Executive Committee Member Linden Chamber, Potential Facilitator – IDF
14. M.A. Noor dean	Member, Upper Corentyne Chamber
15. Mortimer Yearwood	Executive Member, Linden Chamber
16. Nalini Baldeo	Staff, Upper Corentyne Chamber
17. Narima Khan	ARCC Administrative Assistant
18. Orin Gordon	Senior Vice President
19. Pradeep Bachan	Executive Committee Member ARCC, Secretary, West Berbice Chamber
20. R. Ramlochan	Member, West Berbice Chamber
21. Ramdial Bhookmahan	Secretary Ag ARCC, Immediate Past President ARCC
22. Ramesh Maraj	Immediate Past President, Berbice Chamber
23. Vivienne Monroe	Executive Member, Linden Chamber

In the first meeting, participants reviewed the process and then began customizing the IDF template designed for an NGO network. ARCC, facilitated by the consultant, reviewed each IDF row, modified it to suit their circumstances and vision for the future, and assessed their progress on its development continuum. The resulting matrix is included as *Appendix AI: ARCC Institutional Development Framework (IDF)*. The consultant recorded the scores for each row, and all necessary comments, in *Appendix BI: ARCC Institutional Development Calculation Sheet (IDCS)*; the scores of the two regional workshops in this assessment were combined. The Consultant prepared a second version of the IDCS for use in future years *(Appendix BII)*. Finally, the consultant presented the results graphically [*Appendix C: ARCC Institutional Development Profile (IDP)*].

Assessment Results

The assessment done, the group began to prioritize areas for improvement: with the consultant's guidance, they ranked the various IDF rows, using five gradations ranging from "Makes or Breaks ARCC" to "Not significant at this time". From the highest priority items, they then selected those in which ARCC analysis indicated the greatest weakness – those which are absolutely essential to ARCC's survival and in which ARCC is currently deficient. The group concurred that ARCC needs to:

1. Develop a long-term financial plan and determine fund-raising needs in light of organizational objectives.
2. Conduct a participatory planning exercise to develop an ARCC Strategic Plan for 2005-2010.
3. Plan and upgrade ARCC's national-level advocacy agenda.
4. Strengthen the ability of member Chambers to participate in ARCC activities.

Although ARCC has been functioning well on an annual basis for the last three years, it now needs to conduct more long-range and strategic planning. The first priority – transforming the annual budget into a financial plan – must accord with the second – developing an ARCC Strategic Plan. The Strategic Plan needs to continue the highly participatory and transparent procedures that have come to typify ARCC member relations; it will include the period 2005 to 2010 and integrate Objective 1 (Financial Planning) and Objective 3 (Advocacy Agenda). All but Objective 2 will be achieved with ARCC's own resources. CAP technical assistance will be requested to achieve Objective 2, which will directly support completion of the other three objectives.

Objectives 3 and 4 represent ARCC major comparative advantages – its "value-added" – vis-à-vis its member Chambers. ARCC intends to strengthen its weakest Chamber through IDF assessmentz and Executive Committee visits. Chambers will also benefit from their shared involvement in Objective 2 and from the activities of Objective 3, which will seek to complement, not supplant, Chambers' current advocacy. ARCC will primarily focus on identifying national-level issues and offer to support Chamber-level advocacy as requested.

Improvement Plan

Having identified areas in urgent need of attention, ARCC then began brainstorming activities which would get ARCC on a sustainable track. Those are summarized in *Appendix D: ARCC Institutional Improvement Plan.*

Capacity to Conduct Follow-on IDF Assessment

The IDF workshop evaluation results (see below) established that the participants felt confident that they could use the IDF to re-assess ARCC in future years. The two local facilitators plan to assist local Chambers in conducting their own IDF assessments. With this added experience they should be fully competent to assist in the re-assessment of the Association within a year.

The CAP consultant worked closely with the two ARCC members to prepare and conduct their regional IDF workshops. The preparations included modifying the standard IDF network template for ARCC. Both facilitators have the requisite background and interest in public administration and institutional development. They are completely comfortable with the content and use of the IDF matrix and could effectively facilitate future meetings based on either the ARCC or local Chamber of Commerce versions of the IDF. They are familiar enough with the other elements of the IDF toolkit (IDSC and IDP) to manipulate and present the results appropriately.

Next Steps

ARCC will distribute this report and the draft Improvement Plan to its member Chambers for their review and input. Members will have until June 21 to offer any modifications they deem warranted. The final Improvement Plan will be re-submitted to CAP as ARCC's proposal for technical assistance to support implementation of the plan. ARCC will also use the assessment results and Improvement Plan to seek funding from other donors to ensure its success. One year from now, ARCC will re-apply the IDF Toolkit, using a similarly decentralized and participatory process, in order to track its progress. Those IDF assessment results will be reported to CAP.

In conducting the second assessment, ARCC must remember there are two "scores" maintained for ARCC in the IDCS. In this first assessment, only raw scores (*Appendix BI*) were used to establish the IDP. The "raw score" reflects the placement of the IDF (for example, if two cells have been satisfied, the score would be "2".) In future assessments, ARCC will want to assign "weights" for each row of the IDF, based on its relative importance. Given the greatly reduced number of IDF rows used in this initial assessment, the weighting process was not employed. Instead all applicable rows were charted on the IDP *(Appendix C)* and assessed to determine the actions of ARCC's Improvement Plan.

As soon as ARCC has a paid Executive Director, the management and assessment of the organization will be more complex. In the next assessment it is expected that most, if not all, of the reserved rows will become relevant. Because the transitions inherent in transferring to a paid staff will require significant changes in ARCC's operations, it is likely that the raw scores may decline in the short term.

In one year's time, progress must be measured against this new weighted score. ARCC is interested in overall percentage change in weighted score, because it provides greater "credit" for improvements in areas that are of greater priority. Please note, however, that the results represented in the IDP should be based on the raw score only.

Members of the ARCC Executive Committee plan to facilitate the IDF assessment as a new service for its member Chambers of Commerce. The Consultant drafted an IDF, adapted to

Chambers of Commerce *(Appendix AII),* for the two local facilitators. This will need to be adapted to each particular Chamber as part of their IDF assessment process.

Workshop Rating

Post workshop evaluations of the workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	4.85
2. How useful to you was the assessment of your network's institutional capacity?	4.38
3. How do you rate the facilitator's ability to explain and communicate clearly?	4.85
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.85
5. How do you rate the facilitator's facilitation technique and skills?	4.77
6. How clearly do you now understand your network's institutional strengthening needs?	4.38
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3.92
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4.69

NB: These scores reflect the responses of the thirteen participants attending the two one-day regional meetings. The shorter Executive Committee meetings, which bookended the process, were not formally evaluated; however, the majority of those Executive Committee members also participated in one of the regional meetings.

In general, the comments on the evaluation forms were favorable. Six people stated that they wished more ARCC members had participated; most expressed the wish that more of the Chambers had been represented. Efforts were made to include eight of the ten Chamber, but in the end six attended. Three respondents mentioned that more discussion time could have been allocated to the assessment meetings. Two offered the following summarizing statements:

> "The workshop was very well conducted and with a full understanding as how to improve the association."
>
> "The workshop did well in achieving its objective in shorter time than allotted. The facilitator was good, effective and germane to the mission of the Chamber."

The assessment ratings were very positive, with the highest ratings going to the usefulness of the IDF tool and the quality of facilitation. Comparatively, the lowest rating – participants' confidence in their ability to repeat the IDF assessment without facilitator assistance – was still quite high, nearly an average score of 4 out of 5. With the assistance of the two local facilitators, there is little doubt that the members could re-assess ARCC using the IDF in the future.

Three Chambers present at the ARCC IDF workshop expressed serious interest in using the IDF to assess their Chamber. To this end, the lead facilitator prepared a modified IDF template to use with Chambers of Commerce and distributed this to the Executive Committee at the final work session. Mr. Cummings has already initiated discussions with these Chambers to determine timing for these assessments.

Appendix AI: ARCC Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Oversight/Vision					
Aspect	**Component**				
Board	**Board's Role ROW RESERVED FOR FUTURE USE**	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support ARCC with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance ARCC	Board selected based on initial enthusiasm of founding of ARCC, not necessarily on its long-term development needs.	Board members' selected more strategically, but most of their skills still do not match growing needs of ARCC.	Board's skills match needs for the development of ARCC and have begun to move it forward.	Board members are catlyst for long-term development of ARCC.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health, or peace.	Mission Statement exists, but is not focused. Diverse portfolio of activities is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with current activities. However, members are not uniformly capable of articulating the Mission Statement. People outside ARCC may not identify Mission Statement with ARCC.	Clear Mission Statement. It can be articulated by Board and members (and potentially staff) and is consistent with ARCC activities. Outsiders also identify the same mission with ARCC.
Autonomy		ARCC is the implementing agent of one donor.	ARCC is able to respond to more than one donor, in discussion with the Board.	ARCC is able to obtain funding to support its own programs in response to Board direction.	In addition to managerial and financial autonomy, ARCC is able to successfully advocate and raise funds, on behalf of its

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
				consitutencies, to government and donors.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect	**Component**	Management Resources			
Leadership Style	**Board**	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members.	Vision and management ideas increasingly come from Board as Board members work more closely with ARCC programs.	Virtually all Board members contribute to leadership and development of ARCC.
	Staff Teamwork ROW RESERVED FOR FUTURE USE	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to ARCC. Staff and Executive Director increasingly work as a team	ARCC would survive without current Executive Director or Chairperson of the Board.
Planning	**Mission/ Overview**	Planning is opportunistic and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation (Executive Director) and Board driven.	ARCC Executives provide information for planning but members excluded from decision making.	The participation of members (and staff) in planning is widened, including contributions to planning decision making.	ARCC's constituents contribute to planning decisions along with (Executive Director and) Board.
	Resource Implications	Objectives set without assessment of resource requirements, nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, ARCC does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Work Plan as Tool ROW RESERVED FOR FUTURE USE	ARCC does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Aspect	**Component**	Management Resources *continued*			
Partic ipatory Management	**Appropriate Delegation ROW RESERVED FOR FUTURE USE**	Decisions handed down to organization from Executive Director and Chairperson with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from Board (and Executive Director) without clear decision criteria and little or no feedback from membership.	Management decision criteria used by Board Chair (or Executive Director) generally shared with Board, but other members (or staff) not included in process.	Decision-making is increasingly operationalized to become transparent to members (staff); some participation in actual decisions.	Transparent decision-making process; full participation in relevant decisions.
	Staff Participation ROW RESERVED FOR FUTURE USE	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand role in ARCC more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communication Flow	Intra-Chamber communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff or committee meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	ARCC periodically reviews communication flow to ensure free flow of information through both formal and informal channels.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Management Systems	**Personnel Systems ROW RESERVED FOR FUTURE USE**	**No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.**	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures **ROW RESERVED FOR FUTURE USE**	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
	Adequate staff resources	No paid staff – all volunteer labor.	Limited paid staff but ARCC's effectiveness still dependent on voluntary input	Executive Director and professional technical staff working to implement or support ARCC programs.	Adequate mix of staff resources to implement ARCC Strategic Plan, includes volunteer and professional paid positions.
Monitoring and Evaluation	Integrated into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluation are initiated by committees/staff; committees/staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function.	Ongoing M&E system functioning and data analysis are integrated into decision- making.
	Constituency Feedback	No feedback from ARCC constituency to evaluations.	Informal channels for ARCC constituency feedback.	Formal channels for ARCC constituency feedback.	Formal mechanisms exist for ARCC constituency feedback but only via surveys and evaluations.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills **ROW RESERVED FOR FUTURE USE**	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence. They may even provide expertise and assistance to outside organizations.
Strategy **ROW RESERVED FOR FUTURE USE**	Human resource development is opportunistic and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Member/staff development is based on needs assessment and an action plan exists. The plan is consistent with ARCC's mission.	Professional development is considered part of overall development of ARCC membership. Staff development is supported by individual career development plans.
Training	Little, or no, training provided.	Training is significant, but is opportunistic in nature.	Training is generally consistent with membership/staff plans, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of membership and individual career development plans.
Mentoring **ROW RESERVED FOR FUTURE USE**	Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into ARCC.	Internal professional support considered important part of each staff person's job.
Motivation **ROW RESERVED FOR FUTURE USE**	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
FINANCIAL RESOURCES					
Aspects Financial Management	**Component Financial Planning**	Budgets are maintained, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	ARCC effectively maintains an annual budget, but is consistently limited by insufficient revenues.	ARCC maintains a multi-year "master" organizational budget and sets realistic financial objectives for future years.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management.	Control is an consistant ARCC management function. Documented procedures facilitate ongoing controls.
	Reporting	Financial reports are incomplete and difficult to understand. ARCC often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are usually submitted on timely basis.	Financial reports are clear and complete, even as funded activities becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the membership.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts ROW RESERVED FOR FUTURE USE	Funds are not separated for different projects within ARCC.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing. All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability / Diversity		Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
External Resources					
Aspect **Public Relations**	**Component** Public Recognition	ARCC little known outside the range of direct beneficiaries.	ARCC is known in the business community, but does little to promote its activities to general public and key decision-makers.	ARCC has contact with key decision makers and has developed some lines of communication with public.	ARCC and its work is well known to public and policy makers. Able to engage government decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	ARCC makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	ARCC begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	ARCC able to gain access to media through formal and informal mechanisms. Exposure of ARCC to media frequent, but not yet strategic.	ARCC uses its established media relationships for frequent and effective public communication. A media strategy exists that supports advocacy campaigns and seeks to make ARCC better known and to foster a broader public awareness in support of the Mission.
Advocacy	Strategic Approach	Advocacy is not pursued by ARCC.	Advocacy occurs, but is opportunistic, sporadic, and not coordinated. Advocacy is not strategic.	Advocacy becomes strategic. ARCC applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	ARCC holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. ARCC uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	ARCC does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	ARCC opportunistically produces and disseminates information to educate and advocate on behalf of constituents, but is unaware of the impact or reception of such information.	ARCC systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate. ARCC has established itself as a credible information source on issue within its	ARCC has a reputation among outsiders who actively seek ARCC's information materials. Information dissemination is fully integrated into advocacy strategic and work plans.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
				area of interest.	
	Mobilizing Constituents	ARCC does not utilize constituents in planning or executing advocacy campaigns.	ARCC contacts its constituent Chambers in setting priorities and executing advocacy plans, as seems appropriate.	ARCC systematically engages all Chambers in setting advocacy priorities and in executing advocacy plans, including technical analysis. ARCC able to mobilize constituents for advocacy campaigns and is responsive to their advocacy priorities.	ARCC has helped Chambers to organize themselves and mobilize others, which they now do without the assistance of the organization.
Ability to work with central and local government		Viewed as "we" versus "they". Little communication. Tension is frequent between government and ARCC.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners. Often the central authorities refer to ARCC for advice.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners. The central government often integrates the ARCCs' recommendations into development plans.
Ability to work with NGOs outside network		ARCC only slightly familiar to broader NGO community. But, ARCC does not have experience working with NGOs outside its network.	ARCC increasingly known and accepted by NGO community. Experience with collaboration limited to specific issues and events.	ARCC works with international or local NGOs, and participates in other NGO networks and coalitions. Networks and coalitions are based on mutual constituency needs.	ARCC plays leadership role in promoting civil society coalitions based on mutual interests. Capable of affecting policy on behalf of civil society.
Network Resources					
Constituency Orientation		ARCC operates in centralized manner with little connection to broader private sector and community consituencies.	ARCC formalizes MOUs with key private sector and community associations.	ARCC and its efforts viewed by private sector and community constituencies as service provided to them.	ARCC membership includes the major private sector organizations in Guyana. Private sector constituency interests are integrated into ARCC's policies and practices.
Chamber Constituent Participation in ARCC		ARCC involves its Chambers only as recipients of the ARCC's program.	ARCC draws on leaders of its Chamber constiuency for advice and mobilization of its members.	ARCC draws on leaders of its Chamber constiuency in planning, implementation and evaluation of organization's events.	Chamber constituency participates fully in planning, implementation, and evaluation. Chambers contributing cash, mat erial, labour, and management to create and maintain

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/ Consolidating	Sustaining
				project results.
Service Delivery	Service delivery to members is supply-driven, often responding to the specifications of donors.	Some constituency input included in determining services. But, type, quantity, and quality of services delivered to members is at the initiative of ARCC. Little monitoring of service quality is undertaken. Chamber input into product design or quality review is opportunistic, if at all.	ARCC makes consistent effort to obtain constiuents' input into determining the appropriate type, quantity and quality of services. Member attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services. ARCC is committed to ongoing process of continuous quality improvement of services provided to constituents.	Services are tailored in response to articulated Chamber preferences and quality is continually monitored through member feedback. Service delivery improvements are made based on this data. Ratings are high.
Active Membership	ARCC is a "membership" organization, but has few members enrolled, relative to the number in its potential target group, given its mission. Of those enrolled, few are active.	ARCC has a reasonable number of members enrolled (relative to their target group). However, fewer than half are current in dues payment, most are not active participants in organizational matters, and many do not identify with ARCC and its mission.	More than 75% of Chamber members are current in dues payments and increasingly identify with ARCC and its mission. They increasingly avail themseleves of services provided by the mission, but rarely contribute time or energy to maintenance and promotion of ARCC. A quorum is always obtained for Annual General Meetings.	All Chamber members are current in dues payments, are active in organizational issues, identify strongly with ARCC's mission. In addition to availing themselves of services of the organization (such as training) a significant number of members provide real thrust to ARCC.

Appendix AII: DRAFT Chamber of Commerce Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Oversight/Vision					
Aspect	**Component**				
Board	Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support the Chamber with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Board members are active in management. Committees have been formed, but still – overall – few members are active.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance the Chamber	Board selected based on initial enthusiasm of founding of the Chamber, not necessarily on its long-term development needs.	Board members' selected more strategically, but most of their skills still do not match growing needs of the Chamber.	Board's skills match needs for the development of the Chamber and have begun to move it forward.	Board members are catlyst for long-term development of the Chamber.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health, or peace.	Mission Statement exists, but is not focused. Diverse portfolio of activities is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with current activities. However, members are not uniformly capable of articulating the Mission Statement. People outside the Chamber may not identify Mission Statement with the Chamber.	Clear Mission Statement. It can be articulated by Board and members (and potentially staff) and is consistent with the Chamber activities.
General Assembly		Members of GA perform their responsibilities formally as stipulated in the statutes/ charter.	Small part of GA members could interpret the Mission and goals of the organization consistently.	Major part of members of GA perceive mission and goals uniformly, are interested in the further development of the organization and participate in the activities	Members of GA actively participate in activities of the organization, support it, are importanat source of information and building up of close relationship between organization and its members.

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Autonomy	The Chamber is the implementing agent of one donor.	The Chamber is able to respond to more than one donor, in discussion with the Board.	The Chamber is able to obtain funding to support its own programs in response to Board direction.	In addition to managerial and financial autonomy, the Chamber is able to successfully advocate and raise funds, on behalf of its consitutencies, to government and donors.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect	**Component**	Management Resources			
Leadership Style	**Board**	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members.	Vision and management ideas increasingly come from Board as Board members work more closely with the Chamber programs.	Virtually all Board members contribute to leadership and development of the Chamber.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to the Chamber. Staff and Executive Director increasingly work as a team	The Chamber would survive without current Executive Director or Chairperson of the Board.
Planning	**Mission/ Overview**	Planning is opportunistic and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation (Executive Director) and Board driven.	The Chamber's Officers provide information for planning but members excluded from decision making.	The participation of members and staff in planning is widened, including contributions to planning decision making.	The Chamber's memberss contribute to planning decisions along with (Executive Director and) Board.
	Resource Implications	Objectives set without assessment of resource requirements, nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, the Chamber does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
The Chamber does not produce workplans for its employees.	Workplans are drafted, but seldom used by management and operations staff			Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Management Resources, continued	**Component**				
Decisions handed down to organization from Executive Director and Chairperson with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members.			Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from Board Chairperson (and Executive Director) without clear decision criteria and little or no feedback from membership.	Management decision criteria used by Board Chair (or Executive Director) generally shared with Board, but other members (or staff) not included in process.	Decision-making is increasingly operationalized to become transparent to members (staff); some participation in actual decisions.	Transparent decision-making process; full participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand role in the Chamber more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communicatio n Flow	Intra-members and staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff or committee meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	The Chamber periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	**Personnel Systems**	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Management Systems continued	Adequate staff resources	No paid staff – all volunteer labor.	Limited paid staff but the Chamber's effectiveness still dependent on voluntary input	Executive Director and professional technical staff working to implement or support the Chamber programs.	Adequate mix of staff resources to implement the Chamber Strategic Plan, includes volunteer and professional paid positions.
Service Delivery		Service delivery to members is supply-driven, often responding to the specifications of donors.	Type and quality of services delivered to members is at the initiative of the organization. However, little monitoring of service quality is undertaken. Member input into product design or quality review is ad hoc, if at all.	The Chamber makes consistent effort to obtain members' input into determining the appropriate type, quantity and quality of services. Members' attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	The Chamber is committed to ongoing process of continuous quality improvement of services provided to members. Services are tailored in response to articulated member preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data.
Member Participation		The Chamber involves its members only as "customers" of the activities identified by staff or the Board.	The Chamber draws on its members for advice and mobilization of energy and resources.	The Chamber draws on its members in planning, implementation and evaluation of activities.	Members participate fully in planning, implementation, and evaluation. Members contributing cash, material, labour, and management to create and maintain project results.
Active Membership		The Chamber is a "membership" organization, but has few members enrolled relative to the number of potential members in its focus community. Of those enrolled, few are active.	The Chamber has a reasonable number of members enrolled (relative to local business community). However, fewer than half are current in dues payment, most are not active participants in organizational matters, and many do not identify with the organization and its mission.	More than half of members are current in dues payments and increasingly identify with the organization and its mission. They increasingly avail themseleves of services provided by the mission, but rarely contribute time or energy to maintenance and promotion of the organization. A quorum is always obtained for General Assembly Meetings.	Most members are current in dues payments, are active in organizational issues, identify strongly with organization's mission. In addition to availing themselves of services of the organization (such as training) a significant number of members provide real thrust to the organization.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
Monitoring and Evaluation	Integrated into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluation are initiated by committees/staff; committees/staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function.	Ongoing M&E system functioning and data analysis are integrated into decision-making.
	Constituency Feedback	No feedback from the Chamber constituency to evaluations.	Informal channels for the Chamber constituency feedback.	Formal channels for the Chamber constituency feedback.	Formal mechanisms exist for the Chamber constituency feedback but only via surveys and evaluations.

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence. they may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is opportunistic and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Member/staff development is based on needs assessment and an action plan exists. The plan is consistent with the Chamber's mission.	Professional development is considered part of overall development of the Chamber membership. Staff development is supported by individual career development plans.
Training	Little, or no, training provided.	Training is significant, but is opportunistic in nature.	Training is generally consistent with membership/staff plans, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of membership and individual career development plans.

Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into the Chamber.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
FINANCIAL RESOURCES					
Aspects **Financial Management**	**Component** Financial Planning	Budgets are maintained, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	The Chamber effectively maintains an annual budget, but is consistently limited by insufficient revenues.	The Chamber maintains a multi-year "master" organizational budget and sets realistic financial objectives for future years.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management.	Control is an consistant the Chamber management function. Documented procedures facilitate ongoing controls.
	Reporting	Financial reports are incomplete and difficult to understand. the Chamber often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are usually submitted on timely basis.	Financial reports are clear and complete, even as funded activities becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the membership.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing. All	All project funds are separated and adequate controls exist to

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
		Chamber.		funds are separated, but occassional cross-project financing occurs.	avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 90% or more from one source.	No single source of funding provides more than 70% of funding.	No single source provides more than 50% of funding.
	Internal Resource Mobilization	Own resource mobilization (including dues, labor, and services) for operational income / special projects is untried or unsuccessful.	Own resource mobilization pursued on an ad hoc, basis.	Own resource mobilization strategy is operational	Own resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is scarce and is dependent on available opportunities.	Funding is available to cover Chamber activities, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All Chamber activities, consistent with its mission, have long-term funding plans and current funds are adequate to meet needs of management plan.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
External Resources					
Aspect **Public Relations**	**Component** Public Recognition	The Chamber little known outside the range of direct beneficiaries.	The Chamber is known in the business community, but does little to promote its activities to general public and key decision-makers.	The Chamber has contact with key decision makers and has developed some lines of communication with public.	The Chamber and its work is well known to public and policy makers. Able to engage government decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	The Chamber makes little use of media, perhaps preferring to maintain a	The Chamber begins to seek out media exposure. Usually based on	The Chamber able to gain access to media through formal and informal mechanisms. Exposure	The Chamber uses its established media relationships for frequent and effective public communication. A media strategy

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
		low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	publicizing specific compartmentalized project events.	of the Chamber to media frequent, but not yet strategic.	exists that supports advocacy campaigns and seeks to make the Chamber better known and to foster a broader public awareness in support of the Mission.
Members/Target Group Orientation		Organization operates in centralized manner with little connection to Members/Target Group.	Organization serves Members/Target Group based on perceptions/ assessment, but without active Members/Target Group involvement.	Members/Target Group input sought for key decisions. Organization and its efforts viewed by Members/Target Group as service provider to Members/Target Group.	Members/Target Groups interests and suggestions fully integrated into organization's policies and practices.
Ability to work with central and local government		Viewed as "we" versus "they". Little communication. Tension is frequent between government and the Chamber.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners. Often the central authorities refer to the Chamber for advice.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners. the central government often integrates the the Chambers' recommendations into development plans.
Ability to work with NGOs outside network		The Chamber only slightly familiar to broader NGO community. But, the Chamber does not have experience working with NGOs outside its network.	The Chamber increasingly known and accepted by NGO community. Experience with collaboration limited to specific issues and events.	The Chamber works with international or local NGOs, and participates in other NGO networks and coalitions. Networks and coalitions are based on mutual constituency needs.	The Chamber plays leadership role in promoting civil society coalitions based on mutual interests. Capable of affecting policy on behalf of civil society.
Advocacy	Strategic Approach	Advocacy is not pursued by the Chamber.	Advocacy occurs, but is opportunistic, sporadic, and not coordinated. Advocacy is not strategic.	Advocacy becomes strategic. the Chamber applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	The Chamber holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. The Chamber uses its plan to guide its actions through the use of advocacy work plans.
	Use of	The Chamber does not proactively produce	The Chamber opportunistically produces	The Chamber systematically integrates information	The Chamber has a reputation among outsiders who actively seek the

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	Research and Information	information for public consumption in advocacy campaigns, other than responding to specific inquiries.	and disseminates information to educate and advocate on behalf of constituents, but is unaware of the impact or reception of such information.	dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate. The Chamber has established itself as a credible information source on issue within its area of interest.	Chamber's information materials. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	The Chamber does not utilize constituents in planning or executing advocacy campaigns.	The Chamber contacts its constituent Chambers in setting priorities and executing advocacy plans, as seems appropriate.	The Chamber systematically engages all Chambers in setting advocacy priorities and in executing advocacy plans, including technical analysis. The Chamber able to mobilize constituents for advocacy campaigns and is responsive to their advocacy priorities.	The Chamber has helped Chambers to organize themselves and mobilize others, which they now do without the assistance of the organization.

Specific Service Delivery Indicators

Appendix BI: ARCC Institutional Development Calculation Sheet (IDCS)

		2-Jun New Amsterdam	4-Jun Linden	ALL ARCC		
Resource Aspect	**Components**	Raw Score	Raw Score	Average ARCC	NEW AMSTERDAM **Comments**	LINDEN **Comments**
Board	Board's Role				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
	Active Board	2.50	2.50	2.50	Good momentum but limited resources raised to date	Functioning committees but need more participation and fund-raising
	Members Advance Org.	1.50	3.00	2.25	Board is representative of the member Chambers but still lacking some skills, e.g. marketing, strategic planning, IT (although some of these should STAFF skills)	Good progress in expanding ARCC, but Board election process does not necessarily provide the best set of attitudes & skills needed on the Board. Limited (voluntary) time and lack of Exec. Director makes Board reactive not proactive.
		2.00	**2.75**	**2.38**		
Mission	Mission	3.00	2.00	2.50	Activities are consistent w/Mission but not all members aware of mission statement	Mission Statement doesn't really guide our activities.
		3.00	**2.00**	**2.50**		
Autonomy	Autonomy	2.50	2.50	2.50	Insufficient funding to support all desired programs	Very self-directed but not yet effective in fund-raising
		2.50	**2.50**	**2.50**		
Leadership	Board	4.00	3.50	3.75		Leadership is committed and not dominated by founding members - Board still needs to be more energized and responsive to changing needs.
Style	Staff Teamwork				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
		4.00	**3.50**	**3.75**		
Planning	Mission/Overview	1.50	1.50	1.50	ARCC has Strat. Plan but needs to be reviewed in terms of achievable goals. Activities are planned/managed thru Quarterly Meetings	Annual objectives exist but lack annual review and long-term (strategic) plan
	Participation	3.00	3.75	3.38	Some participation of members (not just executives) in AGM and Quarterly Meetings	High marks for participation in decision-making but needs more strategic focus.

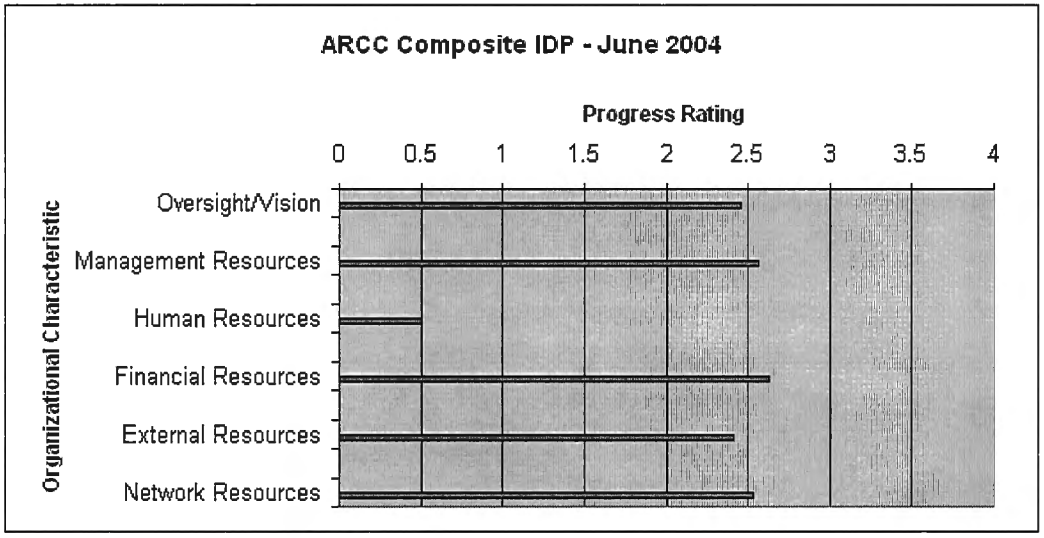
	Resource Implications	2.00	2.00	2.00	Could improve coalition-building opportunities and relationship with governmental organizations	Lack of strategic plan limits us. Some past actions didn't fully consider demographic factors. Lack of resources causes implementation (resource) decisions to be made by individual Chambers.
	Work Plan as Tool				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
		2.17	**2.42**	**2.29**		
Participatory Management	Appropriate Delegation				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
	Transparent Decision-making	3.00	4.00	3.50	Issue with active membership, especially with far-flung Chambers	Very good
	Staff Participation				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
	Communication Flow	2.00	3.50	2.75	Formal channels inadequate due to lack of staffing or facilities (computer, e-mail, fax)	Need to improve tactics for getting information from regions into the newsletter
		2.50	**3.75**	**3.13**		
Management Systems	Personnel Systems				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
	File Systems	2.00	0.50	1.25		Very limited system in Georgetown
	Administrative Procedures				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
	Adequate staff resources	2.00	2.00	2.00	Lack Executive Director and fully functional Secretariat	
		2.00	**1.25**	**1.63**		
M&E Systems	Integration into Decisions	2.00	3.00	2.50	Twice a year evaluation of ARCC conducted by GEO for all Chambers & ARCC	Some evaluation (responsive & good quality) but efforts limited by lack of back-up staff
	Constituency Feedback	1.00	2.00	1.50	Don't collect feedback on semi-annual questionnaire results.	Feedback channels exists but mechanisms to encourage maximization of channels needed
		1.50	**2.50**	**2.00**		
Human Resources	Skills				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
	Strategy				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**

	Training	0.00	1.00	0.50	No training done to date	Geographic distance will be a challenge in extending training to ARCC membership. ARCC needs strengthening in methods of decision and policy-making. Need for training needs assessment.
	Mentoring				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
	Motivation				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
		0.00	**1.00**	**0.50**		
Financial	Planning	2.00	2.00	2.00		More need for effective financial planning, relating plans to projected programs and revenues
Management	Control	3.00	3.00	3.00		We don't compare actuals to budget but we have good systems
	Reporting	4.00	4.00	4.00		
	Audits	4.00	4.00	4.00		
	Separation of Accounts				**ROW RESERVED FOR FUTURE USE**	**ROW RESERVED FOR FUTURE USE**
		3.25	**3.25**	**3.25**		
Financial Vulnerability / Diversity		2.00	2.00	2.00		
		2.00	**2.00**	**2.00**		
Public Relations	Public Recognition	3.50	3.00	3.25	Could be more effective in influencing government policy	ARCC needs to build more respect from policy makers and expand membership.
	Media Strategy	2.50	2.00	2.25	Media exposure could be more frequent	
		3.00	**2.50**	**2.75**		
Advocacy	Strategic Approach	3.00	2.50	2.75		ARCC is better than sporadic and understands well the power environment. But still need to become more strategic AND review experience to learn from it.
	Use of Research/ Information	3.00	2.50	2.75	Need to be better integrated into plans	Business Profiles were an excellent effort and needed to be followed up
	Mobilizing Constituents	3.00	3.50	3.25	Progress still needed in some Chambers	Not been able to get individual Chambers to advocate themselves on a consistent basis
		3.00	**2.83**	**2.92**		
Ability to work with central and local gov't	Ability to work with central and local gov't	2.00	2.00	2.00	Government relations are improving but not yet equal partnership	Relations with local gov't should be reserved local Chambers. Per central gov't - ARCC needs to develop greater collaboration through

						mutual respect
		2.00	**2.00**	**2.00**		
Ability to work with other NGOs	Ability to work with other NGOs	2.00	2.00	2.00	Collaboration not yet regularized	Relationship in the community still needs to be improved - this will come more experience in advocacy on mutual interests
		2.00	**2.00**	**2.00**		
Network Resources	Constituency Orientation	2.00	2.00	2.00	In the MOU process	
	Chamber Constituent Participation in ARCC	2.50	3.25	2.88	Programs not yet fully implemented	Chambers not contributing cash, material and management to create and maintain project results.
	Service Delivery	2.00	2.50	2.25	Members have benefited from services (trips, training opportunities, bus. visits) but service provision is yet to be integrated in a structured way	Plenty more services are needed, mon!
	Active Membership	3.00	3.00	3.00		
		2.38	**2.69**	**2.53**		
Total Placement		**71.50**	**76.00**	**73.75**		
Average Placement		1.63	1.73	1.68		

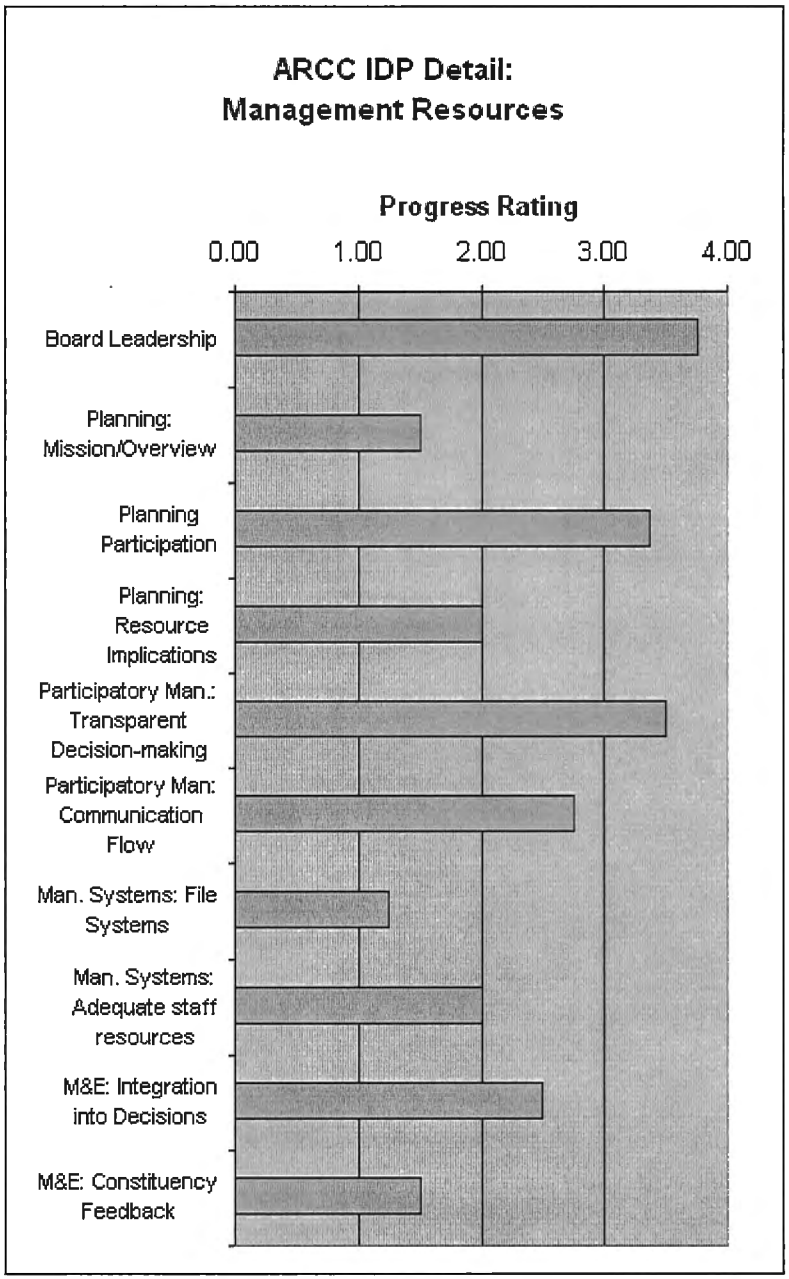
Summary of Average Placement Change, by Resource

Oversight/Vision	2.46
Management Resources	2.56
Human Resources	0.50
Financial Resources	2.63
External Resources	2.42
Network Resources	2.53



IDP Detail: Management Resources

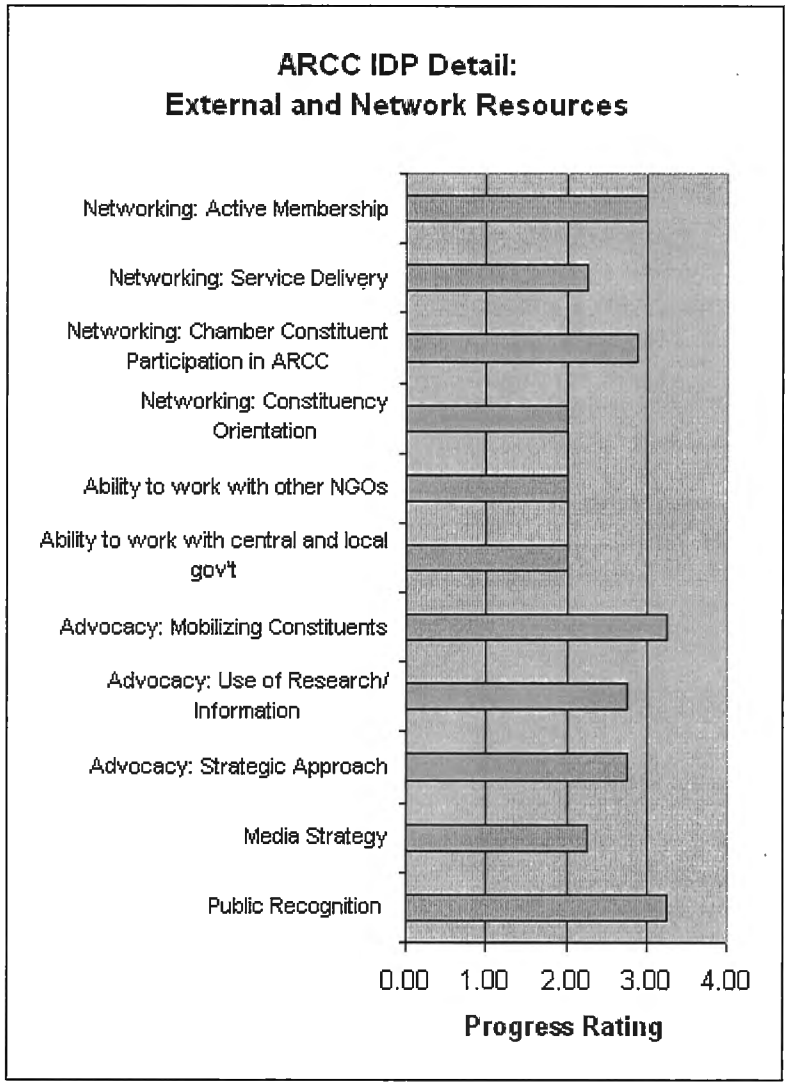
	Combined Score
Board Leadership	3.75
Planning: Mission/Overview	1.50
Planning Participation	3.38
Planning: Resource Implications	2.00
Participatory Man.: Transparent Decision-making	3.50
Participatory Man: Communication Flow	2.75
Man. Systems: File Systems	1.25



Man. Systems: Adequate staff resources	2.00
M&E: Integration into Decisions	2.50
M&E: Constituency Feedback	1.50

IDP Detail: External & Network Resources

	Combined Score
Public Recognition	3.25
Media Strategy	2.25
Advocacy: Strategic Approach	2.75
Advocacy: Use of Research/ Information	2.75
Advocacy: Mobilizing Constituents	3.25
Ability to work with central and local gov't	2.00
Ability to work with other NGOs	2.00
Networking: Constituency Orientation	2.00



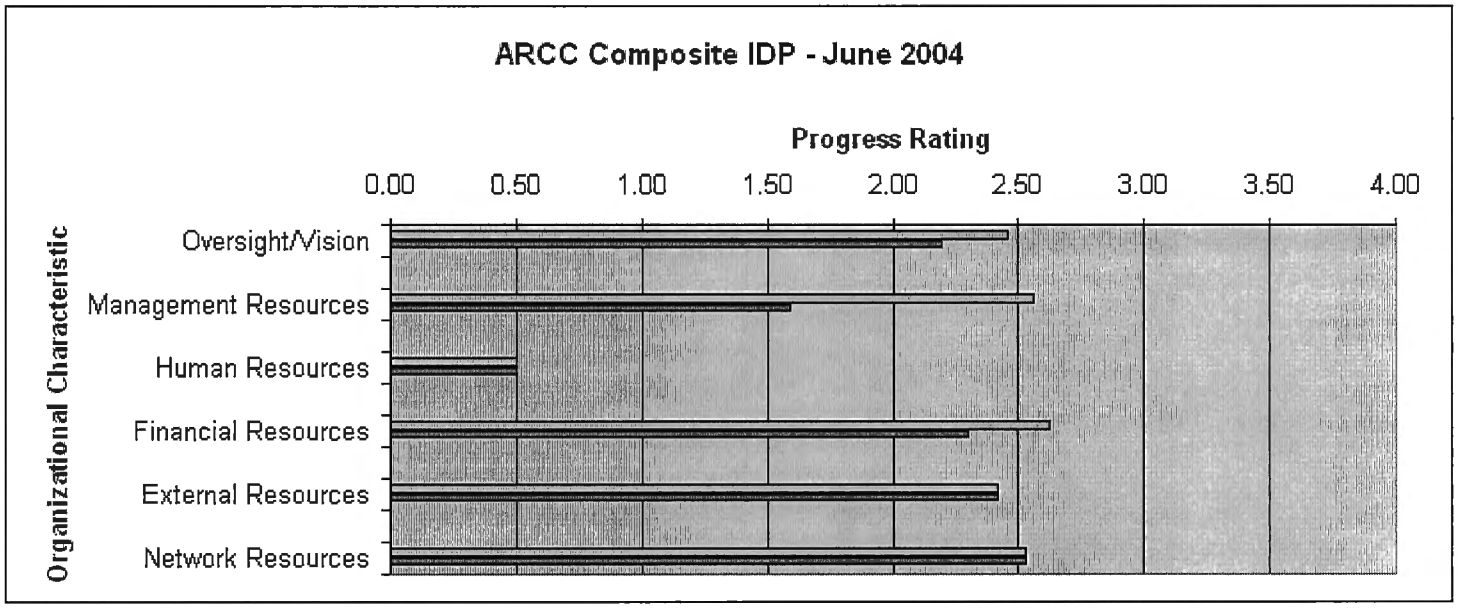
Networking: Chamber Constituent Participation in ARCC	2.88
Networking: Service Delivery	2.25
Networking: Active Membership	3.00

Appendix BII: ARCC Two-Year Institutional Development Calculation Sheet (IDCS)

		2-Jun New Amsterdam	4-Jun Linden	ALL ARCC	Future Assessment in 2005			
Resource Aspect	**Components**	Raw Score	Raw Score	Average ARCC	New Raw Score	Weight 1 = neutral	Adjusted ARCC score	% Change Over time
Board	Board's Role				0.00	1	0.00	0%
	Active Board	2.50	2.50	2.50	2.50	1	2.50	0%
	Members Advance Org.	1.50	3.00	2.25	2.25	1	2.25	0%
		2.00	**2.75**	**2.38**	**1.58**	**1.00**	**1.58**	**0%**
Mission	Mission	3.00	2.00	2.50	2.50	1	2.50	0%
		3.00	**2.00**	**2.50**	**2.50**		**2.50**	**0%**
Autonomy	Autonomy	2.50	2.50	2.50	2.50	1	2.50	0%
		2.50	**2.50**	**2.50**	**2.50**		**2.50**	**0%**
Leadership Style	Board	4.00	3.50	3.75	3.75	1	3.75	0%
	Staff Teamwork				0.00	1	0.00	0%
		4.00	**3.50**	**3.75**	**1.88**	**1.00**	**1.88**	**0%**
Planning	Mission/Overview	1.50	1.50	1.50	1.50	1	1.50	0%
	Participation	3.00	3.75	3.38	3.38	1	3.38	0%
	Resource Implications	2.00	2.00	2.00	2.00	1	2.00	0%
	Work Plan as Tool				0.00	1	0.00	0%
		2.17	**2.42**	**2.29**	**1.72**	**1.00**	**1.72**	**0%**
Participatory Management	Appropriate Delegation				0.00	1	0.00	0%
	Transparent Decision-making	3.00	4.00	3.50	3.50	1	3.50	0%
	Staff Participation				0.00	1	0.00	0%
	Communication Flow	2.00	3.50	2.75	2.75	1	2.75	0%
		2.50	**3.75**	**3.13**	**1.56**	**1.00**	**1.56**	**0%**
Management Systems	Personnel Systems				0.00	1	0.00	0%
	File Systems	2.00	0.50	1.25	1.25	1	1.25	0%
	Administrative				0.00	1	0.00	0%

	Procedures							
	Adequate staff resources	2.00	2.00	2.00	2.00	1	2.00	0%
		2.00	**1.25**	**1.63**	**0.81**	**1.00**	**0.81**	**0%**
M&E Systems	Integration into Decisions	2.00	3.00	2.50	2.50	1	2.50	0%
	Constituency Feedback	1.00	2.00	1.50	1.50	1	1.50	0%
		1.50	**2.50**	**2.00**	**2.00**	**1.00**	**2.00**	**0%**
Human Resources	Skills				0.00	1	0.00	0%
	Strategy				0.00	1	0.00	0%
	Training	0.00	1.00	0.50	0.50	1	0.50	0%
	Mentoring				0.00	1	0.00	0%
	Motivation				0.00	1	0.00	0%
		0.00	**1.00**	**0.50**	**0.10**	**1.00**	**0.10**	**0%**
Financial Management	Planning	2.00	2.00	2.00	2.00	1	2.00	0%
	Control	3.00	3.00	3.00	3.00	1	3.00	0%
	Reporting	4.00	4.00	4.00	4.00	1	4.00	0%
	Audits	4.00	4.00	4.00	4.00	1	4.00	0%
	Separation of Accounts				0.00	1	0.00	0%
		3.25	**3.25**	**3.25**	**2.60**	**1.00**	**2.60**	**0%**
Financial Vulnerability / Diversity		2.00	2.00	2.00	2.00	1	2.00	0%
		2.00	**2.00**	**2.00**	**2.00**		**2.00**	**0%**
Public Relations	Public Recognition	3.50	3.00	3.25	3.25	1	3.25	0%
	Media Strategy	2.50	2.00	2.25	2.25	1	2.25	0%
		3.00	**2.50**	**2.75**	**2.75**	**1.00**	**2.75**	**0%**
Advocacy	Strategic Approach	3.00	2.50	2.75	2.75	1	2.75	0%
	Use of Research/ Information	3.00	2.50	2.75	2.75	1	2.75	0%
	Mobilizing Constituents	3.00	3.50	3.25	3.25	1	3.25	0%
		3.00	**2.83**	**2.92**	**2.92**	**1.00**	**2.92**	**0%**
Ability to work with	Ability to work with	2.00	2.00	2.00	2.00	1	2.00	0%

central and local gov't	central and local gov't							
		2.00	**2.00**	**2.00**	**2.00**		**2.00**	**0%**
Ability to work with other NGOs	Ability to work with other NGOs	2.00	2.00	2.00	2.00	1	2.00	0%
		2.00	**2.00**	**2.00**	**2.00**		**2.00**	**0%**
Network Resources	Constituency Orientation	2.00	2.00	2.00	2.00	1	2.00	0%
	Chamber Constituent Participation in ARCC	2.50	3.25	2.88	2.88	1	2.88	0%
	Service Delivery	2.00	2.50	2.25	2.25	1	2.25	0%
	Active Membership	3.00	3.00	3.00	3.00	1	3.00	0%
		2.38	**2.69**	**2.53**	**2.53**	**1.00**	**2.53**	**0%**
Total Placement		**71.50**	**76.00**	**73.75**	**73.75**		**73.75**	0%
		2-Jun New Amsterdam	4-Jun Linden	ALL ARCC	New Raw Score	Weight 1 = neutral	Adjusted ARCC score	% Change Over time



Appendix C: ARCC Institutional Development Profile (IDP)

	Start-Up	Development	Expansion/ Consolidation	Sustainable
Capabilities				
Oversight/Vision				
Board				
Active Board				
Members Advance ARCC				
Mission				
Autonomy				
Management Resources				
Leadership Style				
Board				
Planning				
Mission/overview				
Participation				
Resource implications				

Participatory Management
Transparent decision-making
Communication flow
Management Systems
File Systems
Adequate Staff
M&E Systems
Human Resources
Training
Financial Resources
Financial Management
Planning
Control
Reporting
Audits
Finan. Vulnerability / Diversity

External Resources
Public Relations
Public Recognition
Media Strategy
Advocacy
Strategic Approach
Use of research & information
Mobilizing constituents
Ability to Work with Central & Local Gov't
Ability to Work with NGOs Outside
Network Resources
Constituency Orientation
Constituent Participation
Service Delivery
Active Membership

Appendix D: ARCC Institutional Improvement Plan

ARCC conducted an institutional self-assessment through a series of Executive Committee and regional meetings in Georgetown, New Amsterdam, and Linden from 2-7 June, 2004. Using the Institutional Development Toolkit, staff from the USG-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the Self-Assessment Report. ARCC analyzed the results to prioritize areas for focused improvement over the next year as follows:

1. Develop a long-term financial plan and determine fund-raising needs in light of organizational objectives.
2. Conduct a participatory planning exercise to develop an ARCC Strategic Plan for 2005-2010.
3. Plan and upgrade ARCC's national-level advocacy agenda.
4. Strengthen the functioning of member Chambers to participate in ARCC activities.

These development priorities were determined in the culminating IDF assessment conducted on 7 June. In reviewing the IDCS and IDP, the Executive Committee identified eight major needs. Careful analysis yielded five major desired changes, of which the four above were considered to be priorities. The first three objectives will be closely related in their execution.

While ARCC has been functioning well on an annual basis for the last three years, itnow needs to conduct more long-range and strategic planning. The first priority – transforming the annual budget into a financial plan – is needed to accomplish the second, ARCC's Strategic Plan. The plan needs to respect the highly participatory and transparent procedures which have come to typify ARCC member relations. The Strategic Plan will cover 2005 to 2010 and integrate Objective 1 (Financial Planning) and Objective 3 (Advocacy Agenda). All but Objective 2 will be achieved with ARCC's own resources. CAP technical assistance will be requested to achieve Objective 2 and this activity will directly support completion of the other three objectives.

The third and fourth priority represent ARCC major comparative advantages – its "value-added" – vis-à-vis its member Chambers. ARCC intends to shore up its weakest Chambers through use of the IDF assessment visits and Executive Committee visits. Chambers will also benefit from integration into the strategic planning exercise (Objective 2). The advocacy planning activity (Objective 3) will seek to complement, not supplant, Chambers' current advocacy. ARCC will primarily focus on identifying national-level issues and offer to support Chamber-level advocacy as requested.

Initial orientation of members of the ARCC Executive Committee (Board), held on Monday 31 May 2004, included:

Name	Title
1. David Subnauth	President Acting ARCC, President, Upper Corentyne Chamber
2. Gyandat Murray	Executive Committee Member ARCC; President, Berbice Chamber
3. Ramdial Bhookmahan	Secretary Ag ARCC, Immediate Past President ARCC
4. Pradeep Bachan	Executive Committee Member ARCC, Secretary, West Berbice Chamber
5. Leonard Forde	Executive Committee Member Linden Chamber, Potential Facilitator - IDF
6. Derrick Cummings	Public Relations Officer ARCC, Vice President, West Demerara Chamber

IDF assessment workshop held in New Amsterdam on 2 June included:

Name	Title
David Subnauth	President Acting ARCC, President, Upper Corentyne Chamber
Abraham Subnauth	Member, Upper Corentyne Chamber
M.A. Noor dean	Member, Upper Corentyne Chamber
Nalini Baldeo	Staff, Upper Corentyne Chamber
Gyandat Marray	President, Berbice Chamber
Ramesh Maraj	Immediate Past President, Berbice Chamber
Elwin Jones	Member, Berbice Chamber
Cosmata Lindie	Staff, Berbice Chamber
Pradeep Bachan	Secretary, West Berbice Chamber
10. R. Ramlochan	Member, West Berbice Chamber
11. Leonard Forde	Member, Linden Chamber
12. Derrick Cummings	Vice President, West Demerara Chamber

IDF assessment workshop held in Linden on 5 June included:

Name	Title
Orin Gordon	Senior Vice President
James Park	Secretary
Kim Ramdaya	Executive Member
Vivienne Monroe	Executive Member
Mortimer Yearwood	Executive Member
Alfred Juliew	Member
Leonard Forde	Member
Derrick Cummings	ARCC PR Officer and Vice President, West Demerara Chamber

Culminating meeting of members of the ARCC Executive Committee (Board) held on 7 June in Georgetown included:

Name	Title
Alfred Ramsarran	President, Rupunini Chamber
David Subnauth	President Acting ARCC, President, Upper Corentyne Chamber
Dr. Fred Sukdeo	Executive Committee Member, West Demerara Chamber
Fazil Ramzan	Member, West Demerara Chamber
Gyandat Marray	Executive Committee Member ARCC; President, Berbice Chamber
Pradeep Bachan	Executive Committee Member ARCC, Secretary, West Berbice Chamber
Derrick Cummings	ARCC PR Officer and Vice President, West Demerara Chamber
Leonard Forde	Member, Linden Chamber
Abraham Subnauth	Member, Upper Corentyne Chamber
Narima Khan	ARCC Administrative Assistant

Planned Improvement Activities

Objective 1: Develop a long-term financial plan and determine fund-raising needs in light of organizational objectives.

Activities	Resources needed	Sources	Completion date
Establish internal team to work with ARCC Treasurer	ARCC Exec. Committee	Internal	June monthly meeting 6/30/04
Conduct current revenue analysis and project future resources of the next five years. Develop firm estimates of costs to: 1. Hire an Executive Director/Executive Secretary and 2. Support logistics to conduct visit to weaker Chambers (in support of Objective 4 below) Determine projected shortfalls. Project fund-raising activities to cover budget shortfall in budget years one and two.	ARCC Exec. Committee	Internal	July monthly meeting 7/28/04
Confirm, schedule and plan fund-raising activities.	ARCC Exec. Committee	Internal	July 2004
Conduct fund-raising.	ARCC Exec. Committee	Internal	Aug – Sept. 2004
Hire Executive Director / Executive Secretary.	ARCC Exec. Committee	Internal	Sept. 2004
Integrate draft financial plan into ARCC's strategic planning exercise (Objective 2 below). Modify the financial plan in light of the Strategic Plan goals and objectives.	ARCC Exec. Committee	Internal	Oct - Nov. 2004
Complete financial projections within the Strategic Plan, assigning budget line time to each specific strategic objectives.	ARCC Exec. Committee	Internal	Nov. 2004

Objective 2: Conduct a participatory planning exercise to develop a ARCC Strategic Plan for 2005-2010.

Activities	Resources needed	Sources	Completion date
Scope out and confirm strategic planning process (disseminate pre-reading, selection of member participants (from each Chamber); schedule events.	CAP Expert strategic planning facilitator & CAP Advocacy Fellow	CAP-MSI	Sept. 2004
ARCC Executive Committee and resource persons collect information on: 1. Chamber interests in terms of advocacy issues and expectations from ARCC. 2. Local donor program goals, objectives and funding levels. Assess status and timing of donor planning process to determine potential funding opportunities.	ARCC Exec. Committee	Internal	Oct 2004
Organize and conduct initial strategic planning retreat: Sessions to include: • Training ("tooling") of ARCC member Chamber in strategic planning techniques. • Review and revision of ARCC mission statement. • Development of draft ARCC strategic objectives and activities. Three types of Strategic Objectives would be possible: 1. ARCC institutional development objectives. 2. Advocacy objectives (prioritized issues and plan).	CAP Expert strategic planning facilitator & CAP Advocacy Fellow	CAP-MSI	Second half of Oct. 2004

3. Chamber strengthening objectives • Integrate draft financial plan. • Identify performance measures and M&E plan.			
Chambers prepare their own strategic plans.	Members	Internal	Nov. 2004
Vet draft ARCC Strategic Plan for Chamber for comments.	ARCC Secretariat	Internal	Nov. 2004
Strategic Planning review and revision workshop: • Chambers present and critique their Strategic Plans. • Assembly revises and finalizes ARCC Strategic Plan.	CAP Consultant & CAP Advocacy Fellow	CAP-MSI	Early Dec. 2004
Vet final draft ARCC Strategic Plan.	ARCC Secretariat	Internal	Dec. 2004
Presentation and ratification of ARCC Strategic Plan (including its Advocacy and Financial Plans) at the Annual General Meeting.	ARCC Executive Committee	Internal	Jan. 2005

Objective 3: Plan and upgrade ARCC's national-level advocacy agenda.			
Activities	Resources needed	Sources	Completion date
Expand and consolidate relationships with other NGOs and the Georgetown COC. Follow up on MOU with the PSC.	ARCC Exec. Committee	Internal	July to Oct. 2004
Assess/evaluate and document past lobbying experience (successes and failures).	CAP Advocacy Fellow	Internal	Sept. 2004
ARCC Executive Committee and resource persons collect information on Chamber interests in terms of advocacy issues and expectations from ARCC.	ARCC Exec. Committee	Internal	Oct 2004
Develop draft advocacy plan, disaggregating Chamber and ARCC responsibilities. Integrate into Strategic Planning exercise (as noted in Objective 2 below).	D. Cummings with CAP training	Internal	Oct. 2004
Identify TA to assemble technical information needed for implementation of ARCC's advocacy agenda, e.g. Studies on Draining & Irrigation. Request donor support to implement appropriate data collection, studies and analysis.	CAP Advocacy Fellow	Local donor projects	Jan. 2005

Objective 4: Strengthen the functioning of member Chambers to participate in ARCC activities			
Activities	Resources needed	Sources	Completion date
Conduct IDF with weakest Chambers (with facilitation assistance from D. Cummings and L. Forde) to facilitate self-assessment of strengths and weaknesses.	IDF Facilitators & ARCC Exec. Committee	Internal	Sept 2004
Provide training in strategic planning (as part of Objective 2).	See Objective 2 above	CAP	Oct. 2004
Review and critique Chamber Strategic Plans .	See Objective 2 above	CAP	Early Dec.2004
Address issues related to intra-Chamber communication flow (IDF identified the need for more regular and consistent channels w/all Chambers).	ARCC Exec. Committee	Internal	Feb. 2004

CAPABLE PARTNERS PROGRAM (CAP)

Action Against Trafficking and Sexual Exploitation of Children

Institutional Self-Assessment and Improvement Process

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

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October 2004

Report on the Action Against Trafficking and Sexual Exploitation of Children - India Institutional Self-Assessment and Improvement Process

October 2004

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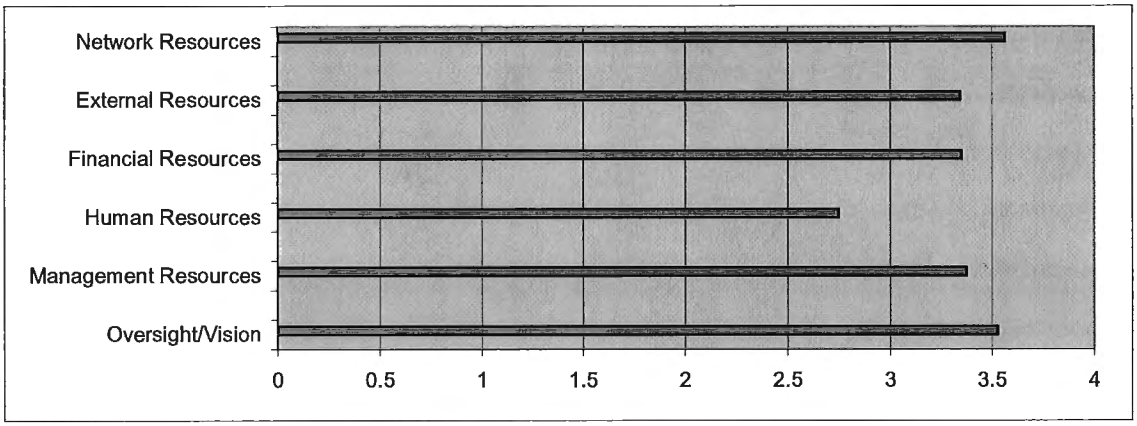
Summary, Findings, and Conclusions

The Action Against Trafficking and Sexual Exploitation of Children (ATSEC) IDF workshop took place in Delhi from 25-27 October 2004. Eighteen participants attended, from state chapters around the country (see list in Section III). It was an opportune time for ATSEC-India to undergo this self-assessment: it anticipated approval of its application to become a legal entity in the weeks following the workshop; it will soon encounter decisions which fundamentally affect its network. The IDF process allowed participants – almost all of whom were Board members – to examine ATSEC's strengths, weaknesses, and operational style. With this knowledge, they will be better able to maintain ATSEC's participatory nature as it grows and formalizes.

USAID initially nominated ATSEC for CAP assistance; UNIFEM paid for all participant travel, per diem, and conference costs. Representatives from USAID and UNIFEM attended the workshop's opening and closing sessions; they underscored the critical nature of this period to ATSEC's development, stressing the current need for both introspection and collective reflection. ATSEC's new status will provide the impetus for more formal relationships between the national and state chapters, and will allow ATSEC to raise and manage its own funding more effectively.

ATSEC scored very high on most elements of the IDF (See Figure 1). Given the significant representation of membership from chapters all over the country, and the facilitator's insistence on honesty and consensus in the scoring, there is little reason to believe that the scores are inflated. In the discussions which followed the scoring, members confirmed that investments in human resources are largely informal, though nonetheless strong (i.e. consistent feedback, appreciation, and a spirit of collaboration), and noted that many involved with ATSEC are volunteers and members, not paid staff. ATSEC chapters also rely on the resources of its NGO members and need their own offices and more paid staff. The IDF does not capture the network's level of basic infrastructure and resources (though a "profile" section is being developed), but rather how well the organization functions. Given the commitment and experience of its leadership and members, ATSEC can certainly continue to govern effectively and weather its upcoming transformation.

Figure 1: ATSEC Institutional Development Profile, Summary by Resource Area



Members agreed ATSEC should continually reflect on how its growth and formalization impact its operations; they agreed also that the IDF tool would effectively monitor how well the organization acts on its core values. They appreciate knowing that they have a strong foundation from which to work.

Background

ATSEC-India, begun in 1999, is committed to protecting women and children country-wide. Its activities cover a broad range of needed interventions: training for policy makers, the police, judicial officers, counselors, the media, and NGOs. ATSEC conducts advocacy campaigns at the national and state levels, and is often involved in policy change and implementation. ATSEC chapters do a significant amount of awareness building at the community-level; its members provide legal services to victims, arrange rescue missions, and work with all necessary government entities on rehabilitating and repatriating rescued victims.

Programmatic assistance to ATSEC is provided by grants from USAID, UNIFEM, UNICEF, UNDP, and OXFAM. ATSEC-India currently has one national chapter and nineteen (soon to be twenty-four) state chapters, scattered around the country. ATSEC-India also crafts and participates in sub-regional programs with ATSEC chapters in Nepal and Bangladesh; efforts are underway to catalyze ATSEC chapters in Sri Lanka and Pakistan. ATSEC's annual budget is approximately 1,600,000 rupees (≈$36,400). State chapter programs vary widely in their scope. Although they participate in regional activities funded by the national chapter, the state chapters raise their own additional funds and manage their own budgets. Some chapters collect dues from individual members and member NGOs; the latter provide in-kind support, including office space and staff time.

In 2003, ATSEC-India was nominated by USAID/India to participate in the USAID-funded Capable Partners Program's (CAP) Global Core Initiative (GCI) in Advocacy. CAP's institutional support complements ATSEC-India's prior training in advocacy. This document reports on the first stage of that assistance: a participatory self-assessment of ATSEC-India, resulting in an Institutional Improvement Plan that addresses areas that the assessment indicated require urgent attention. ATSEC-India will then present this plan to its members, to CAP, and to other donors for funding, and use it for the basis for its next steps.

Process

ATSEC's IDF workshop focused on the national chapter (rather than individual state chapters). Most participants were State Coordinators and ATSEC Board members, and had significant experience and decision-making power in the network.

Name	Title
Dr. Sreelekha Ray	Board Member, State Coordinator for Tripura
Dr. Shoba Mishra	State Coordinator for Haryana
Roma Debabrata	State Coordinator for Delhi
Vithika	Volunteer for ATSEC Delhi Chapter
Sanjay Mishra	Board Member, State Coordinator for Jharkhand
S.M. Farooque	Board Treasurer, State Coordinator for Orissa
K.V. Stanly	Board Member, General Coordinator for the South, State Coordinator for Karnataka

Tapan Bhattacharya	Board Member, State Coordinator for Madaya Pradesh
Maitri Chakraborti	Program Officer for West Bengal
Kalpana Bezboruah	Chairperson of the Board, State Coordinator for Assam
D. Mercy	Program Officer for Tamil Nadu
Mhalo Odyuo	ATSEC – Nagaland
A.G. Kharbhih	Program Officer for Meghalaya
V.P. Balodi	Vice Chairperson of the Board, State Coordinator for Uttaranchal
Y.K. Gautam	Vice Chairperson of the Board, General Coordinator for the East, State Coordinator for Bihar
Ravi Narayan	Member, Delhi Chapter
M.S. Sekhar	Member, Tamil Nadu
Jayanti Chakraborty	Program Officer, National Chapter
Manabendra Mandal	Board Member, National Coordinator

The workshop began with an overview of the IDF principles and process, elaborating on the preparation article which participants had read. Participants were introduced to the IDF matrix and discussed how it should be adapted to ATSEC. Split into small groups, participants then reviewed each row of the IDF, modified it to suit their circumstances and vision for the future (while maintaining the scale's integrity), and assessed their progress along the development continuum. The small groups shared their individual scores and in consensus decided on the score to be recorded on the Institutional Development Calculation Sheet (IDCS), along with any comments. This process was repeated, with different groups.

Changes to the IDF were few. The group redefined "staff" to reflect ATSEC's largely voluntary nature and specified that the Board does not have a fundraising function: it is largely comprised of State Coordinators, who fundraise for their own chapters. ATSEC instead provides technical assistance and in-kind resources. This revised matrix can be found in *Appendix A*. Participants graphed the IDF scores using the IDCS and Institutional Development Profile (IDP), which may be found in *Appendices B and C*, respectively.

Assessment Results

After reflecting on these results, the participants prioritized each element of the IDF, using a five point scale ranging from "makes or breaks the network" to "not significant at this time". A graph was created, charting score and priority, resulting in a quadrant of areas that were essential to the network's survival:

- Network resources – State Chapter Participation
- Human Resources – Motivation
- Human Resources – Strategy
- Human Resources – Training
- External Resources – Advocacy

To verify and elaborate on these results, participants brainstormed in plenary on ATSEC's strengths and weaknesses. The following are the results:

Strengths:

- Work as a body, democratic/participatory in nature (including decision-making)
- Visible, known – South Asia's largest network
- Strong, active partners
- Extensive experience
- Comprehensive understanding of trafficking
- Good leadership
- Transparency in information sharing
- Many projects/high impact despite little money
- Linkages with UN and other international and national agencies, government, communities and people's movements

Weaknesses

- Legally not registered as yet (in progress)
- Programming affected by insufficient funding
- Constitution not effectively followed by all state chapters
- Untapped human resources (training programs needed)
- Lack of equipped office (national and state chapters) and paid staff
- Lack of regional resource centers
- Some communication gaps in network (infrastructure issues, interpersonal issues)

Discussion ensued, taking into account both the four priority areas and the results of the brainstorming, and resulted in a list of possible interventions:

Advocacy:

- Sensitization of source areas
- Media highly sensitized about trafficking and ATSEC work
- National media center established
- Having national policy domestic servitude – within one year
- Better linkages with law enforcement agencies

Internal HCD:

- Staff motivation level is high
- All states have ATSEC chapters
- Empowerment of staff and members (M&E, communication skills, financial management, staff welfare)

Information and Communication:

- Five resource centers and one national research and documentation center established.
- Strong network communication among members
- Development of good Web site, including information from state chapters
- Setting up equipped national office with meeting office and guest room

Improvement Plan

Participants each chose one of the three themes above and worked in groups to brainstorm and develop action plans, keeping in mind the four priority areas which the IDF process indicated were in need of attention. The resulting plans included capacity building and programs which reinforce strategic planning exercises ATSEC has previously undertaken:

1. Increase motivation of staff, members, and volunteers
2. Increase sensitization of target stakeholders
3. Establish an effective internal and external communication system for ATSEC

These plans have quite broad scopes: several initial steps (listed below) need to be taken for them to be realized. These steps are being proposed to CAP for future assistance; though individually specific, they share obvious synergies.

- Step 1: A training-of-trainers (TOT) session for no less than ten ATSEC State Coordinators who participated in the October IDF workshop. Upon completion, the State Coordinators will conduct assessments with all ATSEC chapters, Supplementing the IDF toolkit with a template on service delivery so that each chapter's work can be assessed and compared across states. ATSEC will benefit from commonly establishing its approach to capacity building: it will be better able to plan activities that strengthen the entire network, based on real needs. After conducting the assessments, the members will gather at a Board meeting to present the results and create an overall ATSEC action plan, which will guide future fundraising efforts.

- Step 2: Assistance in developing a strategy for building the skills of our National Chapter staff (a target of the recently completed IDF exercise). Specific skill gaps which need to be addressed: financial management, Advisory Board training, and fundraising.

- Step 3: Assistance in improving the network's information-sharing and communication by further developing its Website: adding current events and State chapter information and exploring specific networking tools which will better facilitate communication among members. These tools should complement ATSEC's existing strategy that includes both electronic and non-electronic communication and use of the NGOConnect Web site (due to begin November 2004).

At the workshop's end, a summary of the process and results were outlined for USAID and UNIFEM and participants were given a diskette with the workshop materials: the revised IDF matrix, completed IDCS and IDP, the workshop agenda, and the IDF presentation and article.

Capacity to Conduct Follow-on IDF Assessment

The IDF workshop for ATSEC should have included a training-of-trainers (TOT) component. Nevertheless, the participants are reasonably confident of their ability to repeat the IDF process, as the evaluation results show. Their assurance likely stems from discussions held at the beginning and end of the workshop about the participatory methods used to conduct the IDF, the tools, the process, and the applicability of the IDF to ATSEC chapters and member NGOs.

Next Steps

After the workshop's second day, the Board members present (a majority) agreed that the next steps, to be elaborated by the conclusion of the workshop, should be submitted to CAP immediately. They concurred that the process was good and the results would accurately reflect network needs.

When next applying the IDF, ATSEC-India should use the same IDCS: it is formatted for such comparison. The raw score reflects the IDF placement; participants also assigned a weight to each element, based on its determined priority. In measuring progress in one year's time, comparisons must be made against this weighted score. CAP is interested in overall percentage change in weighted score (weighted score for this assessment = 432.50) because it provides greater credit for improvements in areas that are of greater priority. Please note, however, that the IDP should be based on the raw score only.

Workshop Rating

Overall, participant satisfaction with the workshop was high, as shown by the evaluation results in the table below.

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	4.94
2. How useful to you was the assessment of your network's institutional capacity?	4.69
3. How do you rate the facilitator's ability to explain and communicate clearly?	4.88
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.81
5. How do you rate the facilitator's facilitation technique and skills?	5.00
6. How clearly do you now understand your network's institutional strengthening needs?	4.00
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3.35
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4.59
Composite average for all Questions:	4.53

One participant reflected that the IDF process is "an intelligent way of looking critically at ourselves", and another noted that she learned a lot about how to train others using participatory methods, while still keeping control of the room. Overall, the participants, and donor representatives who attended the closing session, deemed the workshop very useful. ATSEC members look forward to working with CAP on the next steps as outlined above.

Several notable comments about possible improvements to the workshop included:

- The aspect and components of the IDF template are OK but criteria for each progressive stage need to be NGO-related.
- The facilitator was task-oriented and had ample technical knowledge. However the session was very theoretical and would have been more effective if the participants were engaged in practical learning.
- More time needed. (3 responses to this effect)
- It was quite exhaustive and intensive; nothing was left out.
- It should be "right-based" for improvement. The things should be more precise according to participants' need.
- "Living case studies" should have been presented during the workshop.
- The structure of the organization should be studied first so that the terms used would be appropriate. The terms "national" and "state" were mixed up many times.
- A follow-up workshop should be held
- The workshop should have included a few ice-breaker (games/exercises)
- The workshop on Institutional Development Framework arranged by ATSEC is highly informative and functional towards the activities we are doing. Thanks to our National Coordinator for this attempt.
- The CAP Institutional Development Program proved to be a timely as well as very effective program. I learnt a lot. I hope it will help me in my work as a manager.
- Very informative IDF program but need some modification related to NGO sector.
- I like it, the technical input and the information I gained through this training was adequate. It is really a wonderful opportunity me to attend the training. I would like to suggest that in between the session, if we had some exercise we could not have felt exhausted
- The workshop on IDF was excellent in a manner that it was very participative and Zoey made us work hard throughout.
- The workshop is extremely useful for understanding the development process of ATSEC-India as well as our own organization. This was very systematic.
- Workshop is fruitful to all of us. The technical procedure of training workshop is very good. We learned a lot of things about management and planning for our network
- Training workshop gave us fruitful knowledge about management and proposal development to our network. We need this type of workshop from time to time.
- I have learned management information system very clearly. First time I met with all ATSEC Coordinators. Previously I didn't have a clear idea about ATSEC-India's activities. But now it is very transparent to me and I would like to implement all of these according to best of my ability.
- I am happy to get this opportunity. I wish to join this kind of workshop again.
- The workshop was marvelous. It was unique and a different one all together. Thanks to Ms. Zoey. She made us to work hard on a serious subject but in a joyful manner.
- It was an intelligent way to look at ourselves. It is useful to us individually to improve our own organizational capacities. Thanks to UNIFEM and ATSEC-India.
- These three days of training have been an eye opener in many ways. One word for it is – "wonderful".

Appendix A: ATSEC Institutional Development Framework (IDF)

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Oversight/Vision					
Aspect	**Component**				
Board	Board's Role	Roles of Board members and the relationship of Board members to the National Coordinator are unclear.	Board members understand their role and how to relate to National Coordinator. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with National Coordinator and Board members formulate policies and strategic plan for development.	Board Members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members provide chapters with technical assistance and assist in raising resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate technical assistance and other resources provided by Board.	Significant technical assistance provided and resources raised by Board. Most members of Board are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development needs.	Board members' selected more strategically, but most of their skills still do not match growing needs of organization.	Board's skills match needs of the developing organization and begin to move it forward.	Board members are catalysts for long-term development of organization.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Mission	No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health, or peace.	Mission Statement exists, but is not focused. Diverse portfolio of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with portfolio. However, key staff/members /volunteers are not uniformly capable of articulating the Mission Statement. People outside organization may not identify Mission Statement with the organization.	Clear Mission Statement. It can be articulated by Board and key staff/members /volunteers and is consistent with portfolio. Outsiders identify the same mission with the organization.
Autonomy	Organization is able to respond to more than one donor and the organization's Board.	Organization is able to obtain funding to support its program, in consultation with the Board.	In addition to managerial and financial autonomy, organization is able to successfully advocate and raise funds, on behalf of its NGO consitutency, to government, donors, and private sector.	

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
MANAGEMENT RESOURCES					
Aspect **Leadership Style**	**Component** Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members.	Vision and management ideas increasingly come from Board as Board members work more closely with the organization.	Virtually all Board members contribute to leadership and development of the organization.
	State Coordinator Teamwork	State Coordinators provide technical input only. Decisions taken by core founder(s).	One or two State Coordinators provide organizational impetus, in addition to National Coordinator	State Coordinators increasingly provide vital drive to organization. State Coordinators and National Coordinator increasingly work as a team.	Organization would survive without current National Coordinator or Chairperson of the Board.
Planning	Mission/ Overview	Planning is opportunistic and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, National Coordinator, and Board driven.	The participation of State chapters in planning is widened, including chapter contributions to decision making.	State chapters are fully involved in planning but NGO members are excluded from the decision making.	State chapters and NGO members contribute to planning decisions along with National Coordinator and Board.
	Resource Implications	Objectives set without assessment of resource requirements, nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from National Coordinator and	Most management decisions taken by National Coordinator and Board.	Management decisions increasingly delegated to State Board members, as appropriate.	Management decisions delegated to appropriate level of the organization.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
		Chairperson with little or no feedback.	Some input from one or two key staff/members /volunteers.		
	Transparent Decision-Making	Decisions handed down to organization from National Coordinator without clear decision criteria and little or no feedback.	Management decision criteria used by National Coordinator generally shared with Board, but other key staff/members /volunteers not included in process.	Decision-making is increasingly operationalized to become transparent to key staff/members /volunteers; some key staff/members /volunteers participation in actual decisions.	Transparent decision-making process; key staff/members/volunteers participation in relevant decisions.
	Key staff/members /volunteers Participation	Key staff/member/volunteer roles and responsibilities unclear and changeable.	Key staff/member/volunteer roles better understood, but appropriate avenues for participation not always clear.	Key staff/members/volunteers understand role in organization more clearly and how to participate in management.	Key staff/members/volunteers increasingly able to shape the way in which they participate in management.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Monitoring and Evaluation	Integrated into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are	Occasional evaluations are undertaken, usually at request of donor and	Evaluations are initiated by staff/members/volunteers; staff/members/volunteers are	Ongoing M&E system functioning and data analysis are integrated into

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
		used.	implemented by outsiders.	increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	decision- making.
	State Chapter Feedback	No feedback from State chapters.	Informal channels for State chapters feedback.	Formal mechanisms exist for State chapters feedback but only via surveys and evaluations.	Continuous feedback and input from State chapters.

Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with key staff/members /volunteers and external experts.	All skills areas are covered and staff/external experts are recognized for excellence. They may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is opportunistic and based on emerging opportunities.	General direction provided for staff/member/volunteer development, but it is short-term and project based.	Staff/member/volunteer development is based on needs assessment and an action plan exists. The plan is consistent with network's mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training	Little, or no, training provided.	Training is significant, but is opportunistic in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff/members/volunteers receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's /member's/volunteer's job.
Motivation	Little or no recognition of staff/members/volunteers performance. "Burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Staff/members/volunteers participate in objective setting and know what is expected of them.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
FINANCIAL RESOURCES					
Aspects **Financial Management**	**Components** Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by-project basis, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Own Resource Mobilization	Own resource mobilization (including dues, labor, and services) for operational income is untried or unsuccessful.	Own resource mobilization pursued on an ad hoc, basis.	Own resource mobilization strategy is operational	Own resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is available to cover immediate project activities only, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
EXTERNAL RESOURCES					
Aspect **Public Relations**	**Component** Public Recognition	Network little known outside the range of its donors and direct beneficiaries.	Network is known in its own community, but does little to promote its activities to general public and key decision-makers.	Network has contact with key decision makers and has developed some lines of communication with public.	Network and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	Network makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Network begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Network able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Network uses its established media relationships for frequent and effective public communication. A media strategy exists that supports advocacy campaigns and seeks to make the network better known and to foster a broader public awareness in support of the Mission.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect **Advocacy**	**Component** Strategic Approach	Advocacy is not pursued by the network.	Advocacy occurs, but is opportunistic, sporadic, and not coordinated. Advocacy is not strategic.	Advocacy becomes strategic. Network applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	Network holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Network uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Network does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Network opportunistically produces and disseminates information to educate and advocate on behalf of constituents, but is unaware of the impact or reception of such information.	Network systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Network has established itself as a credible information source on issue within its area of interest. It has a reputation among outsiders who actively seek the network's information materials. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Network does not utilize member NGOs in planning or executing advocacy campaigns.	Network contacts one or more member NGOs in setting priorities and executing advocacy plans, as seems appropriate.	Network systematically engages member NGOs in setting advocacy priorities and in executing advocacy plans, including technical analysis. Network is able to mobilize member NGOs for advocacy campaigns and is responsive to their advocacy priorities.	Network has helped member NGOs to organize themselves and mobilize others, which they now do without the assistance of the organization.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/Consolidating	Sustaining
Ability to work with central and local government	Viewed as "we", "they". Little communication. Tension is frequent between government and network.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners. Often the central authorities refer to network for advice.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners. The central government often integrates the networks' recommendations into development plans.
Ability to work with NGOs outside network	Network only slightly known and trusted by broader NGO community. But, organization does not have experience working with NGOs outside its network.	Network increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements.	Network works with international or local NGOs, and participates in other NGO networks and coalitions.	Network plays leadership role in promoting situational coalitions. Capable of helping to resolve NGO-NGO or NGO-Govt conflict, and of affecting policy of common interest.

NETWORK RESOURCES				
Constituency Orientation	Network operates in centralized manner with little connection to State chapters and member NGOs interests.	Network serves State chapters and member NGOs based on perceptions/assessment, but without active member NGO involvement.	State chapters and member NGOs input sought for key decisions. Network and its efforts viewed by member NGOs as service provided to them.	State chapters and member NGOs interests are integrated into national chapter's policies and practices.
State Chapter Participation in Organization	Network involves its State chapters only as recipients of the network's program.	Network draws on leaders of its State chapters for advice and mobilization of its members.	Network draws on leaders of its State chapters in planning, implementation and evaluation of organization's events.	State chapters participate fully in planning, implementation, and evaluation. State chapters contribute cash, material, labour, and management to create and maintain project results.
Service Delivery	Service delivery to member NGOs is supply-driven, often responding to the specifications of donors.	Some member NGOs input included in determining services. But, type, quantity, and quality of services delivered to member NGOs is at the initiative of the network. Little monitoring of service quality is undertaken. Customer input into product design or quality review is opportunistic, if at all.	Network makes consistent effort to obtain member NGOs' input into determining the appropriate type, quantity and quality of services. Member NGOs' attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Network is committed to ongoing process of continuous quality improvement of services provided to member NGOs. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data. Constituent ratings are high.
Active Membership	Network is a "membership" organization, but has few members enrolled, relative to the number in its potential target group, given its mission. Of those enrolled, few are active.	Network has a reasonable number of members enrolled (relative to their target group). However, fewer than half are current in dues payment, most are not active participants in network matters, and many do not identify with the network and its mission.	More than half of members are current in dues payments and increasingly identify with the network and its mission. They increasingly avail themseleves of services provided by the mission, but rarely contribute time or energy to maintenance and promotion of the network. A quorum is always obtained for Annual General Meetings.	Most members are current in dues payments, are active in network issues, identify strongly with network's mission. In addition to availing themselves of services of the network (such as training) a significant number of members provide real thrust to the network.
SPECIFIC SERVICE DELIVERY INDICATORS				

Appendix B: ATSEC Institutional Development Calculation Sheet (IDCS)

		Oct-04			INSERT DATE			
Resource Aspect	**Key Components**	Raw Score	Weight	Adj. Score	Raw Score	Adj. Score	Change Over Time	**Comments**
Board	Board's Role	3.25	3.00	9.75		0.00	-10	Some Board members are better at lobbying and making linkages than others. One general member prefers a score of 2.75.
	Active Board	3.00	3.00	9.00		0.00	-9	"Resources" is not exclusive of financial resources, includes in-kind and technical support. Present Board was formed in Oct 2003. Board members are also State Chapter Coordinators and members of specific NGOs which causes some confusion.
	Members Advance Org.	3.00	3.00	4.00		0.00	-4	Individuals have experience mobilizing organizations in their states, expertise in the field, expertise recognized by govt and others.
		3.08			**0.00**			
Mission	Mission	3.50	3.00	10.50		0.00	-11	ATSEC is recognized by govt and major donors and UN organizations as a leader in the sector, but still room for improvement.
		3.50			**0.00**			
Autonomy	Autonomy	4.00	3.00	12.00		0.00	-12	
		4.00			**0.00**		-12	
Leadership Style	Board	3.75	4.00	15.00		0.00	-15	Majority but not all Board members contribute to leadership.
	Staff Teamwork	3.00	4.00	12.00		0.00	-12	
		3.38			**0.00**			
Planning	Mission/Overview	2.50	3.00	7.50		0.00	-8	Annual plans keep in mind the mission statement.
	Participation	3.50	3.00	10.50		0.00	-11	NGO members are not involved directly.
	Resource Implications	3.50	3.00	10.50		0.00	-11	Not always able to make "accurate resource allocations" because reliant on donor processes.
	Work Plan as Tool	4.00	3.00	12.00		0.00	-12	
		3.38			**0.00**			
Participatory Management	Appropriate Delegation	3.50	3.50	12.25		0.00	-12	Not complete for every State chapter.
	Transparent	4.00	3.50	14.00		0.00	-14	

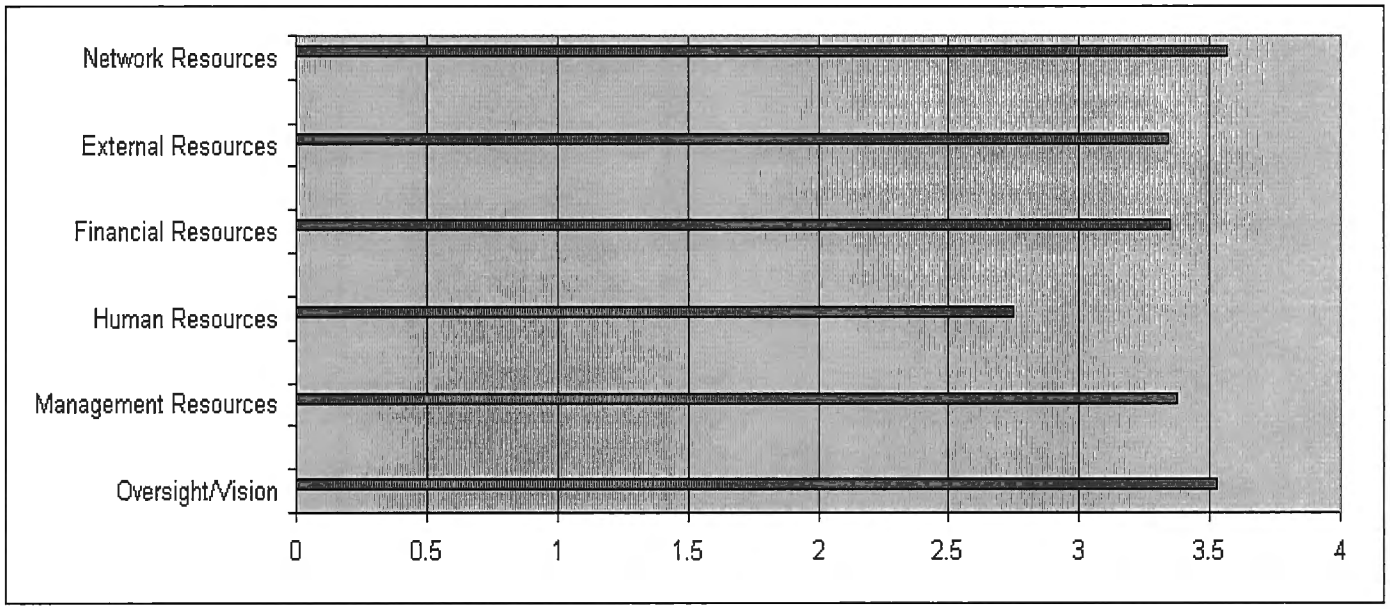
	Decision-making							
	Staff Participation	3.00	3.50	10.50		0.00	-11	
	Communication Flow	3.50	3.50	12.25		0.00	-12	Not always two-way flow: sometimes State chapter communication is delayed due to technical difficulties and financial constraints.
		3.50			**0.00**			
Management Systems	Personnel Systems	3.00	2.00	6.00		0.00	-6	
	File Systems	4.00	2.00	8.00		0.00	-8	
	Administrative Procedures	2.00	2.00	4.00		0.00	-4	This suits the needs of the current size of ATSEC.
		3.00			**0.00**			
M&E Systems	Integration into Decisions	3.25	3.00	9.75		0.00	-10	Some results used for decision-making.
	State Chapter Feedback	4.00	3.00	12.00		0.00	-12	Through the State chapters.
		3.63			**0.00**			
Human Resources	Skills	3.50	2.00	7.00		0.00	-7	Skills include fundraising, legal support, capacity bldg, advocacy, identifying problems, psycho-social counseling. Some chapters lack some skill needs.
	Strategy	2.50	3.00	7.50		0.00	-8	Needs assessment is also happening.
	Training	2.75	2.00	5.50		0.00	-6	Still very opportunistic in the training received.
	Mentoring	3.00	1.00	3.00		0.00	-3	
	Motivation	2.00	3.00	6.00			-6	Informal recognition frequent.
		2.75			**0.00**			
Financial Management	Planning	2.00	3.00	6.00		0.00	-6	
	Control	4.00	3.00	12.00		0.00	-12	
	Reporting	3.75	3.00	11.25		0.00	-11	Budgets are available to concerned public, but not general public.
	Audits	4.00	3.00	12.00		0.00	-12	Always an external auditor, done annually according to statutory requirement.
	Separation of Accounts	4.00	3.00	12.00		0.00	-12	
		3.55			**0.00**			
Financial	Funding Diversity	4.00	4.00	16.00		0.00	-16	

Vulnerability	Local Resource Mobilization	3.00	4.00	12.00		0.00	-12	
		3.50		0.00	**0.00**			
Financial Viability	Financial Viability	3.00	3.00	9.00		0.00	-9	Medium-term funding reliant on donor decisions and timing.
		3.00			**0.00**			
Public Relations	Public Recognition	3.50	2.50	8.75		0.00	-9	Some public not aware.
	Media Strategy	3.75	2.50	9.38		0.00	-9	Need more media advocacy, especially rural media (source areas).
		3.63			**0.00**			
Advocacy	Strategic Approach	2.25	3.00	6.75		0.00	-7	Plan exists, created at meeting in Darjeeling, but not implemented because of (mostly financial) constraints.
	Use of Research/Info	2.50	3.00	7.50		0.00	-8	Regularly, not systematically. Some awareness about the impact of advocacy activities. Some cases where ATSEC information is being recognized in national and international research circles.
	Mobilizing Constituents	3.50	3.00	10.50		0.00	-11	No formal system, no resources (just moral support); only supporting state and zonal levels.
		2.75			**0.00**			
Ability to work with central and local gov't	Ability to work with central and local gov't	3.50	3.00	10.50		0.00	-11	Central govt does not integrate recommendations.
		3.50			**0.00**			
Ability to work with other NGOs	Ability to work with other NGOs	3.50	2.00	7.00		0.00	-7	Have not yet had to do conflict resolution.
		3.50			**0.00**			
Network Resources	Constituency Orientation	4.00	3.00	12.00		0.00	-12	
	State Chapter Participation	3.00	4.00	12.00		0.00	-12	
	Service Delivery	3.25	3.50	11.38		0.00	-11	Services are not yet responsive to NGO member feedback (feedback often but not always collected).
	Active Membership	4.00	4.00	16.00		0.00	-16	State chapters decide on what dues--if any--are collected. Still being developed on the national level.
		3.56			**0.00**			
Total Placement		**145.50**		432.50	**0.00**	0.00	-432.50	

Average Placement	3.30682		0	0

Summary of Average Placement Change, by Resource

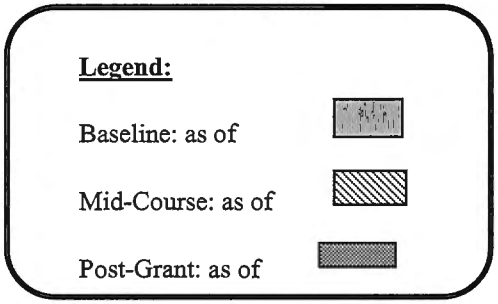
Oversight/Vision	3.53	0.00
Management Resources	3.38	0.00
Human Resources	2.75	0.00
Financial Resources	3.35	0.00
External Resources	3.34	0.00
Network Resources	3.56	0.00



Appendix C: ATSEC Institutional Development Profile (IDP)

	Start-Up	Development	Expansion/ Consolidation	Sustainable
Capabilities				
Oversight/Vision				
Board				
Mission				
Autonomy				
Management Resources				
Leadership Style				
Planning				
Participatory Management				
Management Systems				
M&E Systems				
Human Resources				
Skills				
Strategy				
Training				
Mentoring				
Motivation				
Financial Resources				
Financial Management				

Financial Vulnerability
Financial Viability
External Resources
Public Relations
Advocacy
Ability to Work with Central & Local Gov't
Ability to Work with NGOs Outside Network
Network Resources
Constituency Orientation
State Chapter Participation
Service Delivery
Active Membership


Legend:
Baseline: as of
Mid-Course: as of
Post-Grant: as of

Appendix D: ATSEC Institutional Improvement Plan

ATSEC-India conducted an institutional self-assessment at the Indian Habitat Centre from 25-27 October 2004. The IDF toolkit was used for this process, which was facilitated by staff from the USAID-funded Capable Partners Program (CAP). The results of the assessment are summarized in the attached report. ATSEC-India analyzed the results to prioritize areas for focused improvement over the next year, as follows:

1. Increase Motivation of Staff, Members, and Volunteers
2. Increased Sensitization of Target Stakeholders
3. Establish an Effective Internal and External Communication System for ATSEC

The IDF process flagged these areas as ATSEC's priorities which scored relatively low; the group brainstorming sessions reaffirmed these areas' importance and produced ideas of possible solutions. These areas combine internal capacity needs and programmatic targets aimed at strengthening the network's overall performance.

Planned Improvement Activities

ATSEC Institutional Development Improvement Plan					
Result / Objective 1: Increased Motivation of Staff, Members, and Volunteers					
Performance Indicator(s): 1. Recruitment of skilled staff 2. Feedback results					
Development Activities:	Resources Needed	Available Resources	Sources	Person responsible	Activity Completion Date
1. Staff orientation towards motivation – for newly recruited staff	Resource person/ mentor time; facilities; meeting expenses	Time and expertise Some facilities	National and state chapters	National coordinator	Within one year
2. On-going in-service training programs – for all staff	Resource person/ mentor time; facilities; meeting expenses	Time and expertise Some facilities	National and state chapters	National/State coordinators	Ongoing
3. Empowerment of staff members through skill development programs (especially M&E, communication)	Resource person/ mentor time; facilities; meeting expenses	Time and expertise Some facilities	National and state chapters	National/State coordinators	Ongoing
4. Financial management training for accounting staff	Resource person/ mentor time; facilities; meeting expenses	Time and expertise Some facilities	National and state chapters	National/State coordinators	Ongoing
5. Establishment of staff welfare policies that meet at least minimum statutory requirements	Resource person/decision-maker time; expenses for research and dissemination	Time and expertise; Models	National chapter	National coordinator	Developed within six months, revised periodically
Totals					

ATSEC Institutional Development Improvement Plan					
Result / Objective 2: Increased Sensitization of Target Stakeholders					
Performance Indicator(s): 1. Number of people sensitized (various kinds of stakeholders) 2. Number of policies implemented or amended 3. ATSEC advocacy manual created, translated, disseminated					
Development Activities:	Resources Needed	Available Resources	Sources	Person responsible	Activity Completion Date
1. Sensitization of police, media, judiciary, and govt departments	Meeting expenses (travel, supplies, equipment, accom), expert time and fees, training and sensitization materials	Space, resource person, facilitators, some transport Travel paid for govt employees	ATSEC India and State Chapters	National secretariat	Ongoing
2. Sensitization of policy makers and politicians	Meeting expenses (travel, supplies, equipment, accom), expert time and fees, training and sensitization materials	Space, resource person, facilitators, some transport Travel paid for govt employees	ATSEC India and State Chapters	National/State coordinators	Ongoing
3. Sensitization of civil society	Meeting expenses (travel, supplies, equipment, accom), expert time and fees, training and sensitization materials	Space, resource person, facilitators, some transport	ATSEC India and State Chapters	National/State coordinators	Ongoing
4. Developing manual for advocacy	Research material, printing, data collection, compilation, publication, dissemination, translation; Staff and expert time	Existing data and documentation; existing ATSEC network for dissemination; some expertise	ATSEC India and State Chapters	National secretariat	Within one year
Totals					

ATSEC Institutional Development Improvement Plan					
Result / Objective 3: Establish an Effective Internal and External Communication System for ATSEC					
Performance Indicator(s): 1. All members are up to date about ATSEC's activities 2. All members are able to communicate among themselves 3. Easy availability of information about ATSEC to general public through print and electronic media					
Development Activities:	Resources Needed	Available Resources	Sources	Person responsible	Activity Completion Date
1. Functional Web site updated regularly, with discussion groups	Consultants; Web site host; Equipment for each chapter; staff time; facility			National coordinator	Six months, depends on support
2. E-newsletter	Staff time			National secretariat	Quarterly
3. Skill development training for staff and members effective communication (all chapters)	Meeting expenses, experts' time, materials	Some staff time	National/State chapters	National/State coordinators	Ongoing
4. Availability of communication equipment in each chapter	Computer, connectivity, staff time	Some state chapters have equipment (need inventory)	National/State chapters	National/State coordinators	Depends on funding
5. National documentation center, regional resource centers	Facility, equipment, materials, staff time, expert time	Some materials	National/State chapters	National/State coordinators	Depends on funding
6. Producing communication materials (films, posters, pamphlets, TV group discussions, etc)	Expert time, production facility and expenses, materials, research time, copying and dissemination expenses, travel	Some materials available (need inventory)	National/State chapters	National secretariat	Depends on funding
Totals					

CAPABLE PARTNERS PROGRAM (CAP)

Koalisi Perempuan Indonesia

Institutional Self-Assessment and Improvement Process

CAP is implemented by

AED
Academy for Educational Development

in partnership with

MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

August 2004

Report on Koalisi Perempuan Indonesia
Institutional Self-Assessment and Improvement Process
August 2004

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Summary, Findings, and Conclusions

The Indonesian Women's Coalition (Koalisi Perempuan Indonesia, or KPI) conducted its IDF self-assessment in Secretariat meetings held at its Jakarta office from 2-6 August, 2004, following the agenda in Figure 1, below. The participants, all female, comprise KPI's National Secretariat and are listed in *Appendix B*.

Figure 1: KPI's IDF Workshop Agenda

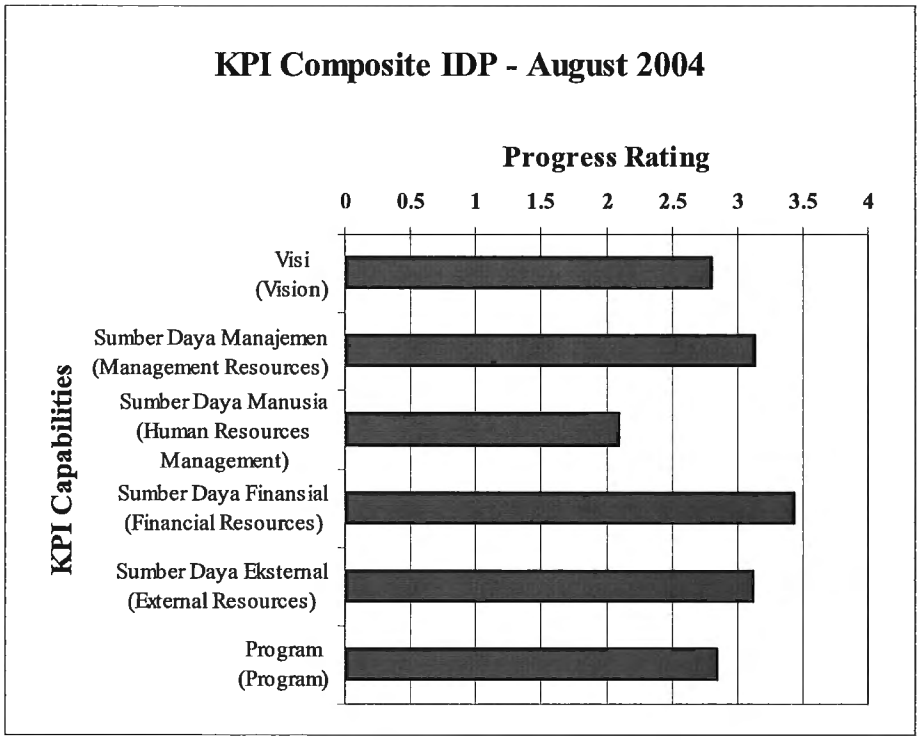
Tuesday, August 3	
11.00	Introduction to the Institutional Development Process
12.00	**Lunch**
13.00	Institutional Development Framework (IDF) Self-Assessment
15.00	**Break**
15.30	IDF Self-Assessment…continued
17.00	**Closure**
Wednesday, August 4	
09.00	IDF Self-Assessment…continued
12.00	**Lunch**
13.00	IDF Self-Assessment…continued
15.00	**Break**
15.30	Prioritization of KPI Organizational Aspects
17.00	**Closure**
Thursday, August 5	
09.00	Setting KPI Improvement Plan Objectives
12.00	**Lunch**
13.00	Preparing the Institutional Improvement Plan
15.00	**Break**
15.30	Preparing the Institutional Improvement Plan…continued
17.00	**Closure**
Friday, August 6	
09.00	Agreement on the Institutional Improvement Plan
10.00	Preparing the Request for Technical Assistance from CAP
12.00	**Lunch**
1.00	Agreement on the Request for Technical Assistance from CAP
2.00	***IDF Workshop Evaluation***
2.30	**Closure**

A summary of KPI's Institutional Development Profile (*Appendix C*) is presented in Figure 2. The assessment provided a positive and, given the thought and effort that the Secretariat contributed to it, very accurate assessment of KPI. The Secretariat rated its current performance highly in all areas except human resources management. Vision and Program each scored firmly in the *expansion* stage; management resources, financial resources, and external resources in the *sustaining* stage. However, excluding financial and external resources – areas in which KPI has few perceived weaknesses – each of the four others, regardless of average rating, require some attention during the coming year. These are presented in the Assessment Results in descending priority and are addressed in KPI's Institutional Improvement Plan (*Appendix D*).

Background

KPI is a five-year old, non-governmental organization comprised of village-level women's organizations ("cadres") that are supported by district, provincial, and national secretariats. The secretariats receive their operating instructions and appoint a Board (called National Presidium) at KPI's annual general meeting. KPIs members (about 15,000) also define the advocacy, institutional strengthening of village, district and provincial level cadres, and political education program agendas of KPI and its secretariats. Currently, the National Secretariat in Jakarta is the best-functioning and most organizationally coherent; the institutional self-assessment and improvement process was conducted on it.

Figure 2: KPI's Institutional Development Profile, Summary by Resource Area



Process

On the afternoon of 28 July, the CAP consultant met with the local consultant and 7 of the 11 participants to review the process, customize the Institutional Development Framework to KPI, and finish preparations for the workshop, scheduled to begin on 3 August. The staff had previously read an Indonesian translation of the IDF before this "socialization"[1] meeting, but were not yet familiar with the other elements of the improvement process.

[1]Indonesians use the term "socialization" to describe an explanatory or descriptive event.

The group then reviewed the IDF cell-by-cell and agreed to several revisions:

- The Secretariat renamed the 4 phrases on the IDF continuum as Start Up, Growing, Expanding, and Sustaining. This change, and a few others, resulted from the words being translated from English to Indonesian, then back to English. For example, "founding," became Indonesian *awal*; retranslated, it became English, "start up." Similarly, "resource characteristics" evolved into "capabilities" and "mission," into "basic orientation". Finally, KPI's equivalent to the structure which the IDF calls "Board" was remdered "National Presidium".
- The Secretariat wanted to use the self-assessment to encapsulate the major elements of their service delivery program – the "Specific Service Delivery Indicators." KPI's advocacy is not an external resource but a deliberately pursued program strategy, the direction of which is determined by Coalition members at the annual meeting. The Secretariat moved advocacy to a new "Program" capability, adding also institutional strengthening, institutional development, and political education. Because the IDF has no established components for these program areas, Secretariat staff developed them.

This preliminary meeting revealed four urgent IDF needs:

- An organizational development specialist to revise the Indonesian IDF, in which numerous mistakes were uncovered during the afternoon.
- All relevant materials (e.g., IDCS and IDP template) translated into Indonesian (only one staff member spoke English well).
- All materials subsequently retranslated into English to ensure that their correctness.
- The Indonesian language "products" (i.e. the self-assessment, priority-setting, and institutional improvement planning processes) translated in time for the CAP consultant, with the local consultant, to advise KPI on its institutional improvement.

KPI Staff organized the translations and proofread both the Indonesian and the English versions; the local consultant revised the Indonesian IDF; the CAP consultant orchestrated all of the above and, with the local consultant, planned the IDF installation.

Picture 1

At first meeting on 3 August, the local consultant reviewed the IDF process. Relying on the CAP consultant's expertise, both choose an approach to the self-assessment that was completely transparent and efficient.

Believing that discussions were more productive if participants could quickly agree upon each component's performance rating and put their energy into debating that rating's rationale, the consultants printed out, on letter-sized paper, each key component

and its related institutional development continuum cells. On a flip chart paper posted on the wall, each participant rated the component by placing a "sticky dot" on the cell which expressed her opinion of KPI's current circumstances (see Picture 1)[2]. Using these charts, the consultants began reconciling the differences, until a consensus was reached for each component. Once determined, the ratings were recorded and the results taped to a flip chart, on which discussion points and KPI's vision for the future were also noted (see Picture 2). Subsequently, the scores for each row and all necessary comments were recorded in the IDCS (*Appendix B*) and presented a graphically (*Appendix C: Institutional Development Profile*). This process was completed by mid-afternoon on 4 August.

Assessment Results

KPI's two highest improvement objectives fall under "Management Systems": file systems and administrative procedures. KPI badly needs its current hard copy documents to be sorted, triaged, and filed (KPI is just now receiving filing cabinets from USAID's excess property inventory; currently, five years of print materials are piled along office walls). However, the *real* need is for systems capable of supporting KPI's demands. Both the CAP consultant and the Secretariat agree that installing a management information system, with the corresponding hardware and software (as described in KPI's Institutional Improvement Plan), is of the utmost importance. At present, KPI has no network for file-sharing or shared printing; of the three printers (all surplus inventory from a donor), only two are functional; only one has an internet connection (a dial-up); all computers are woefully out-of-date; there is no photocopier.

Let the reader think for a moment...you're at your desk and a field colleague sends you two documents in an e-mail. The sender asks you to read and comment on the 1.8mb portable document attached, a 10-pager with some "heavy" graphics, and to distribute the attached Excel document to others in the office for them to review and suggest changes. You download the .pdf file, delete it from the message, and forward the Excel document. After reading the .pdf, you go into your organization's electronic files and open a document to confirm the perspective you've developed on the .pdf document. Confident that your view is supported, you dash off your comments in reply to the sender's request. Overall, perhaps 30 minutes have elapsed.

Now, envision yourself at KPI. To receive the e-mail message at all you must queue for the lone connected computer (which, by the way, is in the Secretary General's office and inaccessible if she's hosting a meeting). Having eventually called up your e-mail, you download the .pdf file to the computer's desktop (it's too big for a floppy disk), which takes quite a while since the connection is only 44kbs. Others are in queue behind you, so you can't read and comment on the file then and there, but have to come back later. The Excel file you download to a floppy disk. To get it to the others, you can either go from machine to machine and load the file on their computers, or you can wait until one of the two computers connected to a printer is free for you to use, and print out copies of the file and distribute these. You decide to wait to use the printer, as the others share computers and won't be able to review the file simultaneously. Sometime later in the day you return to the connected computer to read and comment on the .pdf file. Wishing to confirm your perspective on the document, you go to the document stack you think

[2] Each cell was divided in half – e.g., 1.0 to the left of the cell and 1.5 to the right – to allow for a finer assessment "cut," particularly helpful for those continuum stages that are multidimensional.

it's in, thumb through the stack until you find the document, read it, and return to the connected computer to respond. Time elapsed? Conservatively, an hour.

The CAP consultant noted that most evenings KPI's program staff worked until 8:00 or 9:00pm, and often much later. Although some of this "overtime" is attributable to their obvious passion for KPI's work, most results from the lack of an integrated and reliable management information system: staff spend up to twice as much time completing tasks than they would with a decent MIS. With the said MIS, KPI staff could put in a humane work day and accomplish even more than they do now.

Under "administrative procedures", KPI desperately needs to standardize operating procedures and codify them in a manual. Although most management systems are in place – e.g., procedures for recruiting and assigning personnel and for financial management are very much up-to-date – their development has been *ad hoc*, unwritten, and unintegrated. As a result, KPI staff are vaguely but pervasively unsure of who is supposed to do what, when, where, and how regarding the daily and iterative management tasks. As with the MIS, the time staff spend trying to figure this out could be more productively spent in supporting KPI's program initiatives. A small CAP investment in this area, as indicated in KPI's Institutional Improvement Plan, will yield significant results.

Through its positive experience with the IDF process (see Workshop Ratings) KPI understands the value of institutional self-assessment and improvement planning, which it would like to share with the Coalition. Toward this end, it plans (with CAP assistance) to train national- and provincial-level cadres to facilitate the IDF process for the provincial, district, and village level secretariats. The trained facilitators would, over a period of time and with other donor support, "install" the IDF and facilitate the institutional improvement plans.

Under "Human Resources Management", although KPI's self-assessment suggested that staff skills, augmented by consultants, meet basic administrative and program needs, participants were intrigued with the notion of developing an organizational plan for individual skills building. In the daily chaos of office and program management, they had simply not thought much about that, which in itself verifies the usefulness of the IDF self-assessment as a process allowing thoughtful exploration of organizational aspects which are usually impossible in the hurly-burly of daily work.

Consequently, the Secretariat intends to identify essential skill needs and develop a training and mentoring plan to meet them. In addition, KPI is establishing a reward system for acknowledging extraordinary individual accomplishment. Although there is no evidence of exceptional staff loss resulting from "burn out" (which the CAP consultant believes is due mostly to the staff's deep commitment to the Coalition's mission), celebrating achievement contributes to the general good mood. Another need uncovered by KPI's self-assessment is for a political (gender) education training and information module spanning the Coalition's levels. KPI staff do not have the design expertise such a module requires and so KPI plans to:

- Organize a scoping meeting with a representative from TBD (an Indonesian organization) that has multi-level cadre training and information modules similar to KPI's.

- Organize a facilitated workshop, sponsored by an AUSAID-funded NGO, bringing together the Secretariat and representative constituents to develop the multi-level module.

Finally, KPI would like more clearly to define the National Presidium's role so that it can be a more effective advocate for the Coalition's programs. Currently the main obstacle seems to be the relatively poor understanding of KPI which a majority of the National Presidium's members have. To counterbalance this, the Secretariat has promised to broaden and deepen the communication channels between the Coalition and the National Presidium. Entirely within the manageable interest of KPI, the Secretariat intends to put the members of the National Presidium on their mailing list, meet semi-annually with the National Presidium, and designate staff to distribute program materials to National Presidium members.

Picture 3

Improvement Plan

With the assessment process behind them, the group turned its attention to prioritize areas for improvement, ranking the various rows of institutional capacity discussed along four gradations ranging from "Necessary for survival" to "Not significant to us in the near future." (The "Make or break" gradation was dropped by the group, as in Indonesian there is no distinction between this gradation and that of "Necessary for survival"). Once again, the key components were printed on card-sized pieces of paper and posted on the wall next to four columns representing the four gradations. Each participant was given a marker and, following the local consultant's description of the four priorities, placed a mark in the column representing her opinion (see Picture 3). All of the key components were "graded" at the same time, and the local consultant facilitated discussions to reconcile differences. The consensus grade, along with the performance score, was noted on each key component card.

During a break, both consultants positioned the key component cards on an XY (scatter) chart: the X axis represented the progress score and the Y axis the priority ranking (as instructed on Page 10 of *An Integrated TOOLKIT for Institutional Development*). Reconvening the participants, the local consultant led the group in identifying those key components (see Picture 4) absolutely essential to KPI's survival *and* in which KPI is currently deficient – components which were the highest priority for institutional improvement.

On the morning of 5 August, the participants broke into small groups, comprised of those best acquainted with each component. These groups were charged with setting out the objectives, tasks, resources, and sources for those areas judged to be necessary to improving performance. After lunch, all reconvened and heard reports from each group, asking clarifying questions and making suggestions (see Picture 5). When participants were satisfied that the necessary data were in place, a small writing team formed to work with the two consultants to prepare the

Institutional Improvement Plan (*Appendix D*). On the morning of 6 August, the participants reviewed and approved the Plan.

After the Plan's approval, the writing team prepared the request for CAP technical assistance. Of the six improvement areas, the three appropriate for CAP assistance were: developing a Management Information System, recording Standard Operational Procedures, and facilitating various levels of institutional improvement. The formal request was prepared, and the full group reviewed and approved it.

Picture 4

Results of Facilitator Training

As is apparent, the CAP consultant worked closely with the local consultant to prepare and conduct the IDF workshop, giving the local consultant the requisite expertise and experience in institutional improvement and with the IDF matrix. Undoubtedly, the local consultant could effectively facilitate future IDF meetings for KPI, or any NGO.

Capacity to Conduct Follow-on IDF Assessment

The IDF workshop evaluations and casual conversations among participants both indicate that KPI needs one more facilitated IDF before fully confident of independently performing the self-assessment. They plan to re-assess in a year's time, with the local consultant's assistance.

Next Steps

KPI will distribute this report to the Secretariat for their review and submit its proposal for technical assistance to CAP. KPI will also use the assessment results and improvement plan to seek funding from other donors. One year from now, KPI will re-apply the IDF toolkit in order to track institutional improvement; it will report those results to CAP.

Picture 5

Workshop Rating

With the KPI self-assessment and improvement process concluded, participants completed workshop evaluations, summarized below:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	4.78
2. How useful to you was the assessment of your network's institutional capacity?	4.67
3. How do you rate the facilitator's ability to explain and communicate clearly?	4.56
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.67
5. How do you rate the facilitator's facilitation technique and skills?	4.56
6. How clearly do you now understand your network's institutional strengthening needs?	4.56
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3.78
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4.56

The preponderance of comments received relate to KPI's hope that CAP will provide the assistance requested.

Appendix A: KPI Institutional Development Framework (IDF)

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
Oversight / Vision					
National Presidium (Board)	Role of National Presidium	Roles of National Presidium's members and relationship between National Presidium's members and Secretary General are uncertain.	National Presidium's members understood their roles and how to interact with Secretary General but still interpersonal or organizational constraints may create ineffective relationship.	National Presidium's members work in closed partnership with secretary General.	National Presidium's members support Secretary General to lobby and to proceed other organizations.
	The active of National Presidium's	National presidium is formally constituted but it still not an active force.	National presidium is active. One or two member(s) contribute(s) and/or pursue(s) resources.	Some momentum in National presidium, It creates committee. Still few members—overall—are active. Moderate resource level raised by National presidium.	Significant resources raised by National presidium. Most National presidium's members play roles sufficiently active.
	The capability of national presidium Members to advance organization.	National's members are elected based on initial enthusiasm in the founding of this organization, disregard to long-term need in developing organization.	National presidium's members are elected with more strategically consideration but most of their skills still do not match the growing needs of the organization.	National presidium's members' skills match to growing needs of organization and begin to move it forward.	Board's members are catalyst for long-term development of the organization.
Basic Orientation (Vision, Mission, Value)		No vision, mission and value statements. The group coalesces based on their basic commitment to general objectives such as environment, health, Peace.	Vision, Mission and value statements exist but it is not focused. Different kind portfolio of projects and proposals submitted are not consistent with basic orientation.	Vision, mission, value are clear and are generally consistent to the progressed program. However, the staffs are not uniformly capable of articulating basic orientation of organization. People outside organization may not identify vision, mission and value with the organization.	Basic orientation of the organization is clear. It can be articulated and consistently followed by the National presidium, Secretary General and staff of national Secretariat. The outsiders identify the same basic orientation with organization.

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
Autonomy		Organization is the implementing agent of one donor.	Organization is able to respond to more than one donors and the organization's National presidium	Organization is able to obtain funding to support its program, in consultation with national presidium.	In addition to managerial and financial autonomy, organization is able to successfully advocate and raise funds, on behalf of its consitutency (regional secretariat, district secretariat, and women's centre, to government, donors, and private sector.
Management Resources					
Leadership Style	National presidium	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two National Presidium members.	Vision and management ideas increasingly come from National presidium as national presidium members work more closely with the organization.	Virtually all National presidium members contribute to leadership and development of the organization.
	Staff Team Work	Staff provide technical input only. Decisions taken by Secretary General.	One or two staff provide organizational impetus, in addition to Secretary General	Staff increasingly provide vital drive to organization. Staff and Secretary General increasingly work as a team	National Secretariate will survive without current Secretary General or Coordinator of National presidium.
Planning	Overview	Planning is implementing in a few moments and in incremental.	Annual Plans are developed and reviewed during course of year. Often not integrated to long-term strategic plan.	Planning is expanded and more forward oriented, long-term oriented and strategic and also structured in basic orientation.	Based on basic orientation, strategic plan development and annual plan continue as an effective instrument with regular review upon the long-term plans.
	Participation	Planning is top-down in orientation, Secretary General, and National Presidium driven.	The participation of staff in planning is widened, including staff contributions to planning decision making.	constittuents provide information for planning but beneficiaries excluded from decision making.	Organization's staff and constituents contribute to planning decisions along with Secretary General and National presidium.

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
	Resource Implication	Objectives set without assessment of resource requirements, nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce work plan	Working plans are drafted but it is seldom used by management and operations staff.	Working plans are used by management and operations staff but it is viewed as dynamic instrument which can be modifying as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Secretary General and National presidium with little or no feedback.	Most management decisions taken by Secretray general and national presidium. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity coordiantor program, as appropriate.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from Secretary General without clear decision criteria and little or no feedback.	Management decision criteria used by Secretary General generally shared with National presidium, but other staff not included in process.	Decision-making is increasingly operational zed to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communica-tion Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administra-tive Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Monitoring and Evaluation	Integrated into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision- making.
	Constituency Feedback	No feedback from constituent . (Regional secretariat, Regional presidium, district secretariat, women centre)	Informal channels for constituency feedback..	Formal mechanisms exist for constituent feedback but only via surveys and evaluations.	Continuous feedback and input from constituent.
Human Resources Management					
Skills		Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence. They may even provide expertise and assistance to outside organizations.

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
Strategy		Human resource development is opportunistic and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with organizational mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training		Little, or no, training provided.	Training is significant, but is opportunistic in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring		Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.
Motivation		Little or no recognition of employee performance. Staff "burn-out" is common	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.
Financial Resources					
Financial Management	Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audit	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.
	Own Resource Mobilization	Own resource mobilization (including membership fee, labor, and services) for operational income is untried or unsuccessful.	Own resource mobilization pursued on an ad hoc, basis.	Own resource mobilization strategy is operational	Own resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is barely available to cover immediate project activities only, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
External Resources					

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
Public Relations	Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists that supports advocacy campaigns and seeks to make the organization better known and to foster a broader public awareness in support of the basic orientation of organization.
Ability to work with government		Viewed as "we" versus "they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners. Often the authorities/government refer to organization for advice.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners. The government often integrates the organizations' recommendations into development plans.
Ability to work with NGOs outside network		Organization only slightly known and trusted by broader NGO community. But, organization does not have experience working with NGOs outside its network.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements.	Organization works with international or local NGOs, and participates in other NGO networks and coalitions. Networks and coalitions are based on NGO constituency needs.	Organization plays leadership role in promoting NGO coalitions based on NGO constituencies' interests. Capable of helping to resolve NGO-NGO or NGO Govt conflict and of affecting policy on behalf of constituency
Program					

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
Advocacy	Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic, sporadic, and not coordinated. Advocacy is not strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, basic orientation of organization and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents, but is unaware of the impact or reception of such information.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Organization has established itself as a credible information source on issue within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns	Organization contacts one or more constituent in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages constituents in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituents for advocacy campaigns and is responsive to their advocacy priorities.	Organization has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the organization.
Organization Development	Membership (Member Recruitment)	Only a few people who are the founders of organization	The founders recruit members in their regions.	Membership in 12 regions and districts and Women centers	Member consider to join willingly by nature and not because of the famous name (individual cult) of the founders. They join just because of the importance to join the organization.

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
	Expansion in Regions:				
	Village level(65000)	KPI Secretariate is still not established in lowest level (villages).	Secretariat or Women centre established in some regions (provinces)	639 Secretariat or Women centre establish in 639 in some districts	1065 villages in Indonesia have women centres
	District (425)	KPI Secretariate is still not establishd in District level	District Secretariate are established in 10% of district/city	KPI established in 25 % district/City in Indonesia	District secretariat of KPI established in 50 % districts /City
	Province	KPI Secretariate in province is still not exist in Provinces	KPI are established in 25 % provinces in Indonesia	KPI are established in 50 % provinces in Indonesia	KPI are established in 75 % provinces in Indonesia
Organization Strengthen-ing	Constituency capacity building	Members only understood on vision and mission of KPI. No autonomy and member militancy towards organization	Members understood the objective, need and the existance and management of KPI as a mass organization.	Members have initiative to develop KPI with spirit of autonomy and begin to have spirit of militancy	Members have high spirit of militancy and autonomy from the committee and able to facilitate other members.
	Constituency Orientation	Organization operates in centralized manner with little connection to constituents.	Organization serves constituents based on perceptions/ assessments, but without active constituent involvement.	Constituent input sought for key decisions. Organization and its efforts viewed by constituents as service provided to them.	Constituent interests are integrated into organization's policies and practices.
	Constituent Participation in Organization	Organization involves constituents only as recipients of the organization's program.	Organization draws on leaders of its constituents for advice and mobilization of its members.	Organization draws on leaders of its constituents in planning, implementation and evaluation of organization's events.	Constituents participate fully in planning, implementation, and evaluation. Constituents contributing cash, materials, labor, and management to create and maintain project results.

ASPECT		Criteria For Each Progressive Stage			
		START UP (0.5)-(1.0)	GROWING (1.5)-(2.0)	EXPANDING (2.5)-(3.0)	SUSTAINING (3.5)-(4.0)
Political Education	Module	Basic module for political education.	Additional module such as leadership module and gender budget. Need of developing multi-level cadres exist, but still no module.	Applicable module for developing multi-level cadres exists and it can accommodate members' needs from all levels and for all related partners.	Module has been applied to all regions (provinces, districts, Women Centers). Focal point and reference module for other organizations.
	Cadre	The concept of cadre doesn't exist. Political education is limited to board of committee and focal point.	Cadres recruit members and raising advocacy activities in villages. Political education is implemented in provincial level and women workshop.	Cadres have attended multi-level edication, active in organizing, advocating in districts/city levels, and daring to join political institution.	Cadres have important role in legislative, judicative, executive, private sector, mass organization, NGO, political party and actively advocating in provincial level and national level and expanding KPI organization.
	Facilitator	Facilitators are limited in national terms.	Local facilitators exist in all provinces (where KPI is established).	Local facilitators exist in all provinces and district/city (where KPI established); there are 25% provinces where KPI is not yet established. Kpi is the reference of facilitators to facilitate NGO and mass organization.	Local facilitators exist in all villages and districts and provinces (where KPI is established). KPI reference to facilitate NGO and mass organization, political party and government institutions.

Note: Constituent in KPI terms is the Regional Secretariat, District Secretariat and Women's Centers.

Appendix B: KPI Institutional Development Calculation Sheet (IDCS)

Aspek	Key Components	Aug-04 Raw Score	Weight	Adj. Score	INSERT DATE Raw Score	Adj. Score	Change Over Time	Comments
Presidium Nasional (National Presidium)	Peranan Presnas (Role of National Presidium)	2.50	3	7.50		0.00		Peranan Presidium Nasional: · Keinginan untuk aktif besar, tetapi kurang waktu. Sibuk dengan Pekerjaan. · Selalu siap membantu, lewat komunikasi melalui: email, Telepon, Fax, dll. · Tidak semua Presidium Nasional paham betul Tugas dan Fungsi Presidium Nasional. · "They have a great will to be active but don't have time. Are busy with the job. · Always be ready to help, through the communication by email, telephone, fax, etc. · Not all of the National Presidium understand about the duty and function of national presidium exactly.
Keaktifan Presnas (Active National Presidium)		2.50	3	7.50		0.00		Ada Tim: · Kelompok Kepentingan, · Penggalangan Anggota, · Pemberdayaan Wilayah. Masih baru: belum berjalan sepenuhnya. · There are teams - Group of interest - Pillar of members - Regional fraud Still new : it is not grown up yet.
Kemampuan anggota Presnas dalam memajukan Organisasi The capability of National Presidium members to advance organization)		2.50	3	7.50		0.00		Kemampuan Anggota Presidium Nasional dalam memajukan Organisasi: · Sudah ada kontribusi: gagasan (Pengembangan Organisasi, Keuangan), · Belum ada kontribusi gagasan yang jelas tentang advokasi dan Kelompok Kepentingan, Pilihan berdasarkan kapasitas. · There is contribution concept (development of organization, Finance) · There is not contribution for a clear concept about advocacy and group of interest. The choice / option is based on capacity.
		2.50			**0.00**			

Orientasi Dasar (Visi, Misi, Nilai) (Basic Orientation - Vision, Mission, Value)	Orientasi Dasar (Visi, Misi, Nilai) (Basic Orientation - Vision, Mission, Value)	3.00	4	12.00		0.00		· Terumus jelas, · Program konsisten, · Belum semua Staf, Anggota Presidium Nasional memahami Orientasi Dasar, Orang luar belum bisa memahami Orientasi Dasar. · Be formulated clearly · Consistent program · Not all staff and members from National Presidium have understood the base orientation. The people from outer group cannot understand the base orientation.
		3.00			**0.00**			
Kemandirian (Autonomy)	Kemandirian (Autonomy)	3.50	2	7.00		0.00		
		3.50			**0.00**			
Gaya Kepemimpinan (Leadership Style)	Presnas (National Presidium)	2.00	3	6.00		0.00		· Kepemimpinan mulai terasa, Masih belum merata semua anggota Presidium Nasional.
Kerja sama Tim Staf (Staff Team Work)		3.50	4	14.00		0.00		· Kerjasama Tim erat, Kalau sementara Sekretaris Jenderal tidak ada, kerja Tim tetap jalan. · Team works closely together. If the general secretary is not there, the team does the work.
		2.75			**0.00**			
Perencanaan (Planning)	Gambaran Umum (Oversight)	3.50	3	10.50		0.00		· Ada Rencana Jangka Panjang, ada Rencana Tahunan, · Ada Rencana peninjauan ulang setiap 6 bulan dan 1 tahun, Efektifitas masih harus diuji (khususnya review 6 bulanan). · Long time planning, annual planning · Revision planning every 6 months and 1 year Effectiveness must be examined / discovered (especially for 6 month revision)
Partisipasi (Participation)		3.50	4	14.00		0.00		· Pada umumnya Konstituen ikut memutuskan, Kadangkala Konstituen tidak dilibatkan. · Constituents usually participate in decision-making but not always.
Implikasi Sumber Daya		3.50	3	10.50		0.00		· Rencana Tahunan dan strategis sudah komprehensif dan ada peninjauan ulang,

(Resource Implication)								Sumber Daya Manusia di dalam Divisi Advokasi kurang/tidak memadai (perlu tambah orang). · Annual planning and strategy have been comprehensive and there is a review. Human Resource in advocacy division is not enough (need additional person)
Tidak ada Rencana Kerja (Work Plan as Tool)		4.00	4	16.00		0.00		· Ada Rencana Kerja, Selalu dimodifikasi bila diperlukan. · There is work planning · Is always modified if be needed
		3.63			**0.00**			
Manajemen Partisipatif (Participatory Management)	Delegasi Wewenang (Appropriate Delegation)	3.50	4	14.00		0.00		Delegasi wewenang keputusan manajemen selalu dilakukan pada tingkatan yang tepat. Management decision authority delegation is always made on the right level.
Pembuatan Keputusan yang transparan (Transparent Decision-Making)		3.50	4	14.00		0.00		· Sudah ada Delegasi kepada yang bersangkutan, Belum sempurna. · There is delegation for the related subject. It has not been perfected yet
Partisipasi Staf (Staff Participation)		3.50	3	10.50		0.00		Staf sudah beriniasiatif untuk saling partisipasi (misal: mengusulkan Rapat). The staff has participated each other (for example : proposal of meeting)
Arus Komunikasi (Communication Flow)		3.50	3	10.50		0.00		Review mengenai Saluran Komunikasi dilakukan tidak secara berkala. Communication channels are regularly reviewed.
		3.50			**0.00**			
Sistem Managemen (Management Systems)	Sistem Personalia (Personnel Systems)	3.00	3	9.00		0.00		· Sudah ada sistem tetapi belum ada SOP yang menyeluruh, Catatan: menyusun SOP untuk Personalia dengan acuan Hukum Perburuhan · There is system but there is not the whole SOP Note : make SOP for personnel by base of employment law.
Sistem Arsip (File Systems)		1.50	3	4.50		0.00		· Arsip sudah disimpan, belum sistematis, belum mudah diakses, Belum. · Files have been saved, but have not been systematic; cannot be accessed yet
Prosedur Administratif (Administrative Procedures)		1.50	3	4.50		0.00		· Sudah ada sistem tetapi belum ada SOP yang menyeluruh, Catatan: menyusun SOP untuk Personalia dengan acuan Hukum Perburuhan

								· There is system but there is not the whole SOP Note : make SOP for personnel by base of employment law.
		2.00			**0.00**			
Pemantauan & Evaluasi (Monitoring & Evaluation)	Terintegrasi dengan pengambilan keputusan (Integrated Into Decision-Making)	3.00	3	9.00		0.00		· Evaluasi dalam Rapat Pleno dan Rapat Bulanan, Rapat Divisi, Rapat Tahunan, Belum sepenuhnya menggunakan Analisis Data. · Evaluation in plenary meeting and monthly meeting, Division meeting, annual meeting. It is not made by data analyzing
		4.00	4	16.00		0.00		
		3.50			**0.00**			
Sumber Daya Manusia (Human Resources Management)	Keahlian (Skills)	2.50	3	7.50		0.00		Kebutuhan pokok terpenuhi oleh Staf dan Tenaga Ahli. The base need / necessity is fulfilled by staff and experts.
Strategi (Strategy)		2.00	4	8.00		0.00		Ada Kebijakan umum terkait dengan mandat Organisasi: · Belum ada Rencana yang jelas, Pengembangan Staf berdasarkan tawaran tersedia, menumpang pada proyek. There is general policy which is related with organization pay order: · There has not been a clear planning Staff development is based on proposal utilize project
Pelatihan (Training)		2.00	3	6.00		0.00		· Tidak ada Pelatihan bagi Staf, Pelatihan sifatnya kebetulan. · There is not training for staff The training is fortunately
Pendampingan (Mentoring)		2.00	3	6.00		0.00		· Ada mentoring sekedarnya, Ada kebiasaan berbagai Pengetahuan setiap kali Staf mengikuti Lokakarya. There is habit to variation of knowledge if when staff take a workshop
Motivasi (Motivation)		2.00	4	8.00		0.00		· Tidak ada Mekanisme kontrol, · Ada pengaturan secara informal saja. · There is not control mechanism There is coordination only informal

		2.10			**0.00**			
Manajemen Keuangan (Financial Management)	Perencanaan (Planning)	3.50	2	7.00		0.00		· Ada Master Budget, Ada peninjauan sesuai keadaan. · There is budget master Review on the situation
Kontrol (Control)		3.50	3	10.50		0.00		· Belum ada Internal Auditor, Semua Staf boleh ikut mengendalikan. · There is not internal auditor All of staff can handle it
Pelaporan (Reporting)		3.00	4	12.00		0.00		Tidak tepat waktu karena keterlambatan konstituent memberi Laporan.
		4.00	2	8.00		0.00		OK
Pemisahan Account (Separation of Accounts)		3.00	3	9.00		0.00		Ada Pemisahan Account, Pembiayaan silang masih terjadi kalau ada keadaan darurat. There is account separation, but there is a cross financing if the situation is urgent
		3.40			**0.00**			
Kerentanan Keuangan (Financial Vulnerability)	Keberagaman sumber dana (Funding Diversity)	4.00	2	8.00		0.00		Donatur tetap: HIVOS, NOVIB, D&P (semua tidak ada yg lebih dari 40%). Settled donor : HIVOS, NOVIB, D&P (all are not more than 40%)
Mobilisasi sumber daya sendiri (Own Resource Mobilization)		3.00	3	9.00		0.00		· Ada Sumbangan dari: Ù Iuran, Ù Layanan Fasilitator, Ù Penjualan Kaos, Pin, dsb. Belum ada Target. · There are contribution from : Subscription collecting, Facilitator service, "Pin", shirts selling, etc. There is no target yet
		3.50			**0.00**			
Ketersediaan Dana (Financial Viability)	Ketersediaan dana (Financial Viability)	3.50	3	10.50		0.00		· Ada Dana untuk Jangka Menengah (2 - 3 tahun), Ada Rencana Jangka Panjang. · There is fund for middle period (2 – 3 years) There is planning for long period
		3.50			**0.00**			
Hubungan Masyarakat (Public Relations)	Pengakuan publik (Public Recognition)	3.50	4	14.00		0.00		· Sudah OK, tetapi belum maksimal: Ù ada Kantor-Kantor Pemerintahan yang belum tahu, Organisasi Perempuan semua tahu. · Ok, but it is not maximal yet - Some government institutions have not known that yet All woman organizations have known that
		3.00	4	12.00		0.00		· Ada akses ke Media,

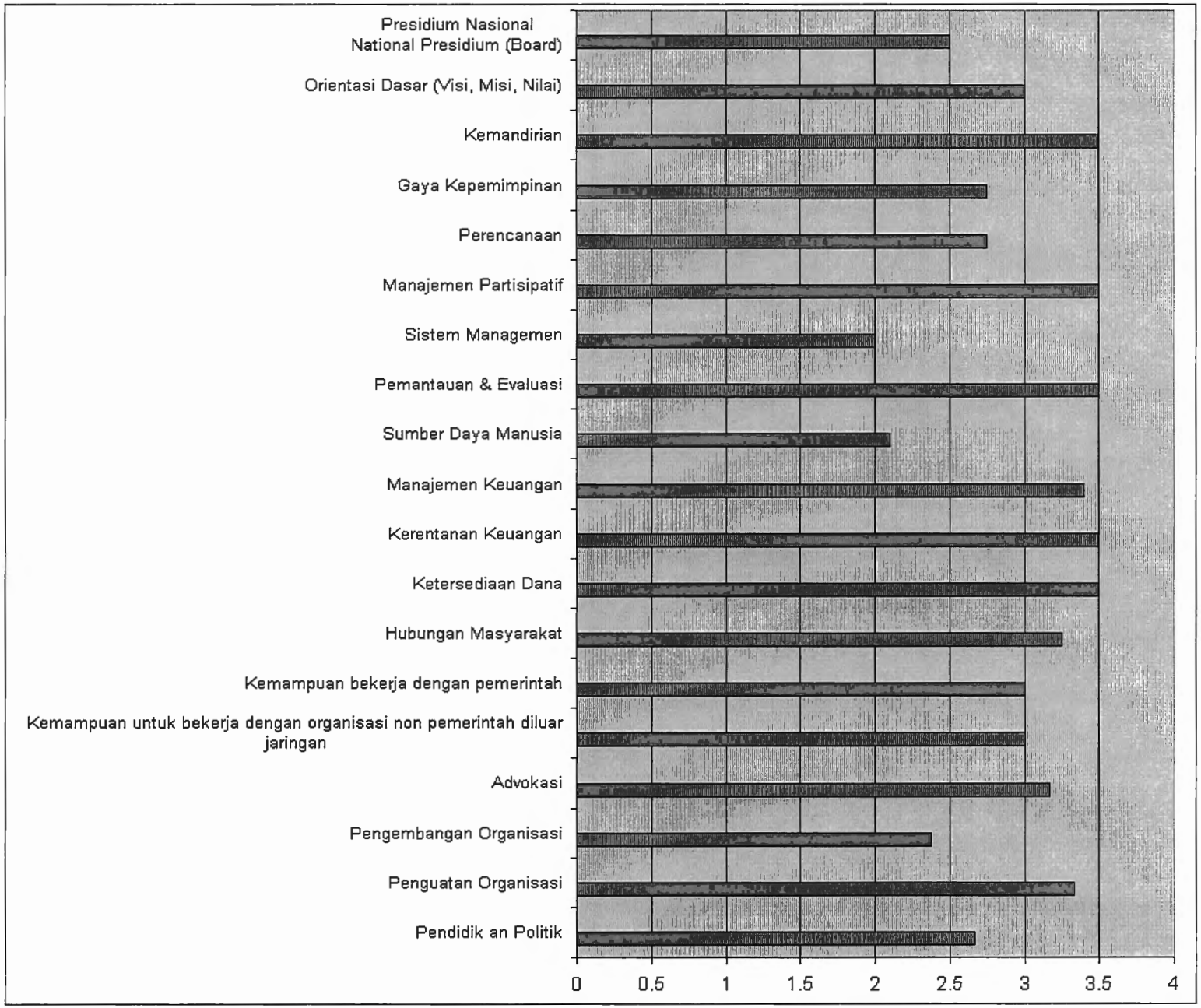
Strategi media (Media Strategy)								· Pemaparan sering terjadi, Belum ada rencana yang sistematis. · Access to publishment · There is explaining There is not systematic planning
		3.25			**0.00**			
Kemampuan bekerja dengan pemerintah (Ability to Work with Government)	Kemampuan bekerja dengan pemerintah (Ability to Work with Government)	3.00	4	12.00		0.00		· Ada beberapa usulan Organisasi yang diterima, · Banyak usulan yang belum didengar, · Belum setara, Partisipasi masih terbatas, kadangkala sebagai alat legitimasi. · There are some organization suggestions which are accepted · Many suggestions are not accepted yet · It is not equal yet Participation is still limited, sometime it is as legitimacy instrument
		3.00			**0.00**			
Kemampuan untuk bekerja dengan organisasi non pemerintah diluar jaringan (Ability to Work with NGOs Outside Network)	Kemampuan untuk bekerja dengan organisasi non pemerintah diluar jaringan (Ability to Work with NGOs Outside Network)	3.00	4	12.00		0.00		· Ada Jaringan dengan Organisasi non Pemerintah lain di tingkat nasional dan internasional, Berjaringan atas dasar kebutuhan Konstituen. · There is networking with non government organization in the national and international level The networking is based on constituent need.
		3.00			**0.00**			
Advokasi (Advocacy)	Pendekatan strategis (Strategic Approach)	3.50	4	14.00		0.00		· Sudah terealisasi baik, Belum maksimal. . It has been realized well It is not maximal
Penggunaan riset dan informasi (Use of Research and Information)		3.00	4	12.00		0.00		· Sudah mengintegrasikan penyebaran Informasi dan Kampanye, Informasinya terpercaya · It has integrated the spreading information and campaign

								Information is credible
Memobilisasi anggota (Mobilizing Constituents)		3.00	4	12.00		0.00		· Konstituen sudah terlibat dalam Perencanaan, Konstituen bisa dimobilisasi. · Konstituen have participated in the planning Konstituen can be mobilized
		3.17			**0.00**			
Pengembangan Organisasi (Organization Development)	Jumlah anggota (Member Recruitment)	3.50	4	14.00		0.00		30% cakupan akan memudahkan keberlanjutan perkembangan. 30% scoop will make easy for development continuing
Pengembangan wilayah: village-level (Expansion in Regions: Village-Level)		2.00	4	8.00		0.00		· Struktur: Desa, Kabupaten/Kota, Propinsi (masih belum memadai), Perlu dukungan. · Structure : village, regency / city, province (it is not enough) Need support
Pengembangan wilayah: district-level (Expansion in Regions: District-Level)		2.00	3	6.00		0.00		
Pengembangan wily: province-level (Regional expansion: Province-Level)		2.00	2	4.00		0.00		
		2.38			**0.00**			
Penguatan Organisasi (Organization Strengthening)	Peningkatan kapasitas anggota (Constituency Capacity Building)	3.00	3	9.00		0.00		· Ada upaya untuk meningkatkan militansi Anggota, · Sudah ada sekitar 30% Anggota yang aktif, militan, Ada beberapa Wilayah yang Anggotanya sangat militan (misal: Sulawesi Selatan). · There is initiative to increase member involvement · About 30% of members are actively involved There are some regions which have involved members (ex. South sulawesi)
Orientasi konstituen (Constituency Orientation)		3.50	3	10.50		0.00		Konstituen selalu dilibatkan dalam Rapat Tahunan. Konstituen is always participated in the annual meeting
Partisipasi konstituen di dalam organisasi (Constituent Participation in Organization)		3.50	4	14.00		0.00		· Sekretaris Wilayah, Sekretaris Cabang ikut mengambil Keputusan, · Sekretaris Wilayah, Sekretaris Cabang menutup Kebutuhan sehari-hari Sekretariat. · Region secretary, branch secretary participate tin decision-making Region secretary, branch secretary cover the daily needs of the secretariat
		3.33			**0.00**			
Pendidik an Politik	Module	2.00	3	6.00				· Banyak Modul yang belum,

(Political Education)	(Module)							Modul Gender Budget belum selesai. · There are many modules which are not finish Gender module of budget is not finished yet
Kader (Cadre)		3.00	4	12.00				Sudah banyak Kader aktif di Kabupaten/Kota dan berani mencalonkan diri di Lembaga Politik. There are many active cadre in regency / city and have encourage to candidate in politic institution
Fasilitator (Facilitator)		3.00	3	9.00				Sudah tersebar di semua Wilayah yang ada Sekretaris Wilayahnya di Wilayah lain (Sumatera Selatan, Kalimantan Barat, Nusa Tenggara Timur, Sulawesi Utara, Sulawesi Tenggara, Kalimantan Timur). There are distributed to all the regions which have region secretary in other region (South Sumatra, West kalimantan, NTT, North Sulawesi)
		2.67			**0.00**			
Total skor		**148.50**	**168.00**	**490.50**	**0.00**	**0.00**		
Rata-rata skor		**2.97**	**3.36**	**9.81**	**0.00**	**0.00**		

Rangkuman Perubahan dan Perkiraan Penempatan, oleh Sumber Daya

Presidium Nasional	2.50	0.00
Orientasi Dasar (Visi, Misi, Nilai)	3.00	0.00
Kemandirian	3.50	0.00
Gaya Kepemimpinan	2.75	0.00
Perencanaan	2.75	0.00
Manajemen Partisipatif	3.50	0.00
Sistem Managemen	2.00	0.00
Pemantauan & Evaluasi	3.50	0.00
Sumber Daya Manusia	2.10	0.00
Manajemen Keuangan	3.40	0.00
Kerentanan Keuangan	3.50	0.00
Ketersediaan Dana	3.50	0.00
Hubungan Masyarakat	3.25	0.00
Kemampuan bekerja dengan pemerintah	3.00	0.00
Kemampuan untuk bekerja dengan organisasi	3.00	0.00
Advokasi	3.17	0.00
Pengembangan Organisasi	2.38	0.00
Penguatan Organisasi	3.33	0.00
Pendidik an Politik	2.67	0.00


Presidium Nasional
National Presidium (Board)
Orientasi Dasar (Visi, Misi, Nilai)
Kemandirian
Gaya Kepemimpinan
Perencanaan
Manajemen Partisipatif
Sistem Managemen
Pemantauan & Evaluasi
Sumber Daya Manusia
Manajemen Keuangan
Kerentanan Keuangan
Ketersediaan Dana
Hubungan Masyarakat
Kemampuan bekerja dengan pemerintah
Kemampuan untuk bekerja dengan organisasi non pemerintah diluar jaringan
Advokasi
Pengembangan Organisasi
Penguatan Organisasi
Pendidik an Politik
0
0.5
1
1.5
2
2.5
3
3.5
4

Sumber Daya Manusia
(Human Resources Management)

Keahlian (Skills)

Stategi (Strategy)

Pelatihan (Training)

Pendampingan (Mentoring)

Motivasi (Motivation)

Sumber Daya Finansial
(Financial Resources)

Manajemen Keuangan (Financial Management)

Kerentanan Keuangan (Financial Vulnerability)

Ketersediaan Dana (Financial Viability)

Sumber Daya Eksternal
(External Resources)

Hubungan Masyarakat (Public Relations)

Kemampuan bekerja dengan Pemerintah

(Ability to Work with Government)

Kemampuan untuk bekerja dengan Organisasi non Pemerintah diluar Jaringan

(Ability to Work with NGOs Outside Network)

Program (Program)

Advokasi (Advocacy)

Pengembangan Organisasi (Organization Development)

Pendidik an politik

(Political Education)

Legend:

Baseline: as of August 2004

Mid-Course: as of

Post-Grant: as of

Appendix D: KPI Institutional Improvement Plan

Koalisi Perempuan Indonesia conducted an institutional self-assessment at its offices in Jakarta from 29 July – 6 August, 2004. Using the IDF toolkit, staff from the USAID-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the attached report. KPI prioritized areas for focused improvement over the next year as follows:

1. Develop a Management Information System
2. Develop a SOP (Standard Operational Procedure)
3. Develop the management needed for organizational development at various levels
4. Increase capacity of human resources
5. Develop Module of Education of Multilevel Cadre
6. Increase communication effectiveness between National Presidium and National Secretariat

Participants included:

Name	Title
Masruchah	Secretary General
Nugraheni Pancaningtyas	Coordinator of Political Education Division
Widianti Farahita	Staff of Political Education Division
Luki Paramitha	Coordinator of Organizational Development Division
R. Husna Mulya	Staff of Public Policy Advocacy Division
Mulyandari	Staff of Public Policy Advocacy Division
Rini Widyastuti	Coordinator of Financial Division
Rahmi Zola	Staff of Financial Division
Dyah Bintarini	Office Manager
Rofiqoh Nurul Badriah	Staff of Administration
Ignatia Maria Roza Ananto	Volunteer of Information & Documentation Division

Planned Improvement Activities

Objective 1: Develop a Management Information System			
Activities	Resources needed	Sources	Completion date
1. Contract MIS expert.	Local Expert $ 2500	CAP	3 months
2. Develop the appropriate MIS through series of internal discussions.	Expert Staff	CAP	2 months
3. Purchase and install the needed hardware (LAN, upgraded computers, photocopy machine).	$ 4500	CAP	1 month
4. Install the new MIS.	Expert	CAP	1 month
5. Train staff to use the new Management Information System.	Expert Staff	CAP	1 week

Objective 2: Develop a SOP (Standard Operational Procedure)			
Activities	Resources needed	Sources	Completion date
1. Collect the materials needed to develop SOP.	Staff	KPI	3 months
2. Contract a local expert on institutional development.	Local Expert $ 2500	CAP	3 months
3. Organize workshop to develop SOP.	Expert Staff	KPI	3 months

Objective 3: Develop management needed for organizational development at various levels			
Activities	Resources needed	Sources	Completion date
1. Organize the IDF Training of Trainer for Constituents.	International and local training expert $ 14000 USD (?)	CAP	7 days (3 days for Preparation and 4 days for Workshop)
2. Organize workshop to develop KPI's management at all levels.	Personnel in National Secretariat, Constituent, and Facilitator $ 9500	VECO (Netherlands Donors/Vredeseilanden Country Office Indonesia), TIFA (USA Donors)	3 months

Objective 4: Increase capacity of human resources			
	Resources needed	Sources	Completion date
1. Increase the staff motivation by developing a Reward System.	All of Personnel	KPI	1 month
2. Develop internal management for mentoring.	Related Staff	KPI	1 month
3. Identify the training needs of national Secretariat staff.	All Personnel	KPI	1 month
4. To develop staff development plan.	All Personnel	KPI	2 months

Objective 5: Develop Module of Education of Multilevel Cadre			
Activities	Resources needed	Sources	Completion date
1. Conduct internal discussion by inviting resource people from the Organization which have a Multilevel Cadre Module.	Staff of National Secretariat, resources person	KPI	1 month
2. Organize a workshop to develop module of Multilevel Cadre.	Staff of National Secretariat, Constituent, Facilitator $14,000	ACCESS (NGO supported by AUSAID	7 days

Objective 6: Increase communication effectiveness between National Presidium and National Secretariat			
Activities	Resources needed	Sources	Completion date
1. Make a mailing list for National Presidium.	Related Staff	KPI	1 day
2. Facilitate the regular meeting (every 6 month and annual meeting).	Secretariat National Staff and National Presidium	KPI	1 year
3. Appoint one national staff person to distribute information to National Presidium.	Secretariat National Staff	KPI	1 week

CAPABLE PARTNERS PROGRAM (CAP)

René Moawad Foundation

Institutional Self-Assessment and Improvement Process

November 2004

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

Report on the René Moawad Foundation
Institutional Self-Assessment and Improvement Process
November 2004

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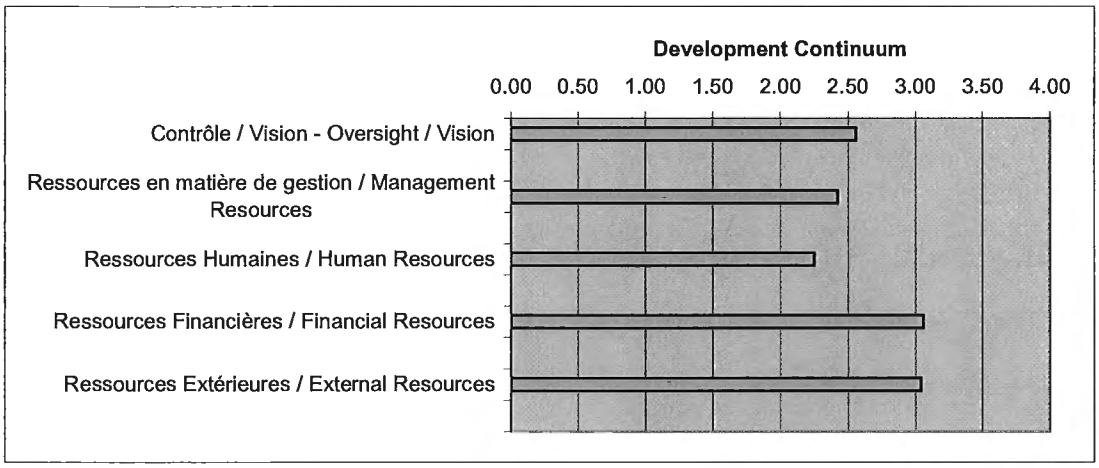
Summary, Findings, and Conclusions

One look at the Institutional Development Profile below (see also *Appendix C*) shows that René Moawad Foundation (RMF) is well beyond the initial development stage. RMF offers a growing scope of regional and national activities. With its decentralized centers and recent significant increases in project funding and activities, RMF leadership is increasingly concerned with consolidating management without arresting organizational expansion.

RMF's profile demonstrates the organization's sound financial management (*Ressources Financières)* and excellent external relations (*Ressources Extéreures).* The diversity of its project portfolio and impressive list of benefactors have necessitated the development of strong financial and accounting systems, even though future-oriented financial management has yet to be systematized. Successful and well-connected, RMF has established a reputation for providing quality services in its intervention areas.

To juggle expansion with the need to ensure quality and continuity, RMF must develop its less mature management systems (*Ressources en matière de gestion).* The IDF scores average the various performance levels which RMF's decentralized structure prompts. RMF will consider how it can increase program coordination in daily and strategic management, without excessively consolidating decision-making at national headquarters or regional centers. To fuse management practices, RMF needs to address human resource development (*Ressources Humaines)* with better HR planning and formalize staff training and recognition; it also needs to blend and codify administrative systems throughout its structure.

Figure 1: RMF Institutional Development Profile, Summary by Resource Area



The workshop left RMF with two concrete gains: five trained IDF facilitators able to conduct future assessments for RMF and its many partner NGOs and a detailed Institutional Improvement Plan, derived by group consensus, which covers the next six to twelve months. It is designed to improve coordination among leadership, consolidate management systems, and develop a master annual budget which will lead to a strategic plan.

Background

RMF is a non-profit, non-governmental organization created on 22 November, 1990 in Lebanon. It was also incorporated in the United States, as a 501(c) Private Voluntary Organization in 1993. RMF's mission is to:

- Promote durable and gender aware human, economic, social and rural development in Lebanon.
- Contribute to the creation of a responsible civil society that will consolidate national unity and promote democratic values and social justice.

Its driving force has been commitment to tolerance, equality, and social justice in Lebanon and to the emergence of a civil society which can develop and safeguard a peaceful, prosperous nation. Working in the agricultural, educational, health, and social sectors, RMF has implemented numerous projects across all sectors which address the most crucial problems Lebanon faces: providing medical assistance to the most destitute; developing agriculture, cottage, and small industry; organizing literacy campaigns and vocational training, particularly for the most disadvantaged groups. RMF also promotes democratic values, facilitates access to education, and encourages responsible citizenship. It has held several research and seminar programs on issues of vital concern to Lebanon.

RMF is headquartered in Beirut, where the Executive Director and staff develop and oversee regional programming, partner with NGOs, and handle financial management. Regional centers conduct various multi-dimensional projects, according to geographic needs. The Agricultural Center of the North (ACN) is the largest; it conducts community projects in goat and sheep breeding, cheese manufacturing, and fruit tree and vegetable cultivation. The Community Health Clinic provides medical, dental, ophthalmic, and pharmaceutical services.

RMF was nominated by USAID/Lebanon to participate in the USAID-funded Capable Partners Program's (CAP) Global Core Initiative (GCI) in Advocacy. RMF's training in advocacy is complemented by CAP's institutional strengthening support. This document reports on the first stage of that assistance: a participatory self-assessment, leading to an Institutional Improvement Plan to address areas that the assessment indicated need attention. RMF then will present this plan to CAP for funding to ensure that it is implemented.

Process

The CAP consultant arrived in Beirut on 24 October, 2004 and worked with RMF staff over a ten-day period. The first week included three days of IDF facilitator training and two days of materials preparation. As described below, work continued in the north of Lebanon on from 31 October – 1 November; reporting was complete before the consultant left on 4 November.

The three phases of the IDF facilitator training are summarized in Figure 2, below. During the "train and prepare" phase, the facilitator-trainees adapted the IDF both to RMF and to its NGOs and edited the IDCS and IDP; all adaptations were in French. The modified IDF matrix, IDCS, and IDP were also prepared in English to accommodate NGOs more comfortable with English. Five facilitator-trainees attended the initial workshop in Beirut. These five are included in Figure 3, below, which also contains the participants (8 male, 10 female) in the second phase of the assessment: 17 staff from Beirut headquarters in Beirut and each of the major service centers.

Figure 2: 3 Major Phases of IDF Facilitator Training

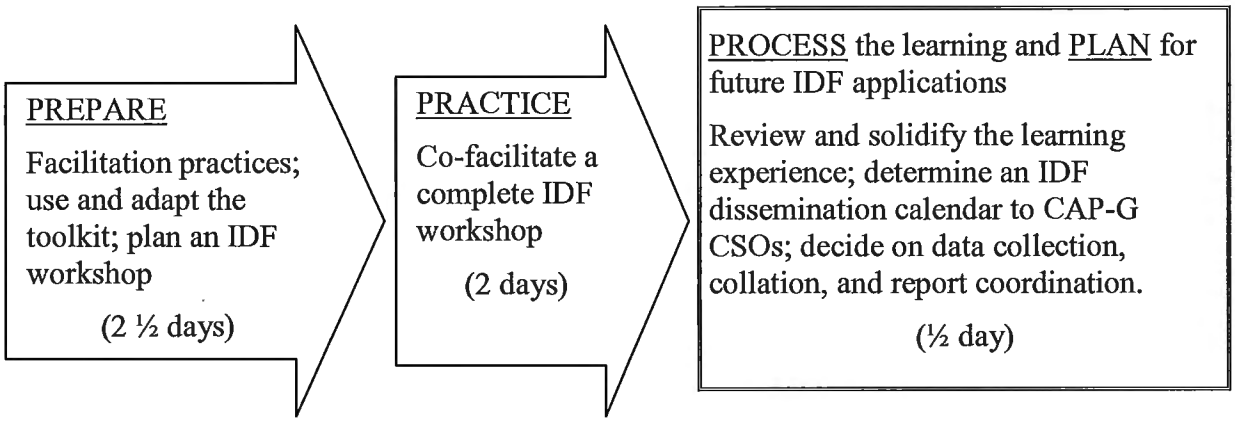
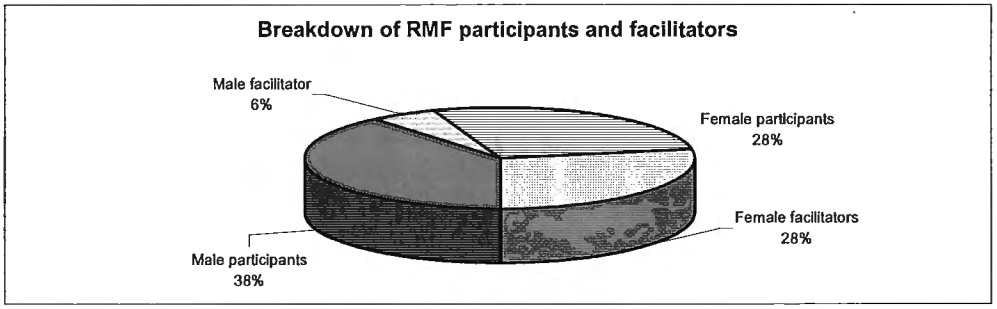


Figure 3: Breakdown of RMF Participants and Facilitators

Name	Position	Certified as IDF Facilitator
1. Badra Alawa	Project Officer	
2. Nayla El Khoury	Project Coordinator	
3. Mireille Helou	Accountant	
4. Chadi Hosri	Engineer (ACN)	
5. Nouhad Jouith	Administrative Assistant	
6. Damia Moawad	Project Coordinator	Y
7. Houda Moawad	Infirmary Responsible (Health Clinic)	
8. Iskandar Moawad	Sales Responsible (ACN)	
9. Nabil Moawad	Director of Agricultural Center of the North (ACN)	
10. Jeannette Nasr Mekary	Health Clinic Responsible (Health Clinic)	
11. Carlos Nakad	Engineer (ACN)	
12. Christopher Politis	Project Coordinator	Y
13. Dr. Antoine Rouhban	Director of the Health Clinic	
14. Nadine Roumieh	Research Assistant	Y
15. Rhéa Sawaya	Research Assistant	Y
16. Fady Yarak	Executive Director	
17. Rania Zakhia	Executive Assistant	Y
18. Darine Alawa	Observer – Not an RMF staff member	



RMF's particular board configuration and decentralization prompted considerable changes to the IDF matrix. Two noteworthy additions to the IDF matrix are featured below in Figure 4. In the "conduct phase", the facilitator-trainees used the customized IDF toolkit to facilitate the workshop on October 31 and November 1 for seventeen staff members in a residential setting in Ehden, two-and-a-half hours north of Beirut. The location was convenient for the seven participants based at RMF's Agricultural Center of the North and at Community Health Clinic.

Figure 4: RMF's additional IDF Matrix

Aspect	Component	Start-up	Development	Expansion/ Consolidation	Sustainability
Participatory Management	Coordination between the central office and the centers.	Irregular or inadequate communication between entities on expected activities results.	Regular communication (meetings, reports and other monitoring mechanisms) on expected results.	Effective coordination among all entities on operational problems.	Effective and harmonious coordination among all entities on operational problems in support of achieving the Strategic Plan.
Management Systems	Appropriate and varied management systems	An overly centralized system that does not serve all the operational needs of RMF's primary services.	Varied management systems emerge to support all the operational needs of RMF's primary services.	A decentralized management system that supports the varied operational needs of the primary services but is not always serve program coordination needs.	A decentralized management system that supports the varied operational needs of primary services and assures the coordination of program objectives within the Strategic Plan.

An English translation of the RMF workshop agenda is provided in Figure 5, below. After introductions, the CAP consultant reviewed the IDF process and lead the first work session on the IDF matrix. Given the number of participants, the majority of the work on the IDF matrix. Given the number of participants, the majority of the work – analyzing and scoring RMF with the adapted IDF tools – was done in two smaller groups, each group assisted by two of the newly trained facilitators. The participants reviewed each "row" of the IDF, modified it to suit their understanding of RMF's circumstances and future vision, and assessed its progress on the development continuum.

After each small work group session, the full group convened to review the recommendations and scores and to allow the facilitators to complete the IDCS and IDP. The CAP consultant facilitated the plenary sessions on Day One; on Day Two, the RMF facilitators took turns leading the analysis, prioritization, and improvement planning sessions. This process was completed in

the morning of Day Two and the resulting IDF Matrix is included as *Appendix A.* The facilitator team recorded the scores for each row and all necessary comments in the IDCS (*Appendix B)* and presented the results graphically in the IDP (*Appendix C*).

Figure 5: RMF Workshop Agenda, October 31-November 1

Detailed IDF Workshop Agenda
René Moawad Foundation
October 31 and November 1, 2004

Day One – Sunday October 3

10:30 ....Participant Introductions
11:15 ....IDF Presentation with questions from the group. Clarification of the IDF assessment process and RMF's desired results
12:00 ....Coffee break
12:15 ....Begin the application of the IDF
- Work through on "Oversight/Vision" of the IDF matrix CDI in plenary

13:30 ....Lunch
15:00 ....Division into two work groups of six to eight people, simultaneously work through the following sections of the IDF matrix:
- Management Resources: leadership style, strategic planning, participatory management and management systems
- Management Resources: service delivery, stakeholder participation, monitoring and evaluation AND Human Resources

16:30 ....Coffee break
17:00 ....Presentation and validation of work groups conclusions in plenary
18:30 ....End of Day One

Day Two – Monday November 1

9:30 .....Reflections on Day One's work – Distribution of the modified (but incomplete) RMF IDF matrix, IDCS and IDP
9:35 .....Second small work group session, simultaneous work through the following sections of the IDF matrix:
- Financial Resources
- External Resources

10:30 ....Presentation and validation of work groups conclusions in plenary
11:20 ....Coffee break
11:42 ....Review and completion of the "Oversight/Vision" section of the IDF
12:05 ....Analysis of the IDP to develop a list of RMF's strengths and weaknesses – identification institutional development needs using:
- The final version of RMF's IDF matrix;
- The scores on the Institutional Development Calculation Sheet (IDCS); and
- RMF's Institutional Development Profile (IDP)

12:45 ....Prioritization of the IDF results – Weighting the scores by short-term des priority
13:00 ....Lunch break
14:45 ....Development of an Institutional Improvement Plan (identification of organizational change activities)
16:15 ....Workshop Evaluation
16:30 ....End of workshop

Assessment Results

With the scoring process behind them, the group began to prioritize areas of improvement. Using printouts of the completed IDCS and IDP and referring to the documents on the screen, participants discussed the results. Their observations were captured on flipcharts; the most significant were:

- Although "Board" (Conseil) scored lowest, the group agreed that it was not an immediate concern. The Board's structure, comprising a "Conseil d'Administration" (administration committee) and two Boards (a Board of Trustees in Lebanon and a Board in Washington, DC), precludes any of the bodies from exercising inappropriate control. RMF's founder actively supports fundraising, policy development, and advocacy, but clearly delegates to the Executive Director the responsibility day-to-day operations. In the long term, RMF will need a local Board of Trustees to become a more active force in fundraising, networking, and advocacy.

- The "Leadership Style" score includes all of RMF's centers, each of which delegates authority and manages staff differently. The dissimilarities partly reflect the diversity of center activities. Regardless, the IDF process generated significant discussion about RMF's overall need for delegation and participatory management. Future IDF applications will contribute to the eventual establishment of participatory leadership norms.

- The relative weakness of the "Human Resources" score belies RMF's strong organizational diversity, mentoring, and skill levels. However, RMF has not yet developed a human resources strategy: its staff training and recognition systems are not yet what they should be.

- Prior to the IDF assessment, it was apparent that RMF is in the middle of rapid expansion: four new large projects have been approved, funded, and will soon begin. Accordingly, it is not surprising that the IDP places the organization in the "expansion/consolidation" phase. Fortunately, RMF has strong financial management, staff and stakeholder participation, filing systems, and appropriate and varied management systems. Given the amount of anticipated growth in the next few months, maintaining the current scores will be challenging. Observing this, the group concluded that RMF needed tighter, more comprehensive management systems in order to maintain its good reputation, the current quality services, human resource development, and financial controls.

- The group concurred that RMF should continue to consolidate and develop multi-year budgeting and strategic planning. Many of the relatively weak scores (see *Appendix B* for IDCS comments on Strategic Planning, Mission/Oversight, Resource Implications, Financial Viability, Monitoring and Evaluation, Advocacy) stemmed from RMF's lack of a results-based strategic plan: adequate planning and monitoring exist only at the project level. Developing a comprehensive RMF budget which enables financial management beyond the project level is an essential first step. In the near term, such a budgeting exercise would be done annually; eventually, it would evolve into the multi-annual organizational budget referenced in the IDF "Financial Management – Planning" section.

Improvement Plan

After the IDP analysis, the RMF facilitators guided the group in prioritizing the IDF rows along four gradations ranging from "Makes or Breaks RMF" to "Not significant at this time." The results are presented in Figure 6. The group then reviewed RMF's highest priorities for the near term and concluded that several could be addressed in a short list of activities. For instance, formalization of RMF SOP will address staff training and motivation, and the need for consolidated administrative procedures. The group's analysis yielded four major objectives that have been outlined in the Institutional Improvement Plan (*Appendix D*).

Figure 6: RMF Short Term Priorities

Organizational Characteristic	*Score*	*Priority*
Management systems: administrative procedures	2	4
Participatory management: Coordination between headquarters and the centers	1.5	4
Human Resources: Training	2	3.5
Human Resources: Motivation	2	3.5
Leadership Style: Shared leadership	2	3.25
Transparency / participation in decision-making	2	3
Strategic Planning: Oversight / Mission	2	3
Financial Management: Planning	2	3
Human Resources: Strategy	2	2.5
Management systems: Personnel Systems (salaried or volunteers)	1.5	2.5
Stakeholder Feedback in Monitoring and Evaluation	2	2

Capacity to Conduct Follow-on IDF Assessment

The IDF installation successfully trained five RMF staff to conduct participatory assessments for other RMF centers and Lebanese NGOs. The facilitators' evaluations demonstrate their confidence in competently facilitating the IDF process for RMF and in offering it as a new service to local NGOs; the CAP consultant concurred.

Next Steps

In two weeks, RMF will submit a proposal to CAP for technical assistance to support implementation of its Improvement Plan. In six months, RMF will re-apply the IDF to track its progress and report results to CAP.

In conducting the second assessment, RMF must remember that the IDCS (*Appendix B*) records two "scores". The "raw score" reflects the IDF placement (for example, if two cells have been satisfied, the score would be "2"). For each row, RMF also assigned a "weight", based on the priority given to each characteristic. Thus, the score referenced above might have "weight" of 4, for an overall score of 8. In measuring progress in a year, comparisons must be made against this weighted score. CAP is interested in overall percentage change in weighted score (the total weighted score for this assessment = 126.52), because it provides greater "credit" for improvements in greater priority areas. However, the IDP should be based on the raw score only.

Workshop Rating

Post-workshop evaluations were as follows:

Question	Score 5=High; 1=Low	
	Participants	Facilitators
1. How useful do you find the IDF tool?	4.50	4.83
2. How useful to you was the assessment of your network's institutional capacity?	4.13	4.17
3. How do you rate the facilitator's ability to explain and communicate clearly?	4.25	4.50
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.13	4.33
5. How do you rate the facilitator's facilitation technique and skills?	3.88	4.50
6. How clearly do you now understand your network's institutional strengthening needs?	3.88	3.83
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	2.75	4.33
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	3.63	3.33
Sub-Total	3.89	4.23
TOTAL	4.06	

The additional evaluation comments were favorable, although four people thought that the workshop would have been more effective if longer (3 days instead of 2). Verbatim translations of the comments are below:

- The workshop should be done in 3 days (3 people)
- Give more time to formulate conclusions/recommendations. Thanks for this workshop.
- I hope that this workshop would be done on several levels, specifically at the 1) Health Clinic, The Social Center, the CAN, Accounting and then all together
- Encourage active participation from all the participants
- Push for more representation from all personnel categories
- Distribute workshop invitations according to job post
- Repeat the workshop in the future
- Involve more participants in plenary to prioritize the activities
- Try including ALL staff and split, if possible, the supervisors from the employees in working groups
- Nice job - excellent coordination in the facilitator team
- Time management went better in Day Two

Facilitator-Trainee Workshop Rating

Question	Score5=High; 1=Low
1. How useful do you find the IDF tool for your work?	4.75
2. How useful to you think the IDF assessments will be for strengthening Lebanese NGOs?	4.50
3. How do you rate the CAP facilitator's ability to explain and communicate clearly?	5.00
4. How do you rate the CAP facilitator's knowledge of institutional strengthening?	4.75
5. How do you rate the CAP facilitator's facilitation technique and skills?	4.75
6. How clearly do you now understand NGO's institutional strengthening needs?	4.75
7. How confident are you in your ability to conduct the IDF assessment without the assistance of a CAP facilitator?	4.25
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	3.75
TOTAL	4.56

Appendix A: RMF Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
Oversight/Vision					
Aspect	Component				
Board	Board's Role	Roles of Board members and the relationship of Board members to the President or Executive Director are unclear.	Board members work in close cooperation with President ou Executive Director.	Board members formulate the NGO's policies and its strategic plan.	Board Members lobby for the NGO and ensure effective network relationships with other organizations.
	Active Board Members	Board is formally constituted, but not yet an active force.	Board is becoming an active partner and some members contribute resources.	The Board influences the evolution of the NGO and some Committees have been formed. However only a few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance the NGO	Board is selected based on initial enthusiasm of founding members, not necessarily on its long-term development.	Board members' skills do not match with growing needs of the NGO.	Board's skills match needs of the developing organization.	Board members are catlyst for long-term development of the NGO.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health or development.	Mission Statement exists, but is not focused. Diverse portfolio of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the Mission Statement and people outside organization may not identify it with the NGO.	Clear Mission Statement that is sufficiently articulated by Board and staff. Outsiders identify the same mission with the NGO.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
Management Resources					
Aspect **Leadership Style**	Component Board	All leadership emanates from core founder(s).	Leadership comes from founder(s) and one or more Board members.	Vision increasingly comes from Board as Board members improve involvement.	Virtually all Board members contribute to leadership and development of the organization.
	Shared Leadership	Staff provide technical input only. Decisions taken by core founder(s) or the Executive Director.	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly make decisions as a team	Organization would survive without the current Executive Director or Chairperson of the Board.
Strategic Planning	Mission/ Overview	Planning is predominately ad hoc and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term and strategic in nature and structured around the NGO's Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Executive Director and/or Board driven.	The participation of staff in planning is widened with contributions to decision making.	Constituents provide information for planning but beneficiaries excluded from decision making.	Constituents and staff contribute to planning decisions along with the Executive Director and Board.
	Resource Implications	Objectives set without assessment of resource requirements – financial, materials, humains - nor consideration of important external factors (economic,	Accomplishment of objectives tied to available resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review the plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
		cultural, demographic, legal).			
	Work Plans	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Executive Director and Chairperson with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated and institutionalized to appropriate level of the NGO.
	Transparent and Participatory Decision-Making	Decisions handed down to organization from Executive Director without clear decision criteria and little or no feedback.	Management decision criteria used by Executive Director generally shared, but staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation (salaried & volunteer)	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand their role in the NGO and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as regular staff meetings).	Formal and informal channels established and utilized. Communications are open and inter-hierarchical	NGO periodically reviews communication flow to ensure free flow of information through both formal and informal channels.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
Management Systems	Personnel Systems (salaried & volunteer)	No formal personnel systems (job descriptions, recruitment and hiring procedures, promotions, etc.) exist.	Some, but not all necessary, personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic through out the NGO.	Files are systematic, and accessible, but significant gaps remain from one office to another.	Files are comprehensive, systematic and accessible.
	Data and Document Management	No computerization of data or documents	Some data and documents are managed electronically but the system is not complete or systematic.	Systematic information technology system in place although there are still significant gaps.	Complete, systematic and accessible information technology system in place.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Service Delivery		Service delivery to NGO's customers is supply-driven, often responding to the specifications of donors.	Type, quantity and quality of services delivered to its customers are at the initiative of the organization. Little monitoring of service quality is undertaken. Customer input into product design or quality review is ad hoc, if at all.	Organization makes consistent effort to obtain customer input into determining the appropriate type, quantity and quality of services. Customers' attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to customers. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
					on this data.
Constituency Participation		Organization involves its constituencies only as recipients of the organization's program.	Organization draws on its constituences' leaders for advice and mobilization of constituencies.	Organization draws on its constituences' leaders in planning, implementation and evaluation events.	Constituences participate fully in planning, implementation, and evaluation. Constituencies contribute cash, material, labour, and management to create and maintain project results.
Monitoring and Evaluation	Integration into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders. M&E still isolated management function	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data.	Ongoing M&E system functioning and data analysis are integrated into decision-making.
	Constituency Feedback	No feedback from constituencies.	Informal channels for constituences feedback.	Formal mechanisms exist for constituences feedback but only via surveys and evaluations. Women and marginalized groups not included.	Continuous feedback and input from constituences. Wwomen and marginalized groups are actively involved.
Human Resources					
Skills		Too few people are filling too broad a range of professional skills.	External pecialists are brought on for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with NGO staff and external experts.	All skills areas are covered and NGO. Staff experts are recognized for excellence and may even provide expertise and assistance to outside organizations.
Strategy		Human resource development is ad hoc	General direction provided for staff development, but it is short-	Staff development is based on needs assessment (mid and	Professional development is considered part of overall

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
		and based on emerging opportunities.	term and project based.	long term) and an action plan exists. The plan is consistent with organizational mission.	development of organization. It is supported by individual career development plans.
Training		Little, or no, training provided.	Training is significant, but ad hoc, and is usually initiated from outside the NGO.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring		Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.
Motivation		Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal and recognition system established.	In the formal performance appraisal system, employees participate in objective setting and know what is expected of them.
Organization-al Diversity	Policy	Organization has little consciousness of importance of, or interest in, diversity.	Consciousness increased, but still no policy regarding diversity.	Organization expresses commitment to diversifying staff via formal policy.	Active recruitment from traditionally disadvantaged groups for board and staff
	Staff	Staff is under-represented by traditionally disadvantaged groups.	Some traditionally disadvantaged groups are on staff.	Significant representation of traditionally disadvantaged groups among the staff.	Composition of staff adequately represents traditionally disadvantaged groups.
Financial Resources					
Aspects	Components	Budgets are set unrealistically. Budgets	Budgets are maintained on project-by project basis, but are	NGO maintains a multi-year "master" organizational	Financial planning is based on a "master" organizational

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
Financial Management	Planning	are developed incrementally on a project-by-project basis, usually only for donor funding.	not used as instrument for organizational decision-making. NGO develops an awareness of overall annual financial condition emerges.	budget, but still does not manage finances accordingly.	budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal financial controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. NGO often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used to facilitate operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.
	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessful.	Local resource mobilization pursued on an ad hoc basis.	Local resource mobilization strategy is operational.	Local resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viability		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is available to cover project activities, consistent with the Mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with Mission, have long-term funding plans and current funds are adequate to meet needs of management plan.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
External Resources					
Aspect	Component				
Public Relations	Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	NGO makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	NGO begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	NGO able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	NGO uses its established media relationships for frequent and effective public communication. A media strategy exists and attempts are made, through social marketing and other means, to both make the organization known and to foster a broader public awareness in support of the Mission.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	0	1	2	3	4
Aspect	Component				
Advocacy	Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic. NGO applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans which take into account stakeholder and constituency interests may not be reviewed or evaluated based on experience.	NGO holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals. NGO uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	NGO does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	NGO opportunistically produces and disseminates information to educate and advocate on behalf of constituents, and is aware of the impact or reception of such information. At this point number of advocacy issues is limited to one.	NGO systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	NGO has established itself as a credible information source on issues within its area of interest. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	NGO does not utilize constituents in planning or executing advocacy campaigns.	NGO contacts one or more constituencies in setting priorities and executing advocacy plans, as seems appropriate.	NGO systematically engages all appropriate constituencies in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituencies for advocacy campaigns and is responsive to their advocacy priorities.	NGO has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the NGO.
Constituency Orientation		Organization operates in centralized manner with little connection to	Organization serves constituency based on perceptions/assessment, but without active constituency	Constituency input sought for key decisions. NGO and its efforts viewed by constituency as a service	Constituency interests are integrated into NGO's policies and practices.

Resources 0	CRITERIA FOR EACH PROGRESSIVE STAGE Founding 1	Developing 2	Expanding/ Consolidating 3	Sustaining 4
	consituency.	involvement.	provided to constituency.	
Ability to work with central and local government	Viewed as "us" versus "them". Little regular communication. Tension is frequent between government and NGO.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners.
Ability to work with other NGOs	NGO does not have experience working with other NGOs. Not known or trusted by NGO community.	NGO increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements only.	NGO works with international or local NGOs, and participates in NGO networks and coalitions. Networks and coalitions are based on constituency needs.	NGO plays leadership role in promoting NGO coalitions based on constituencies' interests. Capable of helping to resolve NGO-NGO or NGO Government conflict and of affecting policies on behalf of constituency

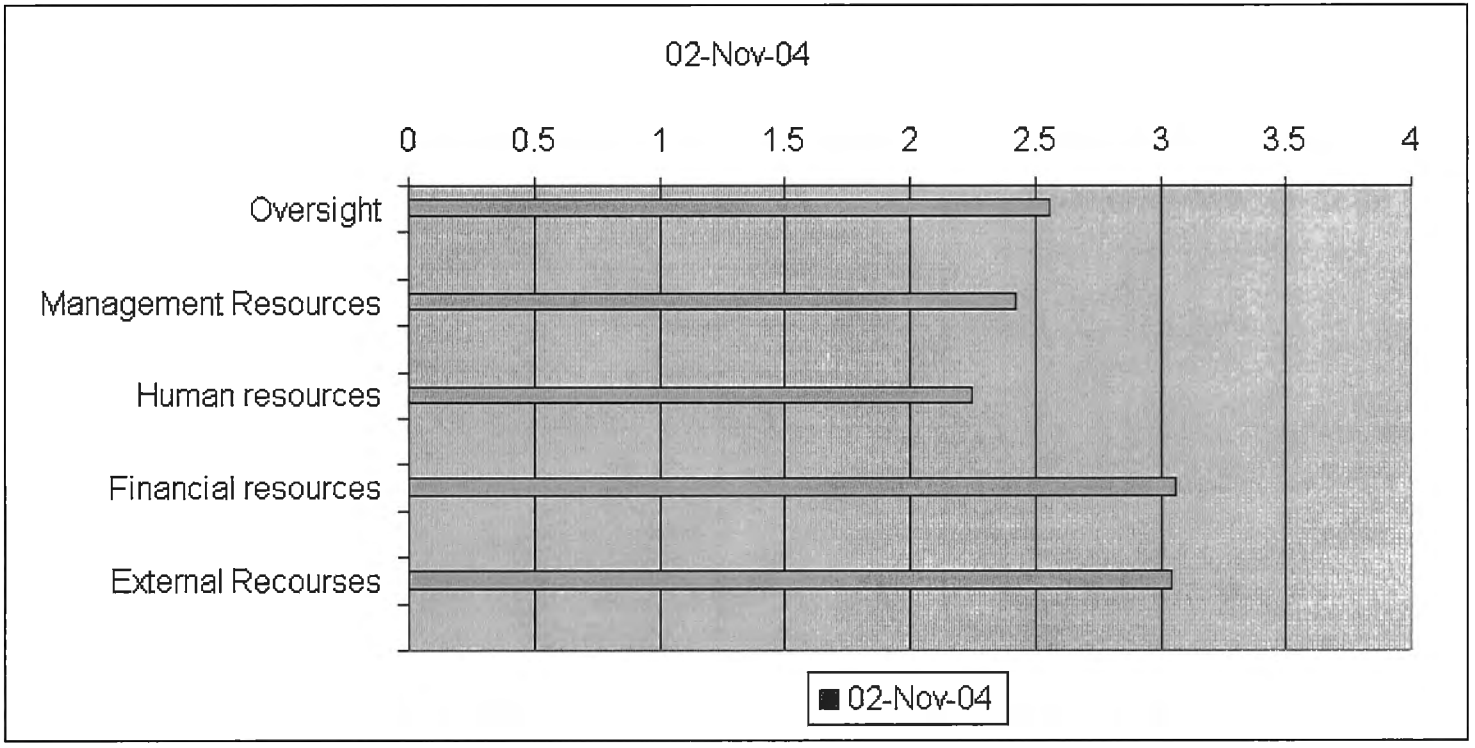
Appendix B: RMF Institutional Development Calculation Sheet (IDCS)

Category of Resource Area	Key Components	Raw Score	Short term priorities 1-4	Modified Score	Comments
Oversight					
Board	**Role of Board**	1	1	1	The roles are not defined (RFM does not receive support from the Board)
	Active Members of the Board	1.5	2	3	Only one member mobilizes resources
	Members contribute to the advancement of the organization	1	1	1	
		1.166666667		1.6666667	
Mission		3	3	9	There needs to be a better awareness of the mission, both internally and externally.
		3		9	
Autonomy		3.5	4	14	RMF is not yet able to represent entirely the interests of stakeholders
		3.5		14	
Management Resources					
Leadership style	**Board Members**	1	1	1	Leadership only comes from the founder
	Shared Leadership	2	3.25	6.5	Lack of participatory management mechanisms
		1.5		3.75	
Strategic	**Mission / Overview**	2	3	6	No strategic plan, no long-term plan
Planning	**Participation**	2.5	2.5	6.25	Stakeholders and staff do not take sufficient part in decision making or planning
	Resource Implications	3	3.5	10.5	The plans are not complete
		2.5		7.5833333	
Participatory Management	**Appropriate Delegation**	2.5	4	10	There is delegation, but it is still limited to certain departments *3.50 at Headquarters
	Transparency / Participation in Decision-Making	2	3	6	Decisions are not sufficiently made as an institutional process
	Staff participation	3.5	3	10.5	There is some flexibility in staff roles
	Communication flow	2.5	3.5	8.75	Communication channels are not systematized
	Coordination between headquarters and regional centers	1.5	4	6	The communication is always irregular

		2.4		8.25	
Management systems	**System for managing staff**	1.5	2.5	3.75	A system is being put in place
	System for filing documents	3	3.5	10.5	Filing is not done regularly and is not kept electronically
	Administrative procedures	2	4	8	An administrative system needs to be set up
	Systems appropriately flexible	3.25	4	13	A flexible system, but not institutionalized
		2.4375		8.8125	
Service delivery		2.75	2.5	6.875	Beneficiary opinions are not systematically considered
		2.75		6.875	
Stakeholder Participation		3	3	9	It depends on the national coverage of the project and on the involvement of other parties. It depends on the degree of expertise.
		3			
Monitoring and Evaluation	**Integration into decisions**	2.75	3.5	9.625	Evaluation is not systematized. It depends on staff initiatives and donor requests.
	Stakeholder feedback	2	2	4	No formal systems of monitoring and evaluation
		2.375		6.8125	
Human resources					
Skills		2.5	3.5	8.75	The areas in which one does not find competence are rare
Strategy		2	2.5	5	No long term strategy
Training		2	3.5	7	Lack of internal plan for staff training
Active mentoring role		2.75	1.5	4.125	Lack of sufficient training
Motivation		2	3	6	Review without formal evaluation system
Diversity in the organization	**Policy**	3	3	9	The strategy is not written, but it is formally worked with / is being formulated
	Staff	4	1	4	It reflects the composition of society
		3.5		6.5	
		2.458333333		6.2291667	
Financial resources					
Financial Management	**Design**	2	3	6	RMF is committed to having a detailed annual budged but no concrete measures have been taken in that direction
	Control	2.5	2.5	6.25	Financial procedures are not completely systematizes

	Establishment of reports	2.5	3	7.5	Reports are not systematized
	Account verification	4	4	16	Regi;ar;u
	Account separation	3	2	6	Occasionally there is recourse to cross-financing
		2.8		8.35	
Financial vulnerability	**Funding diversity**	4	4	16	Very good
	Mobilization of local resources	3.25	3	9.75	Expenditures are not funded by local resources. There is not yet an institutionalized way of mobilizing local resources.
		3.625		12.875	
Financial viability		2.75	4	11	Need a strategy for the mid and long term.
		2.75		11	
External Resources					
Public relations	**Public recognition**	3.5	3	10.5	RMF is sometimes recognized by its community as a political stakeholder
	Media strategy	3.25	2.5	8.125	RMF does not have a written media strategy
		3.375		9.3125	
Advocacy	**Strategic Approach**	2.5	3	7.5	Advocacy is a strategic option but it remains opportunistic and sporadic
	Use of the research and information	2.75	3	8.25	Information dissemination is not systematic
	Mobilizing constituents	2.5	3	7.5	It is not systematic and there has not been a technical analysis yet
		2.583333333		7.75	
Stakeholder involvement		2.75	2.5	6.875	RMF takes into consideration the opinion of constituents without integrating it into the decision making
Ability to work with Central and local gov't		3	3	9	no formal mechanisms and the relations are not as equal partners
Ability to work with other NGOs		3.75	1	3.75	RMF does not yet have a formal system for improving other NGOs
		3.166666667		4.25	
Total		45.3875		126.51667	
Average Score		2.669852941			

Summary of average placement change, by resource area	
Oversight	2.555555556
Management Resources	2.423214286
Human Resources	2.25
Financial Resources	3.058333333
External Resources	3.041666667



Appendix C: RMF Institutional Development Profile (IDP)

	Start-up	Development	Expansion/Consolidation	Sustainable
Organizational Characteristics	1	2	3	4
Oversight/Vision				
Board				
Mission				
Autonomy				
Management Resources				
Leadership Style				
Planning				
Participatory Management				
Management Systems				
Service Delivery				
Stakeholder Participation				
Monitoring and Evaluation				
Human Resources				
Skills				
Strategy				
Training				

Legend:

BaselineL as of 1 Nov 2004

Mid-course - May 2005???

Post grant: ???

Appendix D: RMF Institutional Improvement Plan

The CAP consultant arrived in Beirut on Sunday, 24 October 2004, and worked with RMF staff over ten days. The first week included three days of IDF facilitator training and two days of preparation. The RMF workshop was conducted in the north of Lebanon on 31 October and 1 November; reporting was completed before the consultant's departure on 4 November. The following priorities emerged as being both absolutely essential to RMF's survival and lacking from RMF's current plan for consolidating its operational management.

1. Institutionalize monthly coordination meetings.
2. Institutionalize administrative and human resources management systems.
3. Develop a global annual RMF budget for 2005.
4. Develop multi-annual Strategic Plan for 2006 to 2012.

Planned Improvement Activities

Near-term RMF Institutional Improvement Plan					
Result 1: Institutionalize monthly coordination meetings					
Performance Indicator(s): *1.* Meeting held on the first Tuesday of each month *2.* Notes for the record drafted for each meeting					
Development Activities	Resource Needs	Available Resources	Sources	Person Responsible	Completion Date
1. Prepare & approve the meeting's agenda.	0	-	-	Fady & Rania	Three days before the meeting
a. Draft agenda .	0	-	-	Rania	10 days in advance
b. Include contribution of interested parties.	0	-	-	Key-people	1 week in advance
c. Finalize meeting agenda and send to key-people.	0	-	-	Rania	Three days before the meeting
2. Call key-people.	0	-	-	Rania	1 week in advance
3. Facilitate meeting.	0	-	-	Elected president	On the day of meeting
4. Draft and disseminate notes for the record.	0	-	-	Rania	In a three day delay
Total:	0		Deadline:	Fady & Rania	January 15, 2005

Near-term RMF Institutional Improvement Plan

Result 2: Institutionalize administrative and human resources management systems

Performance Indicators:

1. Draft of a Standard Operating Procedures manual (administrative, financial and human resources)
2. Formal procedures on personnel management are collected and institutionalized
3. Personnel understand the procedures and have the possibility of recourse in cases of dispute

Development Activities	Resource Needs	Available Resources	Sources	Person Responsible	Completion Date
1. Engage an independent consultant to: a. Gather existing procedures and collect relevant information. b. Draft a Standard Operating Procedures manual.	- Local Consultant - Approx. 7000 USD	None		Damia	Starting date: 15 January 2005 Completed: 28 February 2005
2. Present the First draft of a Standard Operating Procedures manual to the RMF personnel for feedback.	Local consultant with Directors	-	-	Directors	14 March 2005
3. Obtain approval of First draft of a Standard Operating Procedures manual by Founder and key-persons.	-	-	-	Fady & Damia	End March 2005
4. Present final version of the manual.	Local consultant	-	-	Damia	15 April 2005
5. Disseminate adopted procedures with feedback.	-	-	-	Dr. Rouhban, Iskandar, Rania, Linda	15 May 2005
Total:	7000 USD		Deadline:	Damia	End May 2005

Near-term RMF Institutional Improvement Plan

Result 3: Develop a global annual RMF budget for 2005

Performance Indicators:
1. Annual RMF budget drafted
2. 2005 Annual RMF budget approved by the appropriate sources
3. Budget future Implementation steps in place

Development Activities	Resource Needs	Available Resources	Sources	Person Responsible	Completion Date
1. Draft a provisional unified budget for 2005.	0	-	-	Mireille & CAN Accountant	End of January 2005
2. Complete financial analysis yielding budget projections for 2005.	0	-	-	Fady + Nabil + Dr. Rouhban	15 February 2005
3. Manage working session for leadership and financial management staff to review and finalize the plan.	0	-	-	Fady	End of February 2005
4. Adopt a final budget plan.	0	-	-	Interested parties	1st of April 2005
5. Take steps to implement budget for year 2005.	0	-	-	Mireille & Accountant CAN	2nd of May 2005
Total:	0		Deadline:	Mireille & CAN Accountant	2nd of May 2005

Long-term RMF Institutional Improvement Plan

Result 4: Develop a multi-annual Strategic Plan for 2006 to 2012

Performance Indicators:
1. The multi-annual Strategic Plan for 2006-2012 available and reflects RMF priorities
2. The multi-annual Strategic Plan for 2006-2012 approved by the BOT
3. Performance measures for the short and medium term are available for the use of department directors and project managers.

Development Activities	Resource Needs	Available Resources	Sources	Person Responsible	Completion Date
1. Analyze the strategic priorities / objectives to be achieved by RMF for the period 2006-2012.	Data on sectoral needs in the various RMF areas of intervention	Existing project reports from the service centers	RMF	President Fady + Badra + Nabil + Dr. Rouhban	N/A

2. Conduct a strategic planning workshop among RMF management teams to draft a Strategic Plan.	- External Consultant - $$$ Cost of the workshop + Consultant	None	Possible source of funding: CAP Program	Badra	N/A
3. Develop a final draft Strategic Plan for 2006-2012.	Consultant	None		Fady + Badra + Nabil + Dr. Rouhban	N/A
4. Adoption of Strategic Plan for 2006-2012.	0	-	-	President et Director Executive and Center Directors	N/A
5. Develop Annual Work Plans for 2006.	0	-	-	Department and Project Directors	N/A
Total:	N/A		Deadline:		N/A

CAPABLE PARTNERS PROGRAM (CAP)

Union of Mongolian Environment Non-Governmental Organizations

Institutional Self-Assessment and Improvement Process

CAP is implemented by

AED
Academy for Educational Development

in partnership with

MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

August 2004

Report on Union of Mongolian Environment Non-Governmental Organizations Institutional Self-Assessment and Improvement Process

August 2004

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Summary, Findings, and Conclusions

Like many Mongolian NGOs, the Union of Mongolian Environment Non-Governmental Organizations (UMENGO) was formed as an international NGO project: the World Wildlife Fund (WWF) founded UMENGO in 2000. Beginning with 22 NGOs, UMENGO now has 33 members, but WWF's initial funding has not continued and UMENGO's activity has correspondingly decreased. In addition, UMENGO members have historically paid dues in the first quarter of the calendar year; however, none has yet paid for 2004.

UMENGO has a very important mandate: to coordinate the activities of Mongolian environmental organizations. Understanding the environmental crises facing Mongolia, UMENGO has a great deal of work to do; however its own challenges – financial, managerial, and organizational – may circumscribe it.

Figure 1: UMENGO's Institutional Development Profile, Summary by Resource Area

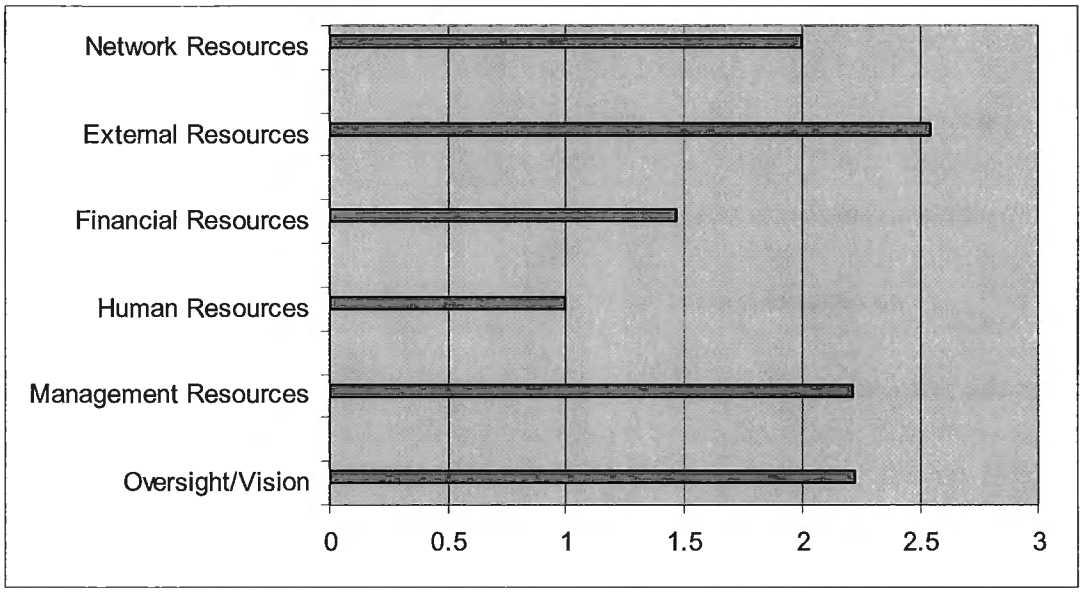


Figure 1, above, shows that UMENGO is relatively strong in donor and other external relations, given its experience in implementing projects. Its human and financial resources are weaker and need to be addressed. UMENGO will first tackle the pressing financial crisis, meeting immediately with its Board to recover back dues and then tapping local resources to obtain technical assistance on financial management. This will be followed by additional CAP technical assistance, which UMENGO will also use to review and revise its Mission. Once the financial crisis has been averted, defining that mission and revitalizing the network around it are critical.

Background

UMENGO's Mission is "*to work as a united force coordinating environmental NGO activities, promoting their rights and interests, assisting them to fulfill their objectives and to strengthen their capacity to conserve the natural environment of Mongolia*". UMENGO wants to be key to promoting environmental issues in Mongolia, but its current organizational and financial situations make that all but impossible, except on an *ad hoc* basis. To survive, UMENGO needs more dedicated staff, paid or unpaid. The Board's lackluster participation, and the President's inability to put aside sufficient time for the IDF, make the consultant doubt whether current UMENGO leadership will make the necessary commitment to change. In addition, UMENGO has no funds for its coordinating work, only for implementing projects, so it is barely surviving financially. UMENGO implements projects through its various members, fitting project needs to the particular skills of a member organization. However, members are extremely busy with their respective NGOs and, in many instances, multiple other jobs.

UMENGO seems no longer clear of its mission, or how to benefit its constituents. Participating members commented that they "just want something" from UMENGO: direction and an advocate, both of which it seems unable to provide. UMENGO needs to decide if it is indeed an advocacy organization; if so, it must acquire the necessary skills. UMENGO's first President was apparently a very dynamic woman whose energy infused the network. Since her departure, it has suffered and been less active. In April, UMENGO hired a new Executive Director, and all within and without UMENGO agree she is doing a fantastic job, but has little practical support.

UMENGO was nominated by USAID/Mongolia to participate in the USAID-funded Capable Partners Program's (CAP) Global Core Initiative (GCI) in Advocacy. UMENGO's training in advocacy is complimented by CAP's institutional strengthening support. This document reports the first stage of that assistance: a participatory self assessment, leading to an Institutional Improvement Plan for UMENGO to address areas which the assessment indicated require urgent action. UMENGO will then present this plan to CAP, to its members, and to other donors for funding and ensure that it is implemented.

Process

The Consultant introduced and planned the IDF workshop with the Executive Director, President, and some Board members on Monday, 9 August. The President's (and some Board members') schedules caused the process to be conducted from 10-12 August and then on 16 August. Most critical issues were discussed and plans were created to address them. Unfortunately, several Board members were absent, which seems reflective of network's apathy.

Participants throughout the process included:

Name	Title
J. Batbold	President
B. Gunjilmaa	Executive Director
G. Luvsantseren	Board Member
Ch. Purevsuren	Board Member
Z. Nersmaa	Board Member
M. Amraa	Environment Development Women Center
Sumkhuu	Member

In the first meeting, after reviewing the process, the group began to customize the IDF Matrix, using the template designed for an NGO Network. Facilitated by the consultant, they reviewed each "row", suited it to their circumstances and vision for the future, and assessed their progress. This process was completed by midday on Wednesday, 11 August. The results, reflecting UMENGO's edits, are included as *Appendix A: UMENGO's Institutional Development Framework (IDF).* The Consultant recorded the scores for each row and all necessary comments in the IDCS (*Appendix B*) and presented the results graphically in the IDP (*Appendix C).*

Assessment Results

With the assessment process behind them, the group began to determine improvement priorities. They ranked the various IDF rows along five gradations ranging from "Makes or Breaks UMENGO" to "Not significant at this time"; from the high priorities, the group selected those which the assessment had revealed as UMENGO's weakest areas. The following priorities emerged as those which are absolutely essential, in which UMENGO is seriously deficient:

1. Improve Financial Resources-Fundraising and Financial Management.
2. Clarify UMENGO's Mission and Vision.
3. Expand and Improve Network Resources, Increase Member Participation.

Improvement Plan

UMENGO then began identifying activities which would address the areas in need of urgent attention. Those are summarized in *Appendix D: UMENGO Institutional Improvement Plan.* The activities prompted by the improvement objectives interrelate. For example, UMENGO must improve its financial resources immediately, or go out of business; however it must expand its network to obtain the critical dues. At the same time, if UMENGO clarifies, or redefines, its mission, it could reenergize its inactive membership and Board and recover some back dues.

Next Steps

UMENGO will first reflect on its assessment and make any warranted changes, before submitting a proposal to CAP for technical assistance to support its institutional improvement plan and seek funding from members and other donors to ensure its success. One year from now, UMENGO will reapply the IDF to track its progress and report those results to CAP.

In conducting the second assessment, UMENGO must remember there are two "scores" maintained for UMENGO in the IDCS. The raw score reflects the IDF placement: for example, if two cells have been satisfied, the score would be 2. For each row, UMENGO also determined a weight, based on its assigned priority. Thus the score referenced above might have a weight of 4, for an overall weighted score of 8. In measuring progress in a year, comparisons must be made against this weighted score. The score for this process was 177. CAP is interested in overall percentage change in weighted score. The IDP should be based on the raw score only.

Workshop Rating

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	4.25
2. How useful to you was the assessment of your network's institutional capacity?	4.25
3. How do you rate the facilitator's ability to explain and communicate clearly?	4
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.25
5. How do you rate the facilitator's facilitation technique and skills?	3.75
6. How clearly do you now understand your network's institutional strengthening needs?	3.50
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3.75
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4

Appendix A: UMENGO Institutional Development Framework (IDF)

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Oversight/Vision					
Aspect **Board**	**Component** Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development needs.	Board members' selected more strategically, but most of their skills still do not match growing needs of organization.	Board's skills match needs of the developing organization and begin to move it forward.	Board members are catlyst for long-term development of organization.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health, or peace.	Mission Statement exists, but is not focused. Diverse portfolio of projects and proposals is not consistent with Mission Statement. UMENGO currently has no projects	Mission Statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the Mission Statement. People outside organization may not identify Mission Statement with the organization.	Clear Mission Statement. It can be articulated by Board and staff and is consistent with portfolio. Outsiders identify the same mission with the organization.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Financial Independence/Autonomy **Cut-don't understand**	Organization is the implementing agent of one donor. X--?They raise money through projects. The organization is independent, but financially weak. They do not raise money to implement their umbrella activities, as stated in Mission. There was a lot of discussion about this and the word 'autonomy' and its meaning. They choose this after much discssion. UMENGO is financially vulnerable.	Organization is able to respond to more than one donor and the organization's Board.	Organization is able to obtain funding to support its program, in consultation with the Board.	In addition to managerial and financial autonomy, organization is able to successfully advocate and raise funds, on behalf of its NGO consitutency, to government, donors, and private sector.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
MANAGEMENT RESOURCES					
Aspect **Leadership Style**	**Component** Board	All leadership emanates from core founder(s). **X**	Leadership comes from core founder(s) and one or two Board members.	Vision and management ideas increasingly come from Board as Board members work more closely with the organization.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s). **X**	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly work as a team	Organization would survive without current Executive Director or Chairperson of the Board.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Planning	Mission/ Overview	Planning is opportunistic and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission. X-this is the UMENGO planning process, but it can't be implemented because of lack of financial resources.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Executive Director, and Board driven.	The participation of staff in planning is widened, including staff contributions to planning decision making. X—Open to each member	NGO constituents provide information for planning but beneficiaries excluded from decision making.	Organization's staff and NGO constituents contribute to planning decisions along with Executive Director and Board.
	Resource Implications	Objectives set without assessment of resource requirements, nor consideration of important external factors.X	Accomplishment of objectives tied to resources, but important external factors still overlooked. X	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff X	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	**Appropriate Delegation**	Decisions handed down to organization from Executive Director and Chairperson with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members. For UMENGO this means Network members with particular expertise for a project or activity. X	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated to appropriate level of the organization.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Transparent Decision-Making	Decisions handed down to organization from Executive Director without clear decision criteria and little or no feedback.	Management decision criteria used by Executive Director generally shared with Board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff and members; some staff and members participation in actual decisions.X	Transparent decision-making process; full staff and membership participation in relevant decisions.
	Member Participation	Member roles and responsibilities unclear and changeable.	Member roles better understood, but appropriate avenues for participation not always clear. X	Member understand role in organization more clearly and how to participate in management.	Member increasingly able to shape the way in which they participate in management.
	Communicatio n Flow	Intra-member communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as network meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized. X	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	**Personnel Systems**	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used. X	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain. X	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed. No actual paper manual of procedures exists. This is difficult as there is only one staff member, we want to produce something in hopes or plans of having more staff in the future.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Monitoring and Evaluation	Integrated into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders. X	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision- making.
	Constituency Feedback	No feedback from NGO constituency.	Informal channels for NGO constituency feedback.	Formal mechanisms exist for NGO constituency feedback but only via surveys and evaluations. X	Continuous feedback and input from NGO constituency.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain. X- Current members can provide all skills for UMENGO, but need outside experts and training and other skill sets if the network is to expand.	All core skills areas are covered with staff/members and external experts.	All skills areas are covered and staff/members/external experts are recognized for excellence. They may even provide expertise and assistance to outside organizations.
Training	Little, or no, training provided. X	Training is significant, but is opportunistic in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Motivation	Little or no recognition of member performance. Member "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists. X	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
Financial Resources					
Aspects **Financial Management**	**Components** **Planning**	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges. X	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic. X	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.-Data system here means hand written reports.
	Audits	Audits are not performed.	External audits are only rarely performed. X only if the project is larger than $500,000 is there a donor supported audit.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors. X-UMENGO funds its activities from project funds, and does not separate these funds. UMENGO has no way to actually fund its main mission.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Financial Vulnerability	Funding Diversity	Financing comes from only one source. X- As of right now, the Network has no other source of funding, dues, which people have not paid. Up until the end of last year UMENGO had some projects and 70% of its funding came from one donor.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.
	Own Resource Mobilization	Own resource mobilization (including dues, labor, and services) for operational income is untried or unsuccessful. X	Own resource mobilization pursued on an ad hoc, basis.	Own resource mobilization strategy is operational	Own resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities. X	Funding is available to cover immediate project activities only, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
External Resources					
Aspect **Public Relations**	**Component** **Public Recognition**	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers. The network, and especially the President do have some political connections that can and should be used in the future.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic. **X**	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists that supports advocacy campaigns and seeks to make the organization better known and to foster a broader public awareness in support of the Mission.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect **Advocacy**	**Component** **Strategic Approach**	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic, sporadic, and not coordinated. Advocacy is not strategic. **X**	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents, but is unaware of the impact or reception of such information.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate. X	Organization has established itself as a credible information source on issue within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents (public) in planning or executing advocacy campaigns.	Organization contacts one or more constituent NGOs in setting priorities and executing advocacy plans, as seems appropriate.	The organization engages in campaigns as part of projects, it does not engage constituents in terms of setting advocacy priorities. The network agrees on what the priorities are, but has not been able to articulate them in a way outside of project twinned advocacy campaigns.	Organization has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the organization.

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/Consolidating	Sustaining
Ability to work with central and local government	Viewed as "we", "they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects. X	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners. Often the central authorities refer to organization for advice.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners. The central government often integrates the organizations' recommendations into development plans.
Ability to work with NGOs outside network	Organization only slightly known and trusted by broader NGO community. But, organization does not have experience working with NGOs outside its network.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements.	Organization works with international or local NGOs, and participates in other NGO networks and coalitions. Networks and coalitions are based on NGO constituency needs. X	Organization plays leadership role in promoting NGO coalitions based on NGO constituencies' interests. Capable of helping to resolve NGO-NGO or NGO Govt conflict and of affecting policy on behalf of constituency
Network Resources				
Constituency Orientation	Organization operates in centralized manner with little connection to NGO consituency.	Organization serves NGO constituency based on perceptions/assessment, but without active NGO constituency involvement. X	NGO constituency input sought for key decisions. Organization and its efforts viewed by NGO constituency as service provided to them.	NGO constituency interests are integrated into organization's policies and practices.
NGO Constituent Participation in Organization	Organization involves its NGO constiuency only as recipients of the organization's program.	Organization draws on leaders of its NGO constiuency for advice and mobilization of its members.	Organization draws on leaders of its NGO constiuency in planning, implementation and evaluation of organization's events. X	NGO constiuency participates fully in planning, implementation, and evaluation. Constiuency NGOs contributing cash, material, labour, and management to create and maintain project results.

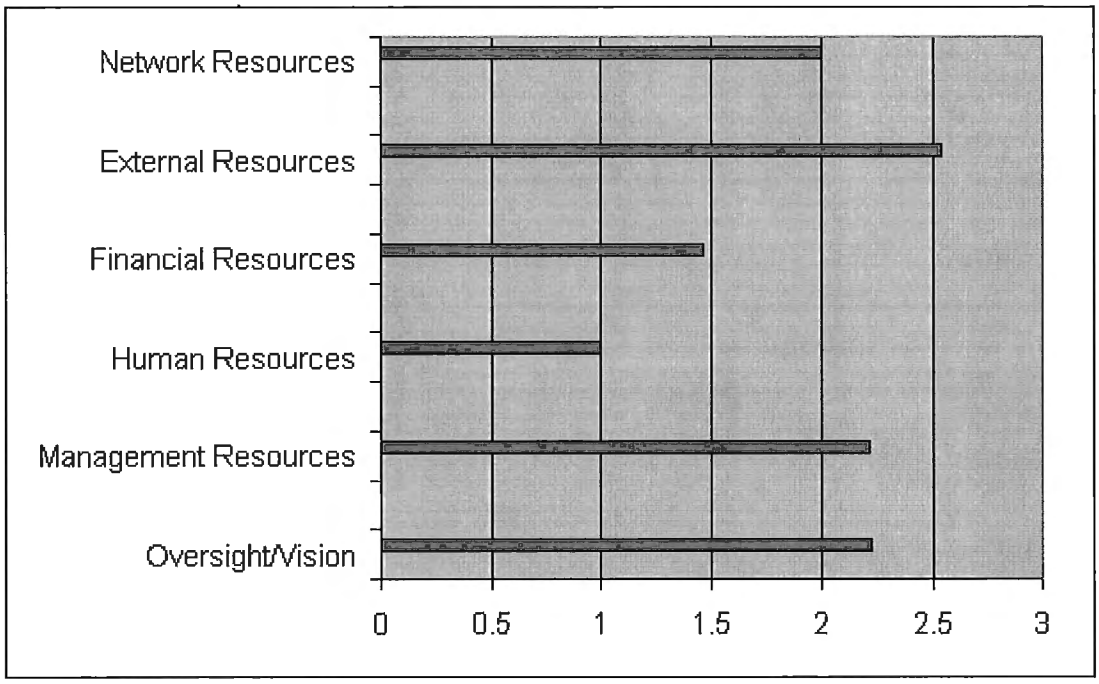
Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/Consolidating	Sustaining
Service Delivery	Service delivery to NGO constiuents is supply-driven, often responding to the specifications of donors.	Some NGO constituency input included in determining activities.	Organization makes consistent effort to obtain NGO constiuents' input into determining the appropriate type, quantity and quality of services. NGO constituents attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to NGO constiuents. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data. Constituent ratings are high.
Active Membership	Organization is a "membership" Intermediate Service Organization, but has few members enrolled, relative to the number in its potential target group, given its mission. Of those enrolled, few are active.	Organization has a reasonable number of members enrolled (relative to their target group). However, fewer than half are current in dues payment, most are not active participants in organizational matters, and many do not identify with the organization and its mission. No members have paid dues in 2004.	More than half of members are current in dues payments and increasingly identify with the organization and its mission. They increasingly avail themseleves of services provided by the mission, but rarely contribute time or energy to maintenance and promotion of the organization. A quorum is always obtained for Annual General Meetings.	Most members are current in dues payments, are active in organizational issues, identify strongly with organization's mission. In addition to availing themselves of services of the organization (such as training) a significant number of members provide real thrust to the organization.
Specific Service Delivery Indicators				

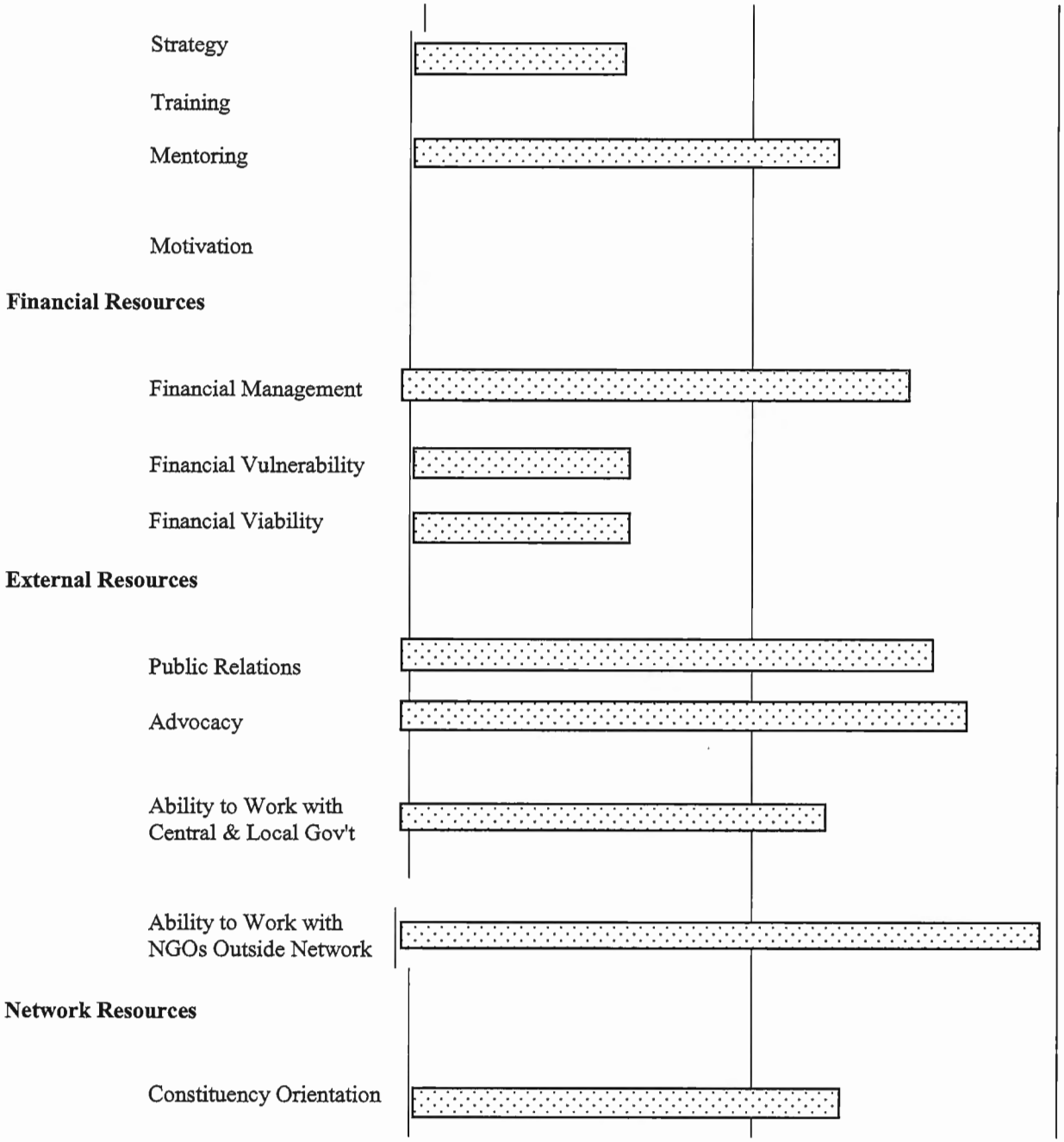
Appendix B: UMENGO Institutional Development Calculation Sheet (IDCS)

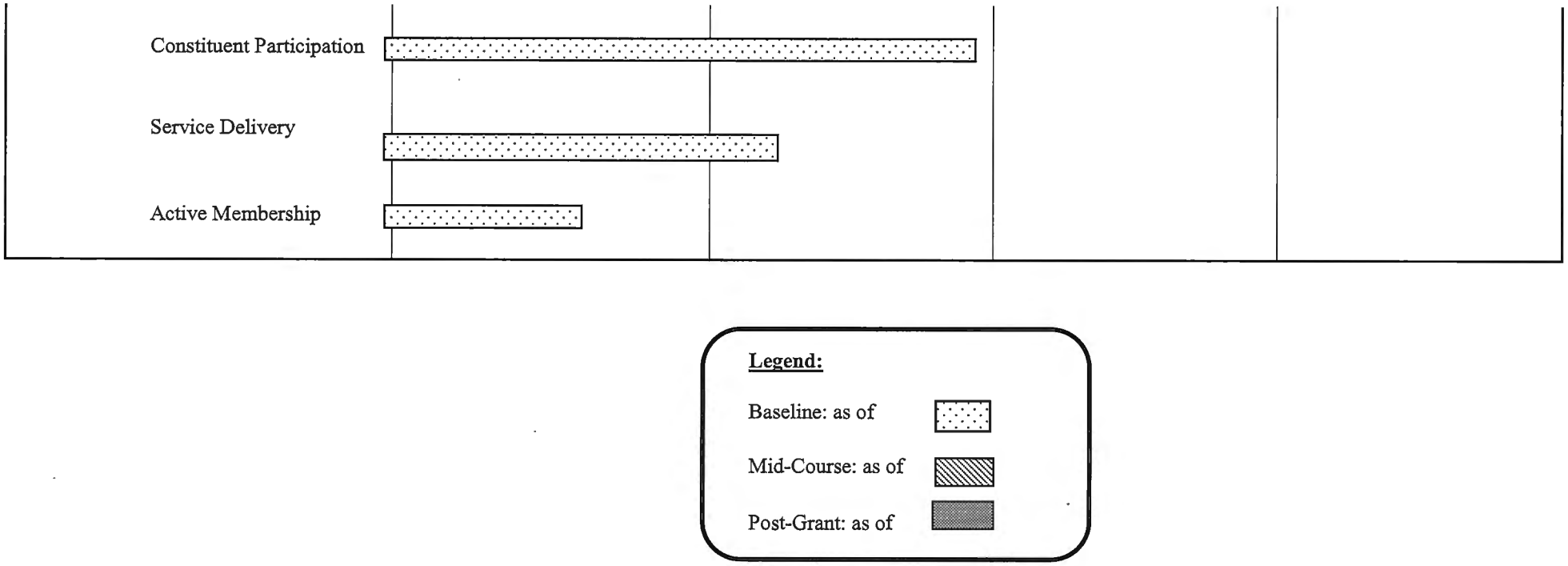
Resource		Raw	Weight	Adj.	Raw	Adj.	Change
Aspect	Key Components	Score		Score	Score	Score	Over Time
Board	Board's Role	3	2	6		0	-6
	Active Board	3	2	6		0	-6
	Members Advance Org.	2	2	4		0	-4
		2.6667			0		
Mission	Mission	3	3	9		0	-9
		3			0		
Autonomy	Autonomy	1	4	4		0	-4
		1			0		-4
Leadership	Board	1	2	2		0	-2
Style	Staff Teamwork	1	2	2		0	-2
		1			0		
Planning	Mission/Overview	3	3	9		0	-9
	Participation	2	2	4		0	-4
	Resource Implications	2	3	6		0	-6
	Work Plan as Tool	2	1	2		0	-2
		2.25			0		
Participatory	Appropriate Delegation	2	2	4		0	-4
Management	Transparent Decision-making	3	1	3		0	-3
	Staff Participation	2	3	6		0	-6
	Communication Flow	3	1	3		0	-3
		2.5			0		
Management	Personnel Systems	3	1	3		0	-3
Systems	File Systems	3	0	0		0	0
	Administrative Procedures	1	1	1		0	-1
		2.3333			0		
M&E Systems	Integration into Decisions	3	2	6		0	-6
I	Constituency Feedback	3	2	6		0	-6
		3			0		
Human Resources	Skills	2	4	8		0	-8
	Strategy	1	3	3		0	-3
	Training			0		0	0

	Mentoring			0		0	0
	Motivation	2	2	4			-4
		1			0		
Financial Management	Planning	2	1	2		0	-2
	Control	2	1	2		0	-2
	Reporting	4	1	4		0	-4
	Audits	2	1	2		0	-2
	Separation of Accounts	2	1	2		0	-2
		2.4			0		
Financial Vulnerability	Funding Diversity	1	3	3		0	-3
	Local Resource Mobilization	1	2	2		0	-2
		1		0	0		
Financial Viability	Financial Viability	1	2	2		0	-2
		1			0		
Public Relations	Public Recognition	2	3	6		0	-6
	Media Strategy	3	1	3		0	-3
		2.5			0		
Advocacy	Strategic Approach	2	4	8		0	-8
	Use of Research/Info	3	2	6		0	-6
	Mobilizing Constituents	3	3	9		0	-9
		2.6667			0		
Ability to work with central and local gov't	Ability to work with central and local gov't	2	2	4		0	-4
		2			0		
Ability to work with other NGOs	Ability to work with other NGOs	3	1	3		0	-3
		3			0		
Network Resources	Constituency Orientation	2	2	4		0	-4
	Constituency Participation	3	3	9		0	-9
	Service Delivery	2	2	4		0	-4
	Active Membership	1	1	1		0	-1
		2			0		
Total Placement		92		177	0	0	-177
Average Placement		2.0909			0		0

Summary of Average Placement Change, by Resource							
Oversight/Vision		2.2222			0		
Management Resources		2.2167			0		
Human Resources		1			0		
Financial Resources		1.4667			0		
External Resources		2.5417			0		
Network Resources		2			0		




Strategy
Training
Mentoring
Motivation
Financial Resources
Financial Management
Financial Vulnerability
Financial Viability
External Resources
Public Relations
Advocacy
Ability to Work with Central & Local Gov't
Ability to Work with NGOs Outside Network
Network Resources
Constituency Orientation


Constituent Participation
Service Delivery
Active Membership
Legend:
Baseline: as of
Mid-Course: as of
Post-Grant: as of

Appendix D: UMENGO Institutional Improvement Plan

UMENGO conducted an institutional self-assessment at its offices in Ulan Batar from 9-11 and 16 August. Using the IDF, staff from the USAID-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the attached report. UMENGO analyzed the results to prioritize areas for focused improvement over the next year as follows:

1. Improve Financial Resources-fundraising and financial management.
2. Clarify UMENGO's Mission and Vision.
3. Expand and Improve Network Resources, increase member participation.

The activities prompted by the improvement objectives interrelate. For example, UMENGO must improve its financial resources immediately, or go out of business; however it must expand its network to obtain the critical dues. At the same time, if UMENGO clarifies, or redefines, its mission, it could reenergize its inactive membership and Board and so recover some back dues.

Participants throughout the process included:

Name	Title
J. Batbold	President
B. Gunjilmaa	Executive Director
G. Luvsantseren	Board Member
Ch. Purevsuren	Board Member
Z. Nersmaa	Board Member
Giikhnaran	Assoc. of National Parks of Mongolia
Sumkhuu	Member

Planned Improvement Activities

Please note that the following activities are the result of rapid brainstorming. UMENGO will further refine them in the coming days and complete columns 2, 3, and 4 in the coming weeks.

Objective 1: Improved Fundraising/Financial Management			
Activities	Resources needed	Sources	Completion date
Hold emergency Board Meeting on the issue of unpaid dues. Seek to recover unpaid dues for 2004 and open discussion of fundraising efforts. Request extra dues from Board members.			
Use Board meeting to explain the current crises and explain the IDF process that took place. Set schedule for more frequent Board meetings to plan next steps.			
Acquire Accounting Software.		CAP	
Meet with key donors like UNDP and WWF to discuss funding opportunities.	Staff and active Board members.		
At least President, Executive Director, and key, active Board members seek local training on financial management and fundraising.	Local TA/TA from INGO based in UB		

Objective 2: Clarify Mission/Vision			
Activities	Resources needed	Sources	Completion date
Critical to hold a meeting of Board members to review and, if necessary, re-write the Mission/Vision for UMENGO. This meeting should be facilitated by an experienced OD consultant and should focus on assisting UMENGO understand and define concepts of network, constituency, advocacy.	External Consult	CAP	

Objective 3: Expand and Improve Network Resources, increase member participation			
Activities	Resources needed	Sources	Completion date
Analyze membership base, particularly characteristics of organizations in good standing in comparison to those which are not paid up.	Staff and members with TA		
Survey of all UMENGO members (paid and non-paid) to learn their perceptions of UMENGO's services and effectiveness and to determine which services they would most like to see UMENGO provide.	Staff and members with TA		
Take immediate steps to communicate with network members that are not located in UB.	UMENGO		ASAP

CAPABLE PARTNERS PROGRAM (CAP)

Ciudadanos por la Reforma

Institutional Self-Assessment and Improvement Process

August 2004

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

Report on Ciudadanos por la Reforma
Institutional Self-Assessment and Improvement Process
August 2004

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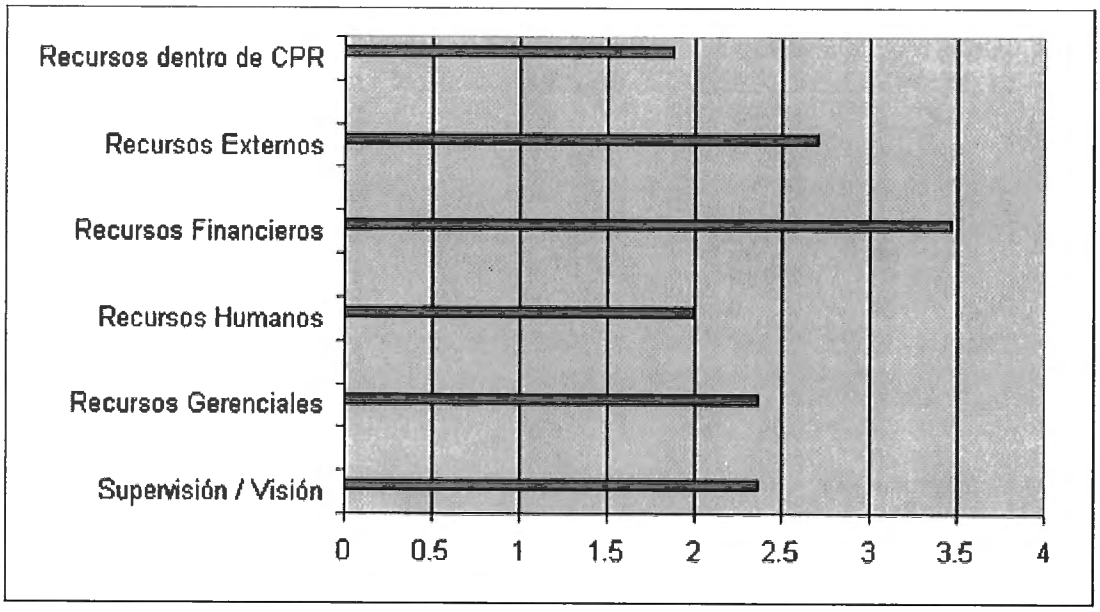
Summary, Findings, and Conclusions

As a result of its self-assessment, CPR has formulated an Improvement Plan based on four key priorities. The issue underlying all four is the need to achieve greater integration and active participation of all elements within the organization. This challenge will be addressed by developing clear staff roles and a strategy for better communication.

Figure 1: CPR Institutional Development Profile, Summary by Resource Area



The IDF process revealed that, although CPR has access to many resources, it lacks a strategic plan for employing them. For instance, Chapters have not been integrated into the Council, or overall structure and operations. The paternalistic character of Paraguayan society, inherited from many years of dictatorship and authoritarian government, is reflected in the relations between CPR/Asunción and the Regional Chapters, which expect to receive support from the central office without contributing their fair share. CPR's Improvement Plan is designed to knit together and activate its various actors, based on two-way communication and commitment in pursuit of the overall mission.

Background

CPR was founded in 2000 and is dedicated to promoting State reform. Its objectives include fomenting debate and awareness among citizens about State reform. CPR is led by a 10-member Coordinating Council, headed by a National Coordinator; members are elected for two-year terms. The organization has some 700 members: 300 in Asunción and the rest in the 8 Chapters throughout the country. Chapters mirror the structure of the central organization: each elects a Coordinator and Council. Members in Asunción pay annual dues, but Chapters neither collect dues, nor contribute to the central office. CPR has implemented a number of initiatives without external funding, but has received financial support for some activities from the US and USAID-funded local organizations. Staff include a volunteer Executive Director, a full-time paid

secretary, and part-time consultants, including a bookkeeper and a communications specialist. Thanks to the active participation and support of Council members (e.g., rent-free office space, technical assistance, etc.) and the high degree of other volunteer efforts, CPR has achieved institutional autonomy: its continued existence does not depend on external resources.

Strategic plans have been developed with input from the Council and Chapters. The current 3-year plan extends to 2005. However, no annual work plans, nor holistic, institutional budgets, have been developed. One of CPR's strengths is its media access, and the fact that it is consulted regularly on matters related to State reform and other issues of national relevance. It now needs to develop a strategy to take full advantage of that access.

CPR was nominated by USAID/Paraguay to participate in the USAID-funded Capable Partners Program's (CAP) Global Core Initiative (GCI) in Advocacy. As part of that program, training in advocacy is complimented by an institutional strengthening component. This document reports on the first stage of that assistance: a participatory self-assessment of CPR, leading to an Institutional Improvement Plan for the organization to address areas that the assessment indicated require urgent attention. CPR will then present this plan to CAP, to its members, and to other donors for funding, and ensure that it is implemented.

Process

In two four-hour sessions, members of the Council, staff, and representatives of two Chapters completed the IDF matrix. The consultant then worked with the Executive Director and National Coordinator to complete the remaining tasks (as described below). The Participants (11 male, 6 female) in the process included staff and members of the Council, plus representatives of two of the eight Chapters, as follows:

Name	Title
Ignacio Uriarte	National Coordinator
Alvaro Caballero	Council Member
Alberto Riveros	"
Carlos Cuevas	"
Elvira de Romero	"
Jorge Schreiner	"
Javier Achón	"
Luís Saguier	"
Victor Godoy	"
Gonzalo Quintana	"
Gabriela Uriarte	Executive Director
Aldo Ríos	Coordinator, Encarnación Chapter
Alfredo Aquino	Member, Encarnación Chapter
Ada Casco	" "
Paola Martínez	" "
Maribel Castillo	Member, Filadelfia Chapter

The first meeting began with an overview of the process and a PowerPoint presentation on the IDF (All materials had been translated into Spanish, including the PP presentation). Following a brief discussion, the group then began to customize the IDF Matrix, using the template designed for an NGO network. Participants, facilitated by the consultant, reviewed each IDF "row",

modified it to suit their circumstances and vision for the future, and assessed their progress on the development continuum. During this four-hour session, from 2:30pm to 6:30pm on 17 August, the group completed half of the IDF components and finished in a second session on 18 August. They agreed that the National Coordinator and Executive Director should work with the consultant to establish priorities and complete the remainder of the process. The results of the review and revision of the matrix are included as *Appendix A*. The consultant recorded the scores for each row and all necessary comments in the IDCS (*Appendix B*) and presented the results graphically in the IDP (*Appendix C*).

Assessment Results

With the assessment process behind them, the majority of the group departed, leaving the National Coordinator and Executive Director to prioritize improvement areas. With the consultant, they ranked the various IDF rows along five gradations ranging from "Makes or Breaks CPR" to "Not significant at this time." They then selected from the highest priorities those for which CPR's analysis indicated the organization was weakest. The following priorities emerged as being those areas of focus for institutional strengthening:

1. The Council formulates and coordinates the policies and actions of CPR at the central and national level; *
2. Mechanisms for inter-relations among the different levels of the organization established;
3. Priority advocacy issues identified and strategies established;
4. Annual institutional budgets that cover operating expenses and the cost of programmatic activities formulated.

CPR is committed to carrying out the improvement plan developed, and envisions that a number of the activities outlined will be undertaken jointly by CPR and CAP. In many cases, CAP assistance can be provided from Washington by e-mail or through telephone consultations

Improvement Plan

Having brainstormed areas in urgent need of attention, CPR began determining actions necessary to ensuring CPR's institutional strengthening. Those are summarized in *Appendix D*.

Capacity to Conduct Follow-on IDF Assessment

Thanks to the high level of interest in and understanding of the IDF tools and the overall process exhibited by the Executive Director and National Coordinator, CPR is well-positioned to repeat this process with little or no additional assistance. Any guidance that may be needed could be provided via e-mail or telephone conversations with CAP staff.

Next Steps

CPR will first reflect on the results of its assessment and make any warranted modifications. It will then submit a request to CAP for technical assistance to support implementation of its institutional improvement plan, and seek support from members or other donors to ensure its success. One year from now, if not sooner, CPR will re-apply the IDF to track its progress. Those results will be reported to CAP.

---

* Central = Asunción; national = Regional Chapters

In conducting the second assessment, CPR will record two "scores" on the IDCS (*Appendix B*). The "raw score" reflects the number assigned to each row of the IDF; the second assigns a "weight" based on the priority assigned to each characteristic. In measuring progress in a year, comparisons must be made against this weighted score. CAP is interested in overall percentage change in weighted score (weighted score for this assessment = 227.50). Please note, however, that the IDP should be based on the Raw Score only.

Workshop Rating

Post workshop evaluations of the workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	5
2. How useful to you was the assessment of your network's institutional capacity?	4
3. How do you rate the facilitator's ability to explain and communicate clearly?	5
4. How do you rate the facilitator's knowledge of institutional strengthening?	5
5. How do you rate the facilitator's facilitation technique and skills?	5
6. How clearly do you now understand your network's institutional strengthening needs?	5
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	4
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	5
The only comment received in response to the question of how the workshop might have been improved was: "Definitively with greater participation." It was made clear that this meant both more participants and greater participation of those present.	

Appendix A: CPR Institutional Development Framework (IDF)

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Aranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
SUPERVISION/VISION					
Aspecto	**Componente**				
Consejo de Coordi-nación	Papel del Consejo	Papel de los miembros del Consejo, y su relación con la dirección ejecutiva no están claros.	Miembros del Consejo comprenden su papel y cómo relacionarse con la dirección ejecutiva. Pero pueden existir tensiones interpersonales u organizacionales que reducen la efectividad.	Los miembros del Consejo cooperan estrechaments con la dirección ejecutiva, y formulan políticas y planes estratégicos para el desarrollo de la organización.	Los miembros del Consejo apoyan la organización con contactos, representación y vinculación con otras organizaciones.
	Consejo Activo	El Consejo está formalmente constituido, pero todavía no es una fuerza activa.	El Consejo se vuelve activo. Uno o dos miembros contribuen y/o buscan recursos.	Hay algo de ímpetu en el Consejo. Se han formado Comités, pero – en general – pocos miembos están activos. La Junta levanta niveles moderados de recursos.	Cantidad significativa de recursos levantada por el Consejo. La mayoría de los miembros están suficientemente activos.
	Miembros Hacen que la Organización Avance	El Consejo está seleccionado en base del entusiasmo inicial relacionado con la fundación de la organización, y no necesariamente con relación a sus necesidades de desarrollo en el largo plazo.	Los miembros del Consejo están seleccionados más estratégicamente, pero por lo general sus destrezas aún no corresponden con las crecientes necesidades de la organización.	Las destrezas del Consejo corresonden con las necesidades de la organización que se viene desarrollando, y empiezan a hacerla avanzar.	Los miembros del Consejo son catalizadores del desarrollo de la organización en el largo plazo.

Recursos		Criterios para Cada Estapa Progresiva			
		Aranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Misión		No existe una Declaración de Misión. El grupo se reúne alrededor de objetivos generales, tales como un compromiso con el medio ambiente, la salud, o la paz.	La Declaración de Misión existe, pero no está focalizada. El portafolio de diversos proyectos y propuestas no concuerda con la Declaración de Misión.	La Declaración de Misión es clara y en, términos generales, concuerda con el portafolio. Sin embargo, no todo el personal es capaz de articular la Declaración de Misión. Puede ser que las personas fuera de la organización no identifiquen la Declaración de Misión con la organización.	Existe una Declaración de Misión clara. Puede ser articulada por la Junta y el personal, y concuerda con el portafolio. Personas de fuera identifican la misión con la organización.
Autonomía		La organización es el agente implementador de un donante.	La organización es capaz de responder a más de un donante y a su Consejo.	La organización es capaz de obtener fondos para apoyar su programa, en consulta con el Consejo.	Además de tener autonomía gerencial y financiera, la organización es capaz de incidir exitosamente y de levantar fondos del gobierno, los donantes, y el sector privado para las actividades planificadas.
Recursos Gerenciales					
Aspecto **Estilo de Liderazgo**	***Componente*** Consejo	Todo el liderazgo emana de fundador(es) inicial(es).	Liderazgo proviene de fundador(es) inicial(es) y uno o dos miembros del Consejo.	Ideas sobre visión y manejo vienen cada vez más del Consejo, mientras que los miembros del Consejo trabajan más estrechamente con la organización.	Virtualmente todos los miembros del Consejo contibuyen al liderazgo y desarrollo de la organización.
	Trabajo en Equipo por el Personal	Personal sólo proporciona aportes técnicos. Decisiones son tomadas por fundador(es) inicial(es)	Uno o dos empleados proporcionan ímpetu organizacional, además del/la Director(a) Ejecutivo(a).	Cada vez más el personal le proporciona motivación vital a la organización. El personal y la dirección ejecutiva trabajan como equipo cada vez más.	La organización sobreviviría sin el/la actual Director(a) Ejecutivo(a) o Presidente de la Junta.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Aranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Planifica-ción	Misión/ Supervición	La planificación es oportunista e incremental.	Planes Anuales están desarrollados y revisados durante el curso del año. Muchas veces, no están incorporados en el plan estratégico de más largo plazo.	La planificación es más amplia y orientada al futuro, de largo plazo y estratégico, y está estructurada alrededor de la Misión.	Basado en la Declaración de Misión, los planes estratégicos y los planes anuales de trabajo continúan siendo instrumentos operativos, y los planes de largo plazo son revisados regularmente.
	Participación	La planificación es de arriba para abajo en su orientación, siendo conducida por la dirección ejecutiva y el Consejo.	La participación del personal en la planificación se amplía, incluyendo contribuciones del personal a la toma de decisiones sobre la planificación.	Capítulos que son miembros de la organización proporcionan información para la planificación, pero los beneficiarios están excluídos de la toma de decisiones.	El personal de la organización y los Capítulos miembros contribuyen a las decisiones sobre la planificación, junto con el/la directora(a) Ejecutivo(a) y el Consejo.
	Implicaciones con Relación a Recursos	Los objetivos se fijan sin considerar ni los recursos requeridos, ni importantes factores externos.	El logro de los objetivos está atado a los recursos, pero se sigue olvidando importantes factores externos.	Los planes se basan en los recursos y en consideración de los importantes factores externos. Pero la organización no revisa el plan durante su implementación.	Los planes anuales y estratégicos son comprehensivos y suficientemente específicos para permitir la asignación correcta de los recursos, y suficientemente flexibles para ser modificados cuando sea necesario.
	Plan de Trabajo como Herramienta	La organización no produce planes de trabajo.	Planes de trabajo son bosquejados, pero pocas veces usados por la gerencia y el personal operativo.	Planes de trabajo son usados por la gerencia y el personal operativo, pero no son vistos como instrumentos dinámicos a ser modificados cuando sea necesario.	Planes de trabajo son vistos por la gerencia y el personal operativo como heramientas útiles y son modificados cuando sea requerido.
Manejo Participa-tivo	Delegación Apropiada	Decisiones transmitidas a la organización por la directora Ejecutiva y el Coordinador Nacional, con poca o nada de retroalimentación.	La mayoría de las decisiones gerenciales tomadas por la directora Ejecutiva y el Consejo. Hay algo de insumos de uno o dos miembros del personal.	Decisiones gerenciales delegadas cada vez más a los directores de actividades, como apropiado.	Decisiones gerenciales delegadas al nivel apropiado de la organización.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Aranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Sistemas de Manejo	Sistemas de Personal	No existen sistemas formales de personal (descripciones de puestos, procedimientos de reclutamiento y contratación, etc.)	Existen algunos sistemas, pero no todos los necesarios. Persisten prácticas informales de empleo.	Virtualmente todos los sistemas necesarios están institucionalizados. Se usan mecanismos informales ocasionalmente.	Sistemas formales de personal están institucionalizados, comprendidos por los empleados, e incluyen la posibilidad de remedios.
	Sistemas de Archivos	No existe ningún sistema formal de archivos.	Los archivos están mantenidos, pero no son ni comprensivos ni sistemáticos.	Los archivos son sistemáticos y accesibles, pero persisten vacios significativos.	Los archivos son comprensivos, sistemáticos y accesibles.
	Procedimien-tos Administrati-vos	Hay pocos procedimientos administrativos formalizados o, si están formalizados, no se utilizan.	Los procedimientos administrativos se formalizan y se utilizan cada vez más, pero no existe ningún manual de operaciones.	Existe un manual administrativo interno como documento en un archivo, pero no como instrumento de operaciones.	El manual administrativo se actualiza cuando sea necesario. Se considera un instrumento operacional. Las personas lo citan o lo utilizan al discutir procedimientos.
Monitoreo y Evaluación (MyE)	Integrado en la Toma de Decisiones	No existen mecanismos formales de evaluación. Se usan información verbal y los instintos.	Se conducen evaluaciones de vez en cuando, usualmente a solicitud del donante, y son implementadas por personas de fuera.	Las evaluaciones son iniciadas por el personal; miembros del personal están involucrados cada vez más en su ejecución; algunas decisiones gerenciales son tomadas en base de los datos; MyE sigue siendo una función gerencial aislada.	Sistema continuo de MyE funcionando y el análisis de los datos está integrado en la toma de decisiones.
	Retroalimenta-ción de los Representados	No hay retroalimentación de los Capítulos representados.	Hay canales sistemáticos para retroalimentación de los Capítulos representados.	Existen mecanismos sistemáticos para retroalimentación de los Capítulos representados, pero sólo mediante encuestas y evaluaciones.	Hay retroalimetnación continua de los Capítulos representados.

Recursos	CRITERIOS PARA CADA ETAPA PROGRESIVA			
	Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Recursos Humanos				
Destrezas	Demasiado pocas personas están llenando un rango demasiado amplio de destrezas profesionales.	Se traen (o contratan) especialistas para las áreas básicas de destrezas, tales como contabilidad y desarrollo de recursos. Quedan algunos vacíos.	Todas la destrezas básicas están cubiertas por personal y expertos externos.	Todas las áreas de destrezas están cubiertas, y el personal/expertos externos son reconocidos por su excelencia. Puede ser que, además, proporcionan conocimientos y asistencia técnica a otras organizaciones.
Estrategia	El desarrollo de recursos humanos es oportunista, basado en las oportunidades que surjan.	Se proporciona direccción general para el desarrollo del personal, pero es de corto plazo y basada en los proyectos.	El desarrollo del personal está basado en una evaluación de necesidades, y existe un plan de acción. El plan concuerda con la misión de la organización.	El desarrollo profesional se considera parte del desarrollo general de la organización. Está apoyado por planes individuales de desarrollo profesional.
Capacitación	Poca o nada de capacitación proporcionada.	La capacitación es significativa, pero es de carácter oportunista.	Por lo general, la capacitación es consistente con el plan, pero aún no es sistemática ni suficiente.	La capacitación proporcionada llena o excede las especificaciones de los planes individuales de desarrollo profesional.
Tutores	Se proporciona poco o nada de entrenamiento ni asesoramiento.	Algo de entrenamiento y asesoramiento proporcionado.	El personal recibe suficiente entrenamiento, asesoramiento y atención de mentores, pero el desarrollo mutuo del personal aún no está integrado en la organización.	Se considera que el apoyo profesional interno es una parte importante del trabajo de cada miembro del personal.
Motivación	Hay poco o nada de reconocimiento del desempeño de los empleados. Es comun que el personal se siente "quemado."	El desempeño está reconocido informalmente, pero no existe ningún mecanismo formal.	Sistema formal de evaluación de desempeño establecido.	Los empleados participan en la identificación de objetivos, y saben qué es lo que se espera de ellos.

Recursos		Criterios para Cada Estapa Progresiva			
		Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Recursos Financieros					
Aspecto **Manejo Financiero**	**Componente** Planificación	Los presupuestos no son realistas. Son desarrollados de manera incremental, proyecto por proyecto, y usualmente solo para ser financiados por donantes.	Los presupuestos se mantienen proyecto por proyecto, pero no son usados como instrumento para la toma de decisiones organizacionales. Un reconocimiento de la condición financiero anual en general emerge.	La organización mantiene un presupuesto "maestro," pero aún no maneja las finanzas de acuerdo con dicho presupuesto.	La planificación financiera se basa en un presupuesto organizacional "maestro," y la condición financiera está incluída en la planificación y manejo de la organización.
	Control	Los recursos financieros están controlados principalmente por los donantes. Los controles internos son débiles.	Procedimientos financieros se han establecido, pero aún no son completamente sistemáticos.	Procedimientos financieros son sistemáticos y establecidos para apoyar el manejo operacional. Procedimientos documentados facilitan los controles permanentes.	El control es una función gerencial interna. La organización no percibe como excesivos los controles.
	Informes	Los informes financieros son incompletos y difíciles de comprender. Muchas veces la organización tiene que ser presionada para producirlos.	Los informes financieros son más claros, pero aún incompletos. Los informes están relacionados con proyectos específicos, y usualmente se presentan en forma puntual.	Los informes financieros son claros y completos, aún cuando el portafolio se vuelve más complejo. Informes formales se usan regularmente en el manejo operacional.	Los informes y el sistema de datos proporcionan rápidamente una sensación de salud financiera general. Los informes siempre son puntuales, confiables, y disponibles al público.
	Auditorías	No se conducen auditorías.	Auditorías externas se conducen sólo raramente.	Auditorías externas son conducidas frecuentemente, pero no por períodos específicos.	Auditorías externas son conducidas con una frecuencia regular y apropiada.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
	Separación de Cuentas	Fondos no están separados para los diferentes proyectos dentro de la organización.	Fondos de los proyectos están separados solamente cuando requerido por los donantes.	El procedimiento usual es de evitar el cruce de financimiento entre proyectos. Todos los fondos están separados, pero el cruce de financiamiento ocurre de vez en cuando.	Todos los fondos de los proyectos están separados y existen controles adecuados para evitar que haya el cruce de financiamiento entre proyectos.
Vulnerabili-dad Financiera	Diversifica-ción de Fondos	Financiamiento proviene de una sola fuente.	Financiamiento proviene de múltiples fuentes, pero el 70% o más es de una sola fuente.	Ninguna sola fuente proporciona más del 60% del financiamiento.	Ninguna sola fuente proporciona más del 40% del financiamiento.
	Mobilización Propia de Recursos	No se ha probado, o no ha sido exitosa, la mobilización propia de recursos (incluyendo cuotas de afiliación, mano de obra, y servicios) para generar los ingresos operacionales.	Se persigue la mobilización propia de recursos de manera ad hoc.	Está en operación una estrategia para la mobilización propia de recursos.	Está en operación una estrategia para la mobilización propia de recursos. El X% de los gastos anuales está generado de recursos locales.
Viabilidad Financiera		El financiamiento de proyectos es inadecuado y depende de las oportunidades locales.	El financiamiento está apenas disponible para cubrir las actividades inmediatas de los proyectos, de acuerdo con la misión.	El financiamiento está disponible para los costos de corto plazo. Estrategias existen para financimiento de término medio.	Consistente con la misión, todos los proyectos tienen planes de financimiento de largo plazo y los fondos actuales son adecuados para cubrir las necesidades del plan de manejo.

Recursos		Criterios para Cada Estapa Progresiva			
		Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Recursos Externos					
Aspecto **Relaciones Públicas**	**Componente** Reconoci-miento Público	La organización es poco conocida fuera del grupo de donantes y beneficiarios directos.	La organización es conocida en su propia comunidad, pero hace poco para promover sus actividades ante el público y los que toman decisiones.	La organización tiene contactos con los que toman decisiones, y ha desarrollado algunas líneas de comunicación con el público.	La organización y su trabajo son bien conocidos por el público y los que toman decisiones. Es capaz de ganar la participación de los que toman decisiones en diálogos sobre las políticas públicas. Tiene un grupo de representados que le apoya, y comanda respeto fuera del grupo de representados.
	Estrategia de los Medios	La organización hace poco uso de los medios, tal vez prefiriendo mantener un perfil bajo. De vez en cuando, la prensa inicia encuentros. No hay ningún mecanismo establecido para la comunicación.	La organización empieza a buscar visibilidad en los medios. Usualmente, esto se basa en publicidad para eventos específicos y aislados.	La organización es capaz de ganar acceso a los medios mediante mecanismos formales e informales. Atención a la organización de los medios es frecuente, pero aún no estratégica.	La organización usa las relaciones que ha establecido con los medios para comunicación frecuente y efectiva con el público. Existe una estrategia para los medios que apoya las campañas de incidencia, busca hacer que la organización esté mejor conocida y promueve la conciencia pública más amplia en apoyo de la misión.

Recursos		Criterios para Cada Estapa Progresiva			
		Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Aspecto **Incidencia**	**Componente** Enfoque Estratégico	La organización no realiza incidencia.	Incidencia ocurre, pero es oportunista, esporádica, y no coordinada. Incidencia no es estratégica.	Incidencia se vuelve estratégica. La organización aplica el análisis de los interesados y el análisis del ambiente y del poder para ayudar con el desarrollo de estrategias de incidencia sobre temas específicos. Planes formales de incidencia – que toman en cuenta el espacio político y los intereses de los interesados – son usados para seleccionar los temas, pero puede ser que no sean revisados en base de la experiencia.	La organización celebra sesiones regulares de planificación estratégica de incidencia, que incluyen la continua re-evaluación de su trabajo de incidencia, la misión y las metas, y que incorporan una comprensión de temas relacionados con los interesados, el poder, y los representados. La organización utiliza su plan para guiar sus acciones , utilizando planes de trabajo para incidencia.
	Uso de Investigación e Información	Más allá de responder a solicitudes específicas, la organización no produce información de manera proactiva para el consumo del público durante campañas de incidencia.	La organización produce y divulga información de manera oportunista para educar y abogar en nombre de sus representados, pero no conoce el impacto o el grado de recepción de tal información.	La organización incorpora de manera sistemática la divulgación de información en sus campañas de incidencia. La calidad de la información divulgada es considerada de primera clase.	La organización se ha establecido como una fuente creíble de información acerca de los temas dentro de su área de interés. Tiene fama entre los de afuera, quienes buscan activamente los materiales informativos de la organización. La divulgación de información está plenamente integrada en los planes estratégicos de incidencia y los planes de trabajo.
	Mobilizando a los Represen-tados	La organización no utiliza los representados en la planificación ni ejecución de las campañas de incidencia.	La organización toma contacto con una o más de los Capítulos al fijar sus prioridades y al ejecutar los planes de incidencia, de acuerdo con lo que parece ser apropiado.	La organización sistemáticamente busca la participación de los representados en la identificación de prioridades de incidencia, y en la ejecución de los planes de incidencia, incluyendo el análisis técnico. La organización es capaz de movilizar a los representados para campañas de incidencia, y es receptiva a sus prioridades de incidencia.	La organización ha ayudado a los representados para organizarse y movilizar a otros, lo cual pueden hacer ahora sin la ayuda de la organización.

Recursos	Criterios para Cada Estapa Progresiva			
	Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Habilidad de trabajar con gobiernos central y locales	Visto como "nosotros" y "ellos." Poca comunicación. Tensión frecuente entre el gobierno y la organización.	Las relaciones son amistosas. Hay colaboración ocasionalmente para tareas y proyectos específicos.	La colaboración es frecuente, usualmente al nivel informal. Las relaciones son amistosas, pero todavía no como socios iguales. Muchas veces las autoridades centrales se acercan a la organización en busca de asesoramiento.	Existen mecanismos formales e informales para la colaboración, y se usan con frecuencia. Las relaciones son de socios iguales. Muchas veces el gobierno central incorpora las recomendaciones de la organización en los planes de desarrollo.
Habilidad de trabajar con ONGs fuera de CPR	La organización es poco conocida y goza de poca confianza dentro de la comunidad más amplia de ONGs. No tiene experiencia trabajando con otras ONGs.	La organización es cada vez más conocida y de confianza dentro de la comunidad de ONGs. Su experiencia con la colaboración se basa en los requerimientos de la implementación de proyectos.	La organización trabaja con ONGs internacionales o locales, y participa en otras redes y coaliciones de ONGs. Las redes y coaliciones están basadas en las necesidades de los representados.	La organización juega un papel de liderazgo en la promoción de las coaliciones de ONGs, basándose en los intereses de los representados. Es capaz de ayudar a resolver conflictos entre ONGs o con el gobierno, y de afectar a la política pública en nombre de los representatos.
Recursos dentro de CPR				
Orientación hacia Representados	La organización opera de manera centralizada, con poca conexión con los Capítulos representados.	La organización sirve los Capítulos representados, basándose en percepciones, pero sin la participación activa de ellos.	Se busca insumos de los Capítulos representados para decisiones claves. La organización y sus esfuerzos son vistos por los Capítulos representados como un servicio que se les proporciona.	Los intereses de los Capítulos representados están incorporados en las políticas y prácticas de la organización.

Recursos	CRITERIOS PARA CADA ESTAPA PROGRESIVA			
	Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Participación de los Representados en la Organización	La organización involucra a los Capítulos que representa sólo como recipientes de su programa.	La organización se acerca a los líderes de los Capítulos representados para asesoramiento y la movilización de sus miembros.	La organización se acerca a los líderes de los Capítulos representados para la planificación, implementación y evaluación de los eventos que auspicia.	Los Capítulos representados participan plenamente en la planificación, implementación, y evaluación. Estos Capítulos contribuyen dinero, materiales, mano de obra, y trabajo gerencial para crear y mantener los resultados de los proyectos.
Entrega de Servicios	La entrega de servicios a los Capítulos se basa en la oferta, respondiendo muchas veces a las especificaciones de los donantes.	Se incluye algo de insumos de los Capítulos al determinar los servicios. Pero el tipo, cantidad y calidad del servicio que se les entrega son a iniciativa de la organización. Se realiza poco monitoreo de la calidad del servicio. La contribución de los clientes para el diseño de los productos o la revisión de la calidad es oportunista, si es que haya.	La organización hace esfuerzos continuos para obtener insumos de los Capítulos para determinar el tipo, cantidad y calidad apropiados de servicios. Las opiniones y percepciones de los Capítulos son buscadas, al menos anualmente, para proporcionar retroalimentación en cuanto a cómo mejorar los servicios.	La organización está dedicada al proceso continuo de mejoramiento de los servicios prestados a los Capítulos representados. Los servicios están diseñados como respuesta a las preferencias expresadas por los miembros, y la calidad es monitoreada continuamente con la retroalimentación recibida de los representados. La entrega de servicios se mejora en base de estos datos. Las notas dadas por los miembros sobre los servicios son altas.
Membresía Activa	La organización está compresta por miembros, pero tiene pocos miembros inscritos, comparado con el número de los potenciales miembros dentro del grupo blanco, dada la misión de la organización. De los inscritos, pocos son activos.	La organización tiene un número razonable de miembros inscritos (con relación al grupo blanco). Sin embargo, menos de la mitad están al día con el pago de las cuotas de afiliación. La mayoría no participa activamente en los asuntos organizacionales, y muchos no se identifican con la organización y su misión.	Más de la mitad de los miembros están al día con el pago de cuotas, y se identifican cada vez más con la organización y su misión. Aprovechan cada vez más de los servicios prestados, pero muy pocas veces contribuyen tiempo o energía al mantenimiento y promoción de la organización. Siempre se logra juntar un quoro para las Asambleas Anuales.	La mayoría de los miembros están al día con el pago de cuotas, participan en los temas organizacionales, y se identifican fuertemente con la misión de la organización. Además de aprovecharse de los servicios prestados (tales como capacitación), un número significativo de los miembros proporciona verdadero empuje para la organización.

Appendix B: CPR Institutional Development Calculation Sheet (IDCS)

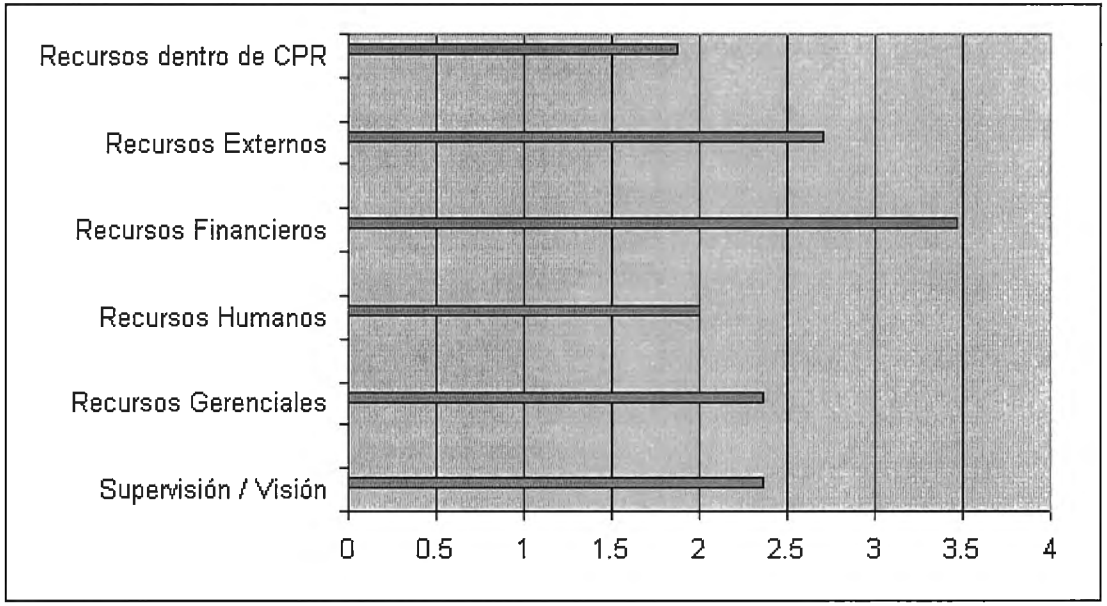
		Agosto 17/18 2004			Poner Fecha			
Recurso Aspecto	**Componentes Claves**	Puntaje Bruto	Peso	Ponde-rado	Puntaje Bruto	Ponde-rado	Cambio Total	**Comentarios**
Consejo	Papel del Consejo	1.75	3	5.25		0.00	-5	Consejo de 10 miembros electos. No hay representación de los 8 Capítulos. Directora Ejecutiva trabaja con ellos mayormente de forma individual.
	Consejo Activo	1.50	3	4.50		0.00	-5	Política de apdrinamiento de Capítulos no ha funcionado. No se aprovecha bien de las capacidades y los intereses de los miembros. Consejeros no buscan fondos para operaciones.
	Miembros Hacen Avanzar	2.25	4	9.00		0.00	-9	Consejo tiene miembros con muchas destrezas y con voluntad de ayudar.
		1.83			**0.00**			
Misión		2.25	3	6.75		0.00	-7	La Misión está clara, pero todavía no conocida por los de afuera y no identifica la organización.
		2.25			**0.00**			
Autonomía	Autonomía	3.00	1	3.00		0.00	-3	CPR hace actividades sin proyectos financiados.
		3.00			**0.00**			
Estilo de Liderazgo	Consejo	2.50	1	2.50		0.00	-3	Miembros del Consejo participan cada vez más en la planificación.
	Personal como Equipo	2.75	1	2.75		0.00		Personal consiste de la directora ejecutiva voluntaria, una secretaria paga y consultores a tiempo parcial.
		2.63			**0.00**			
Planificación	Misión / Super.	3.00	4	12.00		0.00	-12	Hay Plan Estratégico, pero no Plan Anual de Trabajo.
	Participación	3.00	3	9.00		0.00	-9	Decisiones son tomadas por el Consejo.
	Implicaciones para Recursos	2.75	2	5.50		0.00	-6	Hay Plan Estratégico, pero no se revisa de forma regular.
	Plan de Trabajo como Herramienta	1.00	2	2.00		0.00	-2	No hay Plan Anual de Trabajo institucional. Sólo hay planes para los proyectos.
		2.44			**0.00**			
Manejo	Delegación Apropiada	2.00	1	2.00		0.00	-2	Falta retroalimentación de los Capítulos.
		2.00			**0.00**			

Sistemas de Manejo	Sistemas de Personal	2.00	1	2.00		0.00	-2	No hay todavía procedimientos formales de reclutamiento y contratación.
	Sistemas de Archivos	3.50	1	3.50		0.00	-4	Archivos bien mantenidos y ordenados.
	Procedimientos Administrativos	3.50	1	3.50		0.00	-4	Hay manual administrativo, pero no se actualiza de manera regular.
		3.00			**0.00**			
Sistemas de MyE	Integrado en Decisiones	2.00	3	6.00		0.00	-6	Evaluaciones son por proyectos, no por el plan estratégico de la organización.
	Retroalimen. De Representados	1.50	3	4.50		0.00	-5	No hay retroalimentación regular de los Capítulos.
		1.75			**0.00**			
Recursos Humanos	Destrezas	2.00	2	4.00		0.00	-4	Falta más personal para tareas básicas.
	Estrategia	2.00	2	4.00		0.00	-4	No hay plan para el desarrollo del personal.
	Capacitación	3.00	2	6.00		0.00	-6	Se ha hecho mucha capacitación de facilitadores en los Capítulos.
	Tutores	1.50	2	3.00		0.00	-3	Se ayudan unos a otros, pero no hay ningún plan de tutores.
	Motivación	1.50	1	1.50		**0.00**	-2	En términos generales, no hay reconocimiento.
		2.00			**0.00**			
Manejo Financiero	Planificación	3.00	4	12.00		0.00	-12	Presupuesto no es institucional, con gastos básicos y el costo de actividades; no hay metas de recaudación.
	Control	3.50	1	3.50		0.00	-4	Hay controles suficientes de las finanzas.
	Informes	3.50	1	3.50		0.00	-4	Hay informes regulares del estado financiero.
	Auditorias	3.50	1	3.50		0.00	-4	Hay auditorías anuales y a veces por programas.
	Separación de Cuentas	3.50	1	3.50		0.00	-4	Las cuentas están separadas de manera correcta.
		3.40			**0.00**			
Vulnerabilidad Financiera	Divers. De Fondos	3.50	1	3.50		0.00	-4	No hay dependencia de fuentes externos.
	Mobiliz. Propia de Recursos	3.50	2	7.00		0.00	-7	Algunos miembros cotizan, otros no. No hay estratégia de recaudación de fondos.
		3.50		0.00	**0.00**			
Viabilidad Finan.		3.50	2	7.00		0.00	-7	Los proyectos tienen planes de financiamiento.
		3.50			**0.00**			
Relaciones Publicas	Roconocimiento Publico	4.00	3	12.00		0.00	-12	CPR ha logrado reconocimiento y poder de convocatoria. Es consultado sobre políticas públicas.

	Estrategia de los Medios	3.00	3	9.00		0.00	-9	CPR tiene acceso a los medios, pero le falta una estrategia para aprovecharlo al máximo.
		3.50			**0.00**			
Incidenia	Enfoque Estratégico	2.25	4	9.00		0.00	-9	No hay un plan de incidencia con temas y acciones.
	Uso de Inves/ Información	3.50	2	7.00		0.00	-7	CPR es una fuente creíble de información sobre temas de reforma del Estado.
	Mobilizando a Representados	3.50	3	10.50		0.00	-11	Falta una estrategia de movilización de miembros y de Capítulos Regionales.
		3.08			**0.00**			
Habilidad de Trabajar con Gob. Central y Locales		1.50	3	4.50		0.00	-5	Relaciones con el gobierno son amistosas, pero el gobierno no se interesa en los cambios sugeridos.
		1.50			**0.00**			
Habilidad de Trabajar con Otras ONG		2.75	1	2.75		0.00	-3	CPR trabaja bien con otras ONG nacionales e internacionales.
		2.75			**0.00**			
Recursos dentro de CPR	Orientación hacia Representados	1.50	3	4.50		0.00	-5	La oficina central va a los Capítulos, pero no ha requerido que ellos se responsabilicen por apoyar a la organización.
	Participación de Representados	1.50	3	4.50		0.00	-5	Capítulos han participado en la planificación, pero no contribuyen fondos ni ideas
	Entrega de Servicios	2.50	4	10.00		0.00	-10	Mienbros no proporcionan sugerencias para los servicios que querrían recibir; no hay consulta regular.
	Membresía Activa	2.00	4	8.00		0.00	-8	Pocos miembros cotizan y no hay comunicación regular con ellos; no proporcionan empuje para la organización.
		1.88			**0.00**			
Puntaje Total		**105.75**		227.50	**0.00**	0.00	-224.75	
Promedio del Puntaje		2.4034			0		0	

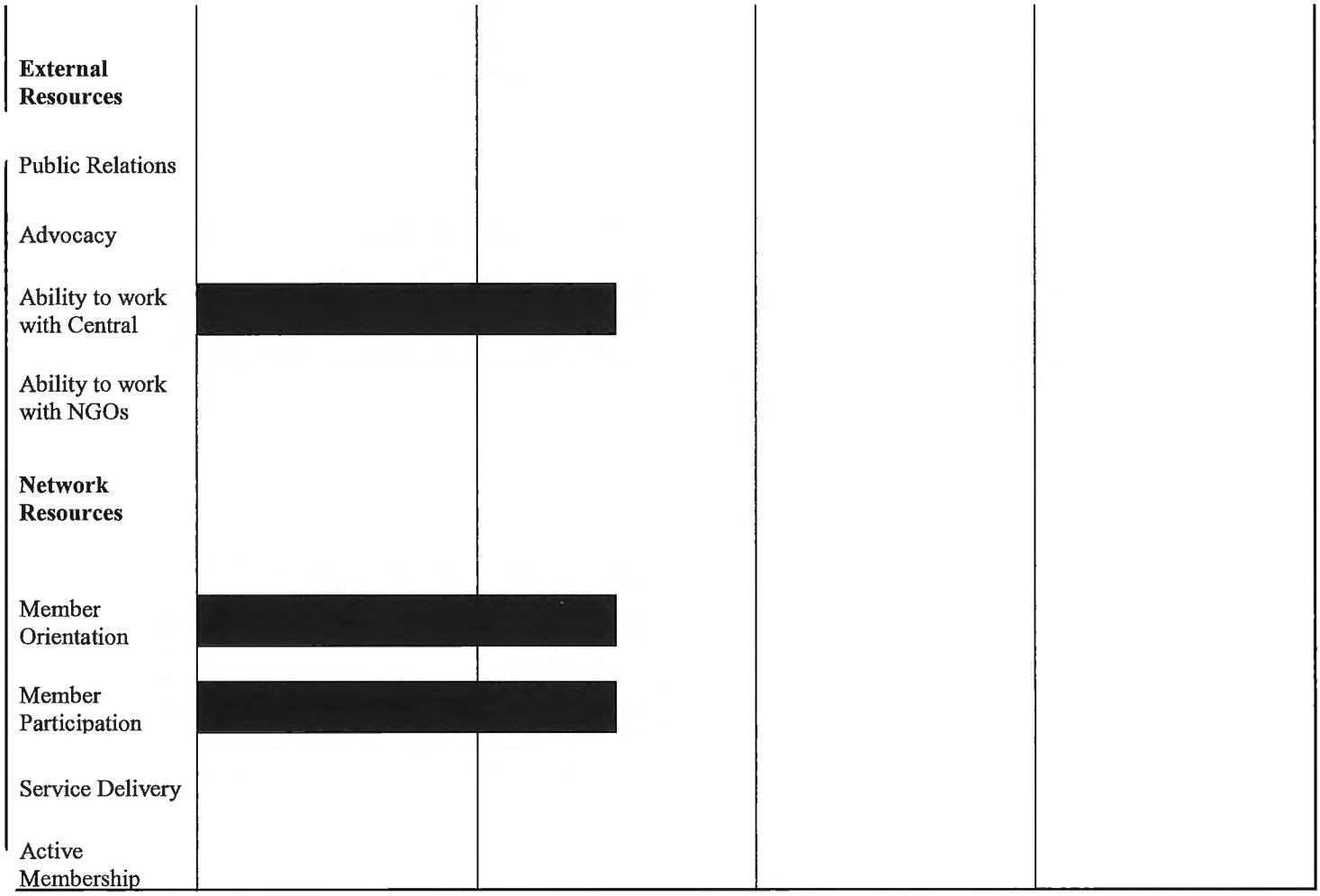
Resumen de Promedio para Cada Asepcto de los Recursos

Supervisión / Visión	2.36	0.00
Recursos Gerenciales	2.36	0.00
Recursos Humanos	2.00	0.00
Recursos Financieros	3.47	0.00
Recursos Externos	2.71	0.00
Recursos dentro de CPR	1.88	0.00



Appendix C: CPR Institutional Development Profile (IDP)

	Start-UP	Development	Expansion/Consolidation	Sustainable
Capability				
Oversight/Vision				
Board				
Mission				
Autonomy				
Management Resources				
Leadership Style				
Planning				
Participatory Management				
Management Systems				
M&E Systems				
Human Resources				
Skills				
Strategy				
Training				
Mentoring				
Motivation				
Financial Resources				
Financial Management				
Financial Vulnerability				
Financial Viability				


External Resources
Public Relations
Advocacy
Ability to work with Central
Ability to work with NGOs
Network Resources
Member Orientation
Member Participation
Service Delivery
Active Membership

Appendix D: CPR Institutional Improvement Plan

Ciudadanos por la Reforma (CPR) performed an institutional self-assessment at its offices in Asunción from 17-18 August 2004. Using the IDF, staff from the USAID-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the attached report. CPR analyzed the results to prioritize areas for focused improvement over the next year as follows:

1. The Board will plan and coordinate CPR's political actions at the local and national levels.
2. Mechanisms for relations between the different levels and the organization will be established.
3. Priority advocacy areas will be identified and strategies established.
4. Annual institutional budgets which include all operating expenses and program activites will be formulated.

The underlying theme of the selected priorities is the acheivement of more integration and active participation of all stakeholders in CPR's continual institutional improvement. The participants in the sessions included:

Name	Title
Alvaro Caballero	Board Member
Alberto Riveros	Board Member
Carlos Cuevas	Board Member
Elvira de Romero	Board Member
Gabriela Uriarte	Executive Director
Jorge Schreiner	Board Member
Javier Achón	Board Member
Ignacio Uriarte	National Coordinator
Luis Saguier	Board Member
Victor Godoy	Board Member
Maria Teresa Coronel	Consultant, Communication
Gonzalo Quintana	Board Member
Aldo Ríos	Coordinator, Encarnación Chapter
Alfredo Aquino	Encarnación Chapter
Ada Casco	Encarnación Chapter
Paola Martínez	Encarnación Chapter
Maribel Castillo	Filadelfia Chapter

Planned Improvement Activities

Objective 1: The Board will plan and coordinate CPR's political actions at the local and national levels.			
Activities	Necessary Resouces	**Source**	Date of Completion
A. Identify the role and duties of action for each Board member, in a realistic way, according to their abilities and interests.	Relevant information and opinions	CPR CAP	September 15
B. Develop an action plan based on Point A for about a year.	Planning Tools	CPR CAP	October 15
C. Distribute responsibilities among the Board members for executing the plan.	Propose responsibilities	CPR CAP	October15
D. Implement the plan and evaluate the results.		CPR	May and August 2005

Objective 2: Mechanisms for relations between the different levels and the organization will be established.			
Activities	Necessary Resources	**Source**	Date of Completion
A. Carry out a questionaire among partners and Board members at the nacional level - Asunción and Chapters – to gather information about the motivations and expectations of the same.	Questionaire	CPR	November
B. Develop a strategy for communication and participation which aims, on the one hand, to establish channels to disseminate information about the activities and administrative operations of CPR, and on the other to strengthen the feeling of relating to the organization.		CPR CAP	December/ January
C. Develop a participatory system of Monitoring and evaluations which allows for collecting data about the decisions of CPR in a regular and systematic way.	Matrix of Indicators	CPR CAP	December/ January

Objective 3: Priority advocacy areas will be identified and strategies established			
Activities	Necessary resources	**Source**	Date of completion
A. Assess the actual situation to prioritize the areas about which needs were indicated.	Diagnosis	CPR	October
B. Develop an advocacy plan, assigning appropriate levels of action to the local and central organizations.	Formulate the plan	CPR CAP	November

Objective 4: Annual institutional budgets which include all operating expenses as costs of program activites will be formulated			
Activities	Necessary Resources	**Sources**	Date of completion
A. Identify the budget categories and monthly estimates of the activities according to the action plan.	Plan of the budget	CPR	November
B. Develop the annual instutional budgent, including the sources of funding.	budget	CPR	December
C. Monitor and evaluate, establishing a period for readjustment of the budget.	Plan of the indicators	CPR CAP	Monthly and semi-annually

CAPABLE PARTNERS PROGRAM (CAP)

Sociedad Nacional Del Ambiente

Institutional Self-Assessment and Improvement Process

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

August 2004

Report on the Sociedad Nacional del Ambiente Institutional Self-Assessment and Improvement Process

August 2004

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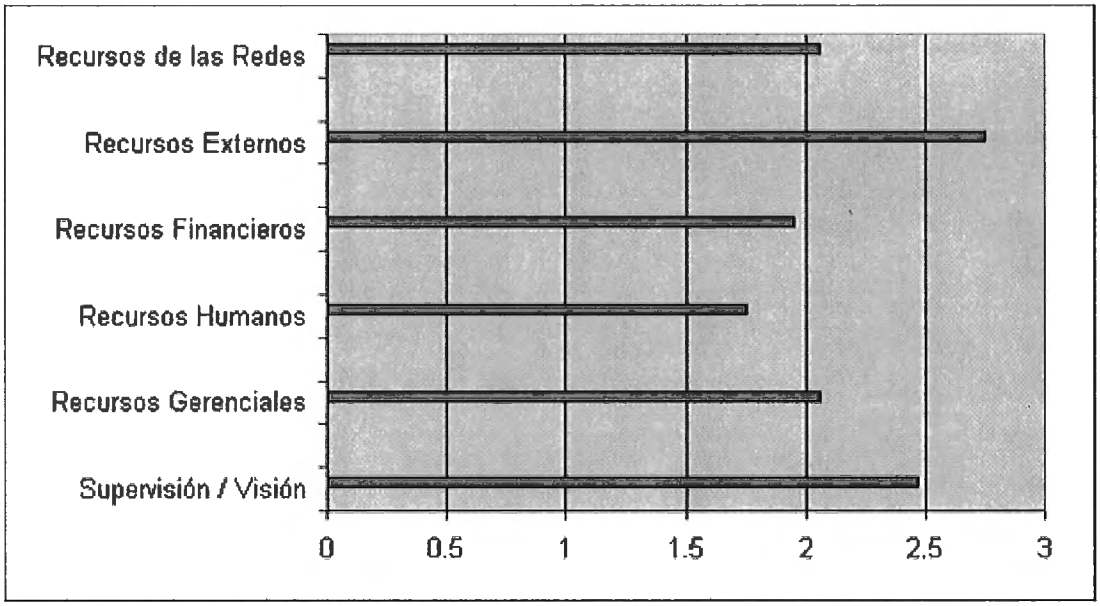
Summary, Findings, and Conclusions

A young organization, SNA brings together regional and national NGO networks, and national NGOs, around environmental and sustainable development issues. Having established basic procedures for its operation, SNA is now well-positioned to design and standardize the systems which a strong, self-sustaining organization institution needs.

Figure 1: SNA Institutional Development Profile, Summary by Resource Area



The assessment process revealed that SNA is ready to establish the internal mechanisms for growth and sustainability. The Institutional Improvement Plan includes six key objectives which SNA plans to acheive by the end of 2005. The plan will be discussed, amended if necessary, and approved by SNA affiliates at their Annual Assembly on 13 September. It is therefore expected that organization-wide "ownership" of the objectives and activities envisioned will be accomplished, thus leading to active support for its implementation.

Background

Serious discussions about establishing a national environmental network began in 1999, sparked by the need to consolidate and coordinate existing regional networks, issue-oriented national environmental networks, and national NGOs. With support from USAID/Peru, SNA was established as a legally-recognized entity in 2002, beginning operations at that year's end. Except for a very small grant for a specific, decentralized activity in August 2004, no additional USAID funding has been provided.

The organization's six-member Council (i.e., Board of Directors) meets bimonthly, or when necessary, and includes two representatives from each of the three groups (regional networks, national networks, and national NGOs). Council members are elected during the Annual

Assembly for one-year terms (with one re-election permitted) by members of their respective groups. Affiliated organizations are, in turn, composed of varying numbers of NGOs and individuals. At present, SNA has 29 affiliates.

Although its affiliates collect dues from their members, SNA does not collect dues from its affiliates. In addition, SNA has not developed a plan for financing its core operating costs. Communication through SNA's web page, electronic newsletters, etc. tends to be one-way, as no feedback mechanism has yet been created. Although SNA has conducted advocacy activities on an *ad hoc* basis in response to certain national issues (such as Camisea – a controversial gas pipeline), it has not sought input from affiliates in prioritizing advocacy issues. However, with its small staff, SNA may be unable to undertake a comprehensive advocacy effort. Many SNA affiliates carry out their own advocacy and related activities, so it will be increasingly important for SNA clearly to define its role as an environmental advocate at the national level in order to avoid competition with its affiliates.

SNA was nominated by USAID/Peru to participate in the USAID-funded Capable Partners Program's (CAP) Global Core Initiative (GCI) in Advocacy. CAP's advocacy training is complimented by technical assistance designed for institutional strengthening. This document reports on the first stage of that assistance: a participatory self-assessment of SNA, culminating in an Institutional Improvement Plan to address areas identified as needing urgent attention. SNA will present this plan to CAP, members, and other donors and ensure it is implemented.

Process

The process began with a series of interviews which the CAP consultant conducted from 23-24 August by with the Executive Secretary, past President, several SNA members, and the USAID/Peru Project Director for Environment & Natural Resources. Then the CAP consultant, with the Executive Secretary, customized the IDF matrix. The IDF workshop was held on the afternoon of 25 August in a downtown hotel in Lima, following a "*Conversatorio*" (round-table discussion) of three topics of interest for future planning. SNA officials and members learned about the IDF through the PowerPoint presentation and considered the matrix. On 26 August, the consultant, with most participants, completed the Institutional Development Calculation Sheet (IDCS) and Institutional Development Profile (IDP) to assign priorities and identify key areas. Using these documents, the group developed its Institutional Improvement Plan, with six objectives and related activities. The Participants (4 male, 5 female) included staff, the SNA President, and representatives of affiliated organizations, as follows:

Name	Organization
María Elena Foronda	President, SNA
Giovanna Orcotoma	Executive Secretary
Oscar Díaz	Instituto Econogista Natura
Alejandra Farfán	Red de Agricultura Ecológica del Perú
Edwin Gonzales	Foro de Ciudades para la Vida
Ramón Pajares	Coordinadora Nacional de Radio
Leonor Rocha	Red de Acción en Alternativas de Uso de Agroquímicos
Carmen Salazar	Consorcio Mochica-Chimú
Juan Valer Carpio	Coordinadora Ecológica de la Región Inka

The workshop began with an overview of the process and the IDF PowerPoint, presented by the consultant. Assisted by the consultant and the three SNA members who had adapted the IDF, the group reviewed each IDF "row" and assessed their progress on the development continuum. This process took place from 2:00pm to 6:00pm on 25 August. The results of this effort (reflecting SNA edits) are included in *Appendix A: SNA Institutional Development Framework (IDF)*. That evening, the Consultant recorded the scores for each row and all necessary comments in the IDCS (*Appendix B)* and prepared the IDP (*Appendix C).*

Assessment Results

With the assessment behind them, the group met the next day to determine improvement priorities. They ranked the various IDF rows according to priority, along five gradations ranging from "Makes or Breaks SNA" to "Not significant at this time." From the high priorities, the group selected those areas which the assessment had revealed as SNA's weakest. The following priorities emerged as being focus areas for institutional strengthening – that is, those that are essential in order to overcome serious weaknesses:

1. Implement functioning monitoring and evaluation system.
2. Use institutional budget to make decisions.
3. Perform annual external audits and disseminate results.
4. Design and implement fund-raising plan.
5. Design and implement advocacy plan.
6. Involve affiliates in actively strengthening the network.

Improvement Plan

Having identified areas in need of urgent attention, SNA identified activities to address them. Those are summarized in *Appendix D: SNA Institutional Improvement Plan.*

Results of Facilitator Training

SNA chose three interested staff (2 male, 1 female) to be trained by the consultant as IDF facilitators. That training occurred the day before the workshop; each facilitated different parts of the process. The Executive Secretary also participated in the training. Facilitator training (with all four individuals) continued on 26 August, when four more SNA members joined.

Capacity to Conduct Follow-on IDF Assessment

The consultant considers that SNA now has the requisite human resources and can repeat the IDF process with no external assistance. In addition, participants felt that this is a sorely-needed service that SNA can offer to its affiliates: they were all eager to apply the IDF to their own organizations. That issue, too, will be raised during the 13 September Annual Assembly.

Next Steps

As noted, SNA will discuss the Institutional Improvement Plan at the Annual Assembly, when any warranted modifications will be made. Afterwards, it will submit a proposal to CAP to provide technical assistance to support implementation of the plan and will seek support from members and others to ensure its success. One year from now, SNA will re-apply the IDF to track its progress and report those results to CAP.

In conducting the second assessment SNA must remember that the IDCS maintains two "scores". The "raw score" reflects the points assigned to the different rows. For each row, SNA will assign a "weight," based on the priority ascribed to each characteristic. In measuring progress in a year, comparisons must be made against this weighted score. CAP is interested in overall percentage change in weighted score (weighted score for this assessment = 247.00), because it provides greater "credit" for improvements in higher priority areas. Please note, however, that the IDP should be based on the raw score only.

It is also expected that SNA will adapt CAP's IDF Toolkit to suit the majority of its members and will be in a position to offer technical assistance in institutional assessment as a new service.

Workshop Rating

Post workshop evaluations of the workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	8 evaluations = 5
2. How useful to you was the assessment of your network's institutional capacity?	3 = 5; 5 = 4
3. How do you rate the facilitator's ability to explain and communicate clearly?	5 = 5; 3 = 4
4. How do you rate the facilitator's knowledge of institutional strengthening?	7 = 5; 1 = 4
5. How do you rate the facilitator's facilitation technique and skills?	4 = 5; 4 = 4
6. How clearly do you now understand your network's institutional strengthening needs?	4 = 5; 4 = 4
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3 = 5; 3 = 4; 2 = 3
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	7 = 5; 1 = 4
General comments were very favorable, but many thought that the workshop would have been even more effective if more time had been allotted and more SNA members had participated.	

Once the process was "lived" and understood, those present felt strongly that this had been an important experience, from which all affiliated organizations could benefit greatly. They also agreed with the concept expressed in the IDF that it would be important to conduct one concentrated IDF workshop per year to track progress and to monitor the institutional improvement process properly.

Appendix A: SNA Institutional Development Framework (IDF)

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Aranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
SUPERVISION/VISION					
Aspecto **Consejo Directivo**	**Componente** Papel del Consejo Directivo	Papel de los miembros del Consejo, y su relación con la dirección ejecutiva no están claros.	Miembros del Consejo comprenden su papel y cómo relacionarse con la dirección ejecutiva. Pero pueden existir tensiones interpersonales u organizacionales que reducen la efectividad.	Los miembros del Consejo cooperan estrechamente con la secretaría ejecutiva, y formulan políticas y planes estratégicos para el desarrollo de la organización.	Los miembros del Consejo apoyan la organización con contactos, representación y vinculación con otras organizaciones.
	El Consejo Directivo Activo	El Consejo está formalmente constituido, pero todavía no es una fuerza activa.	El Consejo se vuelve activo. Uno o dos miembros contribuen y/o buscan recursos.	Hay algo de ímpetu en el Consejo. Se han formado Comités, pero – en general – pocos miembos están activos. El Consejo levanta niveles moderados de recursos.	Cantidad significativa de recursos levantada por el Consejo. La mayoría de los miembros están suficientemente activos.
	Miembros Hacen que la Organización Avance	El Consejo está seleccionado en base del entusiasmo inicial relacionado con la fundación de la organización, y no necesariamente con relación a sus necesidades de desarrollo en el largo plazo.	Los miembros del Consejo están seleccionados más estratégicamente, pero por lo general sus destrezas aún no corresponden con las crecientes necesidades de la organización.	Las destrezas del Consejo corresonden con las necesidades de la organización que se viene desarrollando, y empiezan a hacerla avanzar.	Los miembros del Consejo son catalizadores del desarrollo de la organización en el largo plazo.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Aranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Misión		No existe una Declaración de Misión. El grupo se reúne alrededor de objetivos generales, tales como un compromiso con el medio ambiente, la salud, o la paz.	La Declaración de Misión existe, pero no está focalizada. El portafolio de diversos proyectos y propuestas no concuerda con la Declaración de Misión.	La Declaración de Misión es clara y en, términos generales, concuerda con el portafolio. Sin embargo, no todo el personal es capaz de articular la Declaración de Misión. Puede ser que las personas fuera de la organización no identifiquen la Declaración de Misión con la organización.	Existe una Declaración de Misión clara. Puede ser articulada por los miembros del Consejo y el personal, y concuerda con el portafolio. Personas de fuera identifican la misión con la organización.
Autonomía		La organización es el agente implementador de un donante.	La organización es capaz de responder a más de un donante y a su Consejo.	La organización es capaz de obtener fondos para apoyar su programa, en consulta con el Consejo.	Además de tener autonomía gerencial y financiera, la organización es capaz de incidir exitosamente y de levantar fondos del gobierno, los donantes, y el sector privado para las ONGs representadas.
RECURSOS GERENCIALES					
Aspecto **Estilo de Liderazgo**	**Componente** Consejo Directivo	Todo el liderazgo emana del fundador(es) inicial(es).	Liderazgo proviene de fundador(es) inicial(es) y uno o dos miembros del Consejo.	Ideas sobre visión y manejo vienen cada vez más del Consejo, mientras que los miembros del Consejo trabajan más estrechamente con la SNA.	Virtualmente todos los miembros del Consejo contibuyen al liderazgo y desarrollo de la organización.
	Trabajo en Equipo por el Personal	Personal sólo proporciona aportes técnicos. Decisiones son tomadas por fundador(es) inicial(es)	Uno o dos empleados proporcionan ímpetu organizacional, además la Secretaria Ejecutiva.	Cada vez más el personal le proporciona motivación vital a la organización. El personal y la secretaría ejecutiva trabajan como equipo cada vez más.	La organización sobreviviría sin la actual Secretaria Ejecutiva o Presidente del Consejo.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Aranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Planifica-ción	Misión/ Supervición	La planificación es oportunista e incremental.	Planes anuales de trabajo están desarrollados y revisados durante el curso del año. Muchas veces, no están incorporados en el plan estratégico de más largo plazo.	La planificación es más amplia y orientada al futuro, de largo plazo y estratégico, y está estructurada alrededor de la Misión.	Basado en la Declaración de Misión, los planes estratégicos y los planes anuales de trabajo continúan siendo instrumentos operativos, y los planes de largo plazo son revisados regularmente.
	Participación	La planificación es de arriba para abajo en su orientación, siendo conducida por la secretaría ejecutiva y el Consejo Directivo.	La participación del personal en la planificación se amplía, incluyendo contribuciones del personal a la toma de decisiones sobre la planificación.	Organizaciones que son miembros de la red proporcionan información para la planificación, pero están excluídos de la toma de decisiones.	El personal de la organización y las filiales contribuyen a las decisiones sobre la planificación, junto con la Secretaria Ejecutiva y el Consejo Directivo.
	Implicaciones con Relación a Recursos	Los objetivos se fijan sin considerar ni los recursos requeridos, ni importantes factores externos.	El logro de los objetivos está atado a los recursos, pero se sigue olvidando importantes factores externos.	Los planes se basan en los recursos y en consideración de los importantes factores externos. Pero la organización no revisa el plan durante su implementación.	Los planes anuales y estratégicos son comprehensivos y suficientemente específicos para permitir la asignación correcta de los recursos, y suficientemente flexibles para ser modificados cuando sea necesario.
	Plan de Trabajo como Herramienta	La organización no produce planes de trabajo.	Planes de trabajo son bosquejados, pero pocas veces usados por la gerencia y el personal operativo.	Planes de trabajo son usados por la gerencia y el personal operativo, pero no son vistos como instrumentos dinámicos a ser modificados cuando sea necesario.	Planes de trabajo son vistos por la gerencia y el personal operativo como heramientas útiles y son modificados cuando sea requerido.
Manejo Participa-tivo	Delegación Apropiada	Decisiones transmitidas a la organización por la Secretaria Ejecutiva y Presidente, con poca o nada de retroalimentación.	La mayoría de las decisiones gerenciales tomadas por la Secretaria Ejecutiva y el Consejo. Hay algo de insumos de uno o dos miembros del personal.	Decisiones gerenciales delegadas cada vez más a los asociados/coordinadores de actividades, como apropiado.	Decisiones gerenciales delegadas al nivel apropiado de la organización.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Aranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Sistemas de Manejo	Sistemas de Personal	No existen sistemas formales de personal (descripciones de puestos, procedimientos de reclutamiento y contratación, etc.)	Existen algunos sistemas, pero no todos los necesarios. Persisten prácticas informales de empleo.	Virtualmente todos los sistemas necesarios están institucionalizados. Se usan mecanismos informales ocasionalmente.	Sistemas formales de personal están institucionalizados, comprendidos por los empleados, e incluyen la posibilidad de reclamos.
	Sistemas de Archivos	No existe ningún sistema formal de archivos.	Los archivos están mantenidos, pero no son ni comprensivos ni sistemáticos.	Los archivos son sistemáticos y accesibles, pero persisten vacios significativos.	Los archivos son comprensivos, sistemáticos y accesibles.
	Procedimien-tos Administrati-vos	Hay pocos procedimientos administrativos formalizados o, si están formalizados, no se utilizan.	Los procedimientos administrativos se formalizan y se utilizan cada vez más, pero no existe ningún manual de operaciones.	Existe un manual administrativo interno como documento en un archivo, pero no como instrumento de operaciones.	El manual administrativo se actualiza cuando sea necesario. Se considera un instrumento operacional. Las personas lo citan o lo utilizan al discutir procedimientos.
Monitoreo y Evaluación (MyE)	Integrado en la Toma de Decisiones	No existen mecanismos formales de evaluación. Se usan información verbal y los instintos.	Se conducen evaluaciones de vez en cuando, usualmente a solicitud del donante, y son implementadas por personas de fuera.	Las evaluaciones son iniciadas por el personal; miembros del personal están involucrados cada vez más en su ejecución; algunas decisiones gerenciales son tomadas en base de los datos; MyE sigue siendo una función gerencial aislada.	Sistema continuo de MyE funcionando y el análisis de los datos está integrado en la toma de decisiones.
	Retroalimenta-ción de los Representados	No hay retroalimentación de las organizaciones representadas.	Hay canales informales para retroalimentación de las organizaciones representadas.	Existen mecanismos formales para retroalimentación de las organizaciones representadas, pero sólo mediante encuestas y evaluaciones.	Hay retroalimetnación continua de las organizaciones representadas.

Recursos	CRITERIOS PARA CADA ETAPA PROGRESIVA			
	Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Recursos Humanos				
Destrezas	Muy pocas personas están llenando un rango demasiado amplio de destrezas profesionales.	Se traen (o contratan) especialistas para las áreas básicas de destrezas, tales como contabilidad y desarrollo de recursos. Quedan algunos vacíos.	Todas las destrezas básicas están cubiertas por personal y expertos externos.	Todas las áreas de destrezas están cubiertas, y el personal/expertos externos son reconocidos por su excelencia. Puede ser que, además, proporcionan conocimientos y asistencia técnica a otras organizaciones.
Estrategia	El desarrollo de recursos humanos es oportunista, basado en las oportunidades que surjan.	Se proporciona direccción general para el desarrollo del personal, pero es de corto plazo y basada en los proyectos.	El desarrollo del personal está basado en una evaluación de necesidades, y existe un plan de acción. El plan concuerda con la misión de la organización.	El desarrollo profesional se considera parte del desarrollo general de la organización. Está apoyado por planes individuales de desarrollo profesional.
Capacitación	Poca o nada de capacitación proporcionada.	La capacitación es significativa, pero es de carácter oportunista.	Por lo general, la capacitación es consistente con el plan, pero aún no es sistemática ni suficiente.	La capacitación proporcionada llena o excede las especificaciones de los planes individuales de desarrollo profesional.
Tutores	Se proporciona poco o nada de entrenamiento ni asesoramiento.	Algo de entrenamiento y asesoramiento proporcionado.	El personal recibe suficiente entrenamiento, asesoramiento y atención de mentores o tutores, pero el desarrollo mutuo del personal aún no está integrado en la organización.	Se considera que el apoyo profesional interno es una parte importante del trabajo de cada miembro del personal.
Motivación	Hay poco o nada de reconocimiento del desempeño de los empleados. Es común que el personal se siente "quemado."	El desempeño está reconocido informalmente, pero no existe ningún mecanismo formal.	Sistema formal de evaluación de desempeño establecido.	Los empleados participan en la identificación de objetivos, y saben qué es lo que se espera de ellos.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
RECURSOS FINANCIEROS					
Aspecto **Manejo Financiero**	**Componente** Planificación	Los presupuestos no son realistas. Son desarrollados de manera incremental, proyecto por proyecto, y usualmente solo para ser financiados por donantes.	Los presupuestos se mantienen proyecto por proyecto, pero no son usados como instrumento para la toma de decisiones organizacionales. Un reconocimiento de la condición financiero anual en general emerge.	La organización mantiene un presupuesto "maestro," pero aún no maneja las finanzas de acuerdo con dicho presupuesto.	La planificación financiera se basa en un presupuesto organizacional "maestro," y la condición financiera está incluída en la planificación y manejo de la organización.
	Control	Los recursos financieros están controlados principalmente por los donantes. Los controles internos son débiles.	Procedimientos financieros se han establecido, pero aún no son completamente sistemáticos.	Procedimientos financieros son sistemáticos y establecidos para apoyar el manejo operacional. Procedimientos documentados facilitan los controles permanentes.	El control es una función gerencial interno. La organización no percibe como excesivos los controles.
	Informes	Los informes financieros son incompletos y difíciles de comprender. Muchas veces la organización tiene que ser presionada para producirlos.	Los informes financieros son más claros, pero aún incompletos. Los informes están relacionados con proyectos específicos, y usualmente se presentan en forma puntual.	Los informes financieros son claros y completos, aún cuando el portafolio se vuelve más complejo. Informes formales se usan regularmente en el manejo operacional.	Los informes y el sistema de datos proporcionan rápidamente una sensación de salud financiera general. Los informes siempre son puntuales, confiables, y disponibles al público.
	Auditorías	No se conducen auditorías.	Auditorías externas se conducen sólo raramente.	Auditorías externas son conducidas frecuentemente, pero no por períodos específicos.	Auditorías externas son conducidas con una frecuencia regular y apropiada.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
	Separación de Cuentas	Fondos no están separados para los diferentes proyectos dentro de la organización.	Fondos de los proyectos están separados solamente cuando requerido por los donantes.	El procedimiento usual es de evitar el cruce de financiamiento entre proyectos. Todos los fondos están separados, pero el cruce de financiamiento ocurre de vez en cuando.	Todos los fondos de los proyectos están separados y existen controles adecuados para evitar que haya el cruce de financiamiento entre proyectos.
Vulnerabili-dad Financiera	Diversifica-ción de Fondos	Financiamiento proviene de una sola fuente.	Financiamiento proviene de múltiples fuentes, pero el 70% o más es de una sola fuente.	Ninguna sola fuente proporciona más del 60% del financiamiento.	Ninguna sola fuente proporciona más del 40% del financiamiento.
	Mobilización Propia de Recursos	No se ha probado, o no ha sido exitosa, la mobilización propia de recursos (incluyendo cuotas de afiliación, mano de obra, y servicios) para generar los ingresos operacionales.	Se persigue la mobilización propia de recursos de manera ad hoc.	Está en operación una estrategia para la mobilización propia de recursos.	Está en operación una estrategia para la mobilización propia de recursos. El 40% de los gastos anuales está generado de recursos locales.
Viabilidad Financiera		El financiamiento de proyectos es inadecuado y depende de las oportunidades locales.	El financiamiento está apenas disponible para cubrir las actividades inmediatas de los proyectos, de acuerdo con la misión.	El financiamiento está disponible para los costos de corto plazo. Estrategias existen para financiamiento de término medio.	Consistente con la misión, todos los proyectos tienen planes de financimiento de largo plazo y los fondos actuales son adecuados para cubrir las necesidades del plan de manejo.

Recursos		Criterios para Cada Estapa Progresiva			
		Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Recursos Externos					
Aspecto **Relaciones Públicas**	**Componente** Reconoci-miento Público	La organización es poco conocida fuera del grupo de donantes y beneficiarios directos.	La organización es conocida en su propia comunidad, pero hace poco para promover sus actividades ante el público y los que toman decisiones.	La organización tiene contactos con los que toman decisiones, y ha desarrollado algunas líneas de comunicación con el público.	La organización y su trabajo son bien conocidos por el público y los que toman decisiones. Es capaz de ganar la participación de los que toman decisiones en diálogos sobre las políticas públicas. Tiene un grupo de representados que le apoya, y comanda respeto fuera del grupo de representados.
	Estrategia de los Medios	La organización hace poco uso de los medios, tal vez prefiriendo mantener un perfil bajo. De vez en cuando, la prensa inicia encuentros. No hay ningún mecanismo establecido para la comunicación.	La organización empieza a buscar visibilidad en los medios. Usualmente, esto se basa en publicidad para eventos específicos y aislados.	La organización es capaz de ganar acceso a los medios mediante mecanismos formales e informales. Atención a la organización de los medios es frecuente, pero aún no estratégica.	La organización usa las relaciones que ha establecido con los medios para comunicación frecuente y efectiva con el público. Existe una estrategia para los medios que apoya las campañas de incidencia, busca hacer que la organización esté mejor conocida y promueve la conciencia pública más amplia en apoyo de la misión.

Recursos		CRITERIOS PARA CADA ESTAPA PROGRESIVA			
		Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Aspecto **Incidencia**	**Componente** Enfoque Estratégico	La organización no realiza incidencia.	Incidencia ocurre, pero es oportunista, esporádica, y no coordinada. Incidencia no es estratégica.	Incidencia se vuelve estratégica. La organización aplica el análisis de los interesados y el análisis del ambiente y del poder para ayudar con el desarrollo de estrategias de incidencia sobre temas específicos. Planes formales de incidencia – que toman en cuenta el espacio político y los intereses de los interesados – son usados para seleccionar los temas, pero puede ser que no sean revisados en base de la experiencia.	La organización celebra sesiones regulares de planificación estratégica de incidencia, que incluyen la continua re-evaluación de su trabajo de incidencia, la misión y las metas, y que incorporan una comprensión de temas relacionados con los interesados, el poder, y los representados. La organización utiliza su plan para guiar sus acciones , utilizando planes de trabajo para incidencia.
	Uso de Investigación e Información	Más allá de responder a solicitudes específicas, la organización no produce información de manera proactiva para el consumo del público durante campañas de incidencia.	La organización produce y divulga información de manera oportunista para educar y abogar en nombre de sus representados, pero no conoce el impacto o el grado de recepción de tal información.	La organización incorpora de manera sistemática la divulgación de información en sus campañas de incidencia. La calidad de la información divulgada es considerada de primera clase.	La organización se ha establecido como una fuente creíble de información acerca de los temas dentro de su área de interés. Tiene fama entre los de afuera, quienes buscan activamente los materiales informativos de la organización. La divulgación de información está plenamente integrada en los planes estratégicos de incidencia y los planes de trabajo.
	Mobilizando a los Afiliados Represen-tados	La organización no utiliza los afiliados en la planificación ni ejecución de las campañas de incidencia.	La organización toma contacto con uno o más de los afiliados al fijar sus prioridades y al ejecutar los planes de incidencia, de acuerdo con lo que parece ser apropiado.	La organización sistemáticamente busca la participación de los afiliados en la identificación de prioridades de incidencia, y en la ejecución de los planes de incidencia, incluyendo el análisis técnico. La organización es capaz de movilizar a los afiliados para campañas de incidencia, y es receptiva a sus prioridades de incidencia.	La organización ha ayudado a los afiliados para organizarse y movilizar a otros, lo cual pueden hacer ahora sin la ayuda de la organización.

Recursos	Criterios para Cada Estapa Progresiva			
	Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Habilidad de trabajar con gobiernos central y locales	Visto como "nosotros" y "ellos." Poca comunicación. Tensión frecuente entre el gobierno y la organización.	Las relaciones son amistosas. Hay colaboración ocasionalmente para tareas y proyectos específicos.	La colaboración es frecuente, usualmente al nivel informal. Las relaciones son amistosas, pero todavía no como socios iguales. Muchas veces las autoridades centrales se acercan a la organización en busca de asesoramiento.	Existen mecanismos formales e informales para la colaboración, y se usan con frecuencia. Las relaciones son de socios iguales. Muchas veces el gobierno central incorpora las recomendaciones de la organización en los planes de desarrollo.
Habilidad de trabajar con ONGs fuera de la red	La organización es poco conocida y goza de poca confianza dentro de la comunidad más amplia de ONGs. No tiene experiencia trabajando con ONGs fuera de su red.	La organización es cada vez más conocida y de confianza dentro de la comunidad de ONGs. Su experiencia con la colaboración se basa en los requerimientos de la implementación de proyectos.	La organización trabaja con ONGs internacionales o locales, y participa en otras redes y coaliciones de ONGs. Las redes y coaliciones están basadas en las necesidades de los representados.	La organización juega un papel de liderazgo en la promoción de las coaliciones de ONGs, basándose en los intereses de los afiliados. Es capaz de ayudar a resolver conflictos entre ONGs o con el gobierno, y de afectar a la política pública en nombre de los afiliados.
Recursos dentro de la Red				
Orientación hacia Afiliados	La organización opera de manera centralizada, con poca conexión con los afiliados representados.	La organización sirve a los afiliados, basándose en percepciones, pero sin la participación activa de ellos.	Se busca insumos de los afiliados para decisiones claves. La organización y sus esfuerzos son vistos por los afiliados como un servicio que se les proporciona.	Los intereses de los afiliados están incorporados en las políticas y prácticas de la organización.

Recursos	CRITERIOS PARA CADA ESTAPA PROGRESIVA			
	Arranque	Desarrollo	Expansión/Consolidación	Sostenibilidad
Participación en la Organización de los Afiliados Representados	La organización involucra a los afiliados que son sólo como recipientes de su programa.	La organización se acerca a los líderes de los afiliados para asesoramiento y la movilización de sus miembros.	La organización se acerca a los líderes de los afiliados para la planificación, implementación y evaluación de los eventos que auspicia.	Los afiliados participan plenamente en la planificación, implementación, y evaluación. Estas organizaciones contribuyen dinero, materiales, mano de obra, y trabajo gerencial para crear y mantener los resultados de los proyectos.
Entrega de Servicios	La entrega de servicios a los afiliados se basa en la oferta, respondiendo muchas veces a las especificaciones de los donantes.	Se incluye algo de insumos de los afiliados al determinar los servicios. Pero el tipo, cantidad y calidad del servicio que se les entrega son a iniciativa de la organización. Se realiza poco monitoreo de la calidad del servicio. La contribución de los clientes para el diseño de los productos o la revisión de la calidad es oportunista, si es que haya.	La organización hace esfuerzos continuos para obtener insumos de los afiliados para determinar el tipo, cantidad y calidad apropiados de servicios. Las opiniones y percepciones de los afiliados son buscadas, al menos anualmente, para proporcionar retroalimentación en cuanto a cómo mejorar los servicios.	La organización está dedicada al proceso continuo de mejoramiento de los servicios prestados a los afiliados. Los servicios están diseñados como respuesta a las preferencias expresadas por ellos, y la calidad es monitoreada continuamente con la retroalimentación recibida. La entrega de servicios se mejora en base de estos datos. Las notas dadas por los miembros sobre los servicios son altas.
Membresía Activa	SNA está compuesta por organizaciones afiliadas, pero tiene pocos afiliados inscritos, comparado con el número de los potenciales miembros dentro del grupo meta, dada la misión de la organización. De los inscritos, pocos son activos.	La organización tiene un número razonable de afiliados inscritos (con relación al grupo meta). Sin embargo, menos de la mitad están al día con el pago de las cuotas de afiliación. La mayoría no participa activamente en los asuntos organizacionales, y muchos no se identifican con la organización y su misión.	Más de la mitad de los afiliados están al día con el pago de cuotas, y se identifican cada vez más con la organización y su misión. Aprovechan cada vez más de los servicios prestados, pero muy pocas veces contribuyen tiempo o energía al mantenimiento y promoción de la organización. Siempre se logra juntar un quorum para las Asambleas Anuales.	La mayoría de los afiliados están al día con el pago de cuotas, participan en los temas organizacionales, y se identifican fuertemente con la misión de la organización. Además de aprovecharse de los servicios prestados (tales como capacitación), un número significativo de los afiliados proporciona verdadero empuje para la organización.

Appendix B: SNA Institutional Development Calculation Sheet (IDCS)

Recurso Aspecto	Componentes Claves	Puntaje Bruto	Peso	Ponde-rado	Puntaje Bruto	Ponde-rado	Cambio Total	Comentarios
Board	Papel del Consejo	2.25	4	9.00		0.00		2 miembros del Consejo son elegidos por cada uno de los 3 estamentos dentro de la SNA (2 members from the council are elected for each of the three strata within SNA)
	Consejo Activo	2.25	3	6.75		0.00	-7	Al elegir los miembros del Consejo, se toma en cuenta su representatividad y en menor medida sus habilidades personales. (In electing the members of the Counsil, their representation and, to a minor degree, their personal abilities are taken into account)
	Miembros Hacen Avanzar	2.75	3	8.25		0.00	-8	El Consejo no ha formado comites para cubrir las necesidades basicas de la SNA, como recaudacion de fondos, plan de medios, etc. (The counsil has not formed committees to take care of basic SNA necessities, such as fund collection, resource plans, etc.)
		2.42			**0.00**			
Misión		2.25	3	6.75		0.00	-7	Se podria expresar la mision de SNA de manera mas focalizada (The mission of SNA could be expressed in a more focused manner)
		2.25			**0.00**			
Autonomía	Autonomía	2.75	3	8.25		0.00	-8	Faltaria buscar mas fuentes de apoyo financiero (Need to look for more financial sources)
		2.75			**0.00**			
Estilo de Liderazgo	Consejo	2.75	2	5.50		0.00	-6	El Consejo participa en la formulacion de decisiones internas, pero no todos los miembros tienden a proponer iniciativas. (The Counsil participates in the formulation of internal decisions, but not all members take initiative)
	Personal como Equipo	3.00	1	3.00		0.00	-3	El personal fijo consiste de 2 personas que colaboran entre ellas (The permanent staff consists of two persons who collaborate with each other)
		2.88			**0.00**			
Planificación	Misión / Super.	2.50	3	7.50		0.00	-8	El plan estrategico es referencial y se usa para formular los planes anuales de trabajo (The strategic plan is a refence material and is used to formulate the

								annual plans)
	Participación	2.75	2	5.50		0.00	-6	Los afiliados son consultados mediante el Consejo, pero no participan en la toma de decisiones de manera regular (The affiliates are consulted through the Counsil, but do not participate in the decision making process on a regular basis)
	Implicaciones para Recursos	2.25	3	6.75		0.00	-7	El plan estrategico no se revisa con regularidad (The strategic plan is not revised on a regular basis)
	Plan de Trabajo como Herramienta	3.50	2	7.00		0.00	-7	Hay planes anuales de trabajo, pero no se modifican con regularidad (Annual plans exist, but are not modified regularly)
		2.75			**0.00**			
Manejo Participat.	Delegación Apropiada	2.00	2	4.00		0.00	-4	Decisiones gerenciales son tomadas por el Consejo y el personal (Management decisions are taken by the Counsil and staff)
		0.50			**0.00**			
Sistemas de Manejo	Sistemas de Personal	3.00	2	6.00		0.00	-6	Con solo 2 personas empleadas, aun no se necesita un sistema mas sofisticado (With only two employees, there is no need for a more sophisticated system)
	Sistemas de Archivos	3.00	1	3.00		0.00	-3	Los archivos estan en orden y accesibles (The archives are in order and accessible)
	Procedimientos Administrativos	2.00	1	2.00		0.00	-2	Hay procedimientos administrativos, pero no hay manual de operaciones (Administrative procedures exist, but there is no operations manual)
		2.67			**0.00**			
Sistemas de MyE	Integrado en Decisiones	1.50	3	4.50		0.00	-5	Falta crear un sistema de MyE, e integrarlo en la toma de decisiones (An M&E system needs to be created and integrated in the decision-making process)
	Retroalimen. De Representados	1.50	3	4.50		0.00	-5	La comunicacion tiende a ser de un solo sentido, y hay escasa retroalimentacion de los afiliados (The communication tends to flow in one direction, and there tends to be little feedback from the affiliates)
		1.50			**0.00**			
Recursos Humanos	Destrezas	2.00	2	4.00		0.00	-4	Hay poco personal, y es dificil cubrir todas las destrezas requeridas (There are too few personnel and it is difficult to provide all the necessary skills)
	Estrategia	2.00	2	4.00		0.00	-4	Se aprovecha de oportunidades que surjan, sin

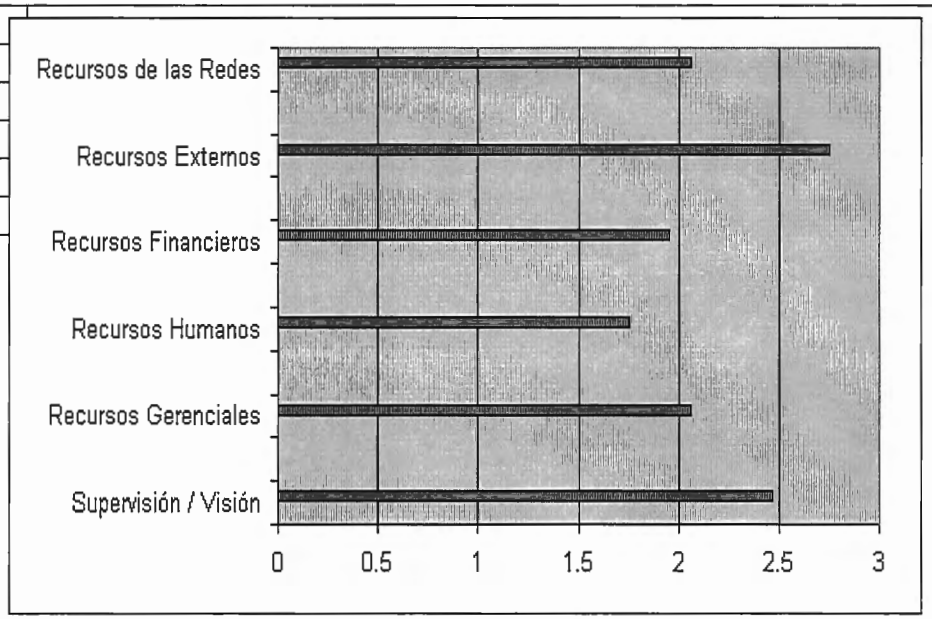
								ninguna estrategia para el desarrollo del personal (Opportunities that come along are taken advantage of without any strategy for staff development)
	Capacitación	2.00	2	4.00		0.00	-4	Se aprovecha de las oportunidades de capacitacion que se presenten (Training opportunities that come along are taken advantage of)
	Tutores	0.75	2	1.50		0.00	-2	Hay interes en iniciar el uso de tutores para fortalecer las capacidades del personal (There is interest in using mentors to strengthen the capacity of staff)
	Motivación	2.00	3	6.00		**0.00**	-6	Hay reconocimiento informal, sin un mecanismo formal (There is informal recognition, without a formal mechanism)
		1.75			**0.00**			
Manejo Financiero	Planificación	1.50	3	4.50		0.00	-5	Todavia no hay presupuesto institucional, con gastos de operacion y de actividades (There is still no institutional budget with operational and activity expenditures)
	Control	2.75	2	5.50		0.00	-6	Existen controles financieros, pero sin procedimientos documentados (Financial controls exist, but without documented procedures)
	Informes	3.00	3	9.00		0.00	-9	Hay informes de todas las actividades (There are reports of all the activities)
	Auditorias	1.50	3	4.50		0.00	-5	Se ha hecho una sola auditoria para USAID (There has been one audit performed for USAID)
	Separación de Cuentas	3.00	1	3.00		0.00	-3	No hay cruce de cuentas There is no crossing of accounts)
		2.35			**0.00**			
Vulnerabilidad	Divers. De Fondos	2.00	4	8.00		0.00	-8	Una sola fuente proporciona el 80% del financiamiento (one source accounts for 80% of funding)
Financiera	Mobiliz. Propia de Recursos	0.00	2	0.00		0.00	0	Aún no hay un plan de mobilizacion propia de fondos; no hay cuotas de afiliacion, venta de servicios, etc. (There is still no plan for mobilizing local funding sources; no membership quotas, sale of services, etc.)
		1.00		0.00	**0.00**			
Viabilidad Finan.		2.50	4	10.00		0.00	-10	Falta una estrategia para financiamiento de mediano y largo plazo (Medium and long-term strategy for financing is missing)

		2.50			**0.00**			
Relaciones Publicas	Roconocimiento Publico	3.00	3	9.00		0.00	-9	SNA esta reconocida por los afiliados y por algunos de los que toman decisiones (gobierno, congreso, etc.) (SNA is recognized by the affiliates and by some of the decision-makers (government, congress, etc.)
	Estrategia de los Medios	3.00	3	9.00		0.00	-9	SNA ha logrado algo de cobertura en los medios, pero aun no hay un plan de aprovechar mas del acceso a los mecios (SNA has some coverage in the media, but there is still no plan to take advantage of an increase in media coverage)
		3.00			**0.00**			
Incidenia	Enfoque Estratégico	3.00	4	12.00		0.00	-12	SNA hace incidencia, pero sin una estrategia proactiva (SNA influences policy, but without a proactive strategy)
	Uso de Inves/ Información	2.00	3	6.00		0.00	-6	SNA divulga informacion de manera oportunista, pero no conoce el impacto o grado de recepcion de tal informacion (SNA spreads information in an opportunistic manner, but without knowing the impact or level of receptivity of such information)
	Mobilizando a Representados	2.50	3	7.50		0.00	-8	La mobilizacion queda mayormente a nivel del Consejo y del personal, sin un plan de mobilizacion mas amplio (The mobilization remains for the most part at the Counsil and personal level, without a plan for more extensive mobilization)
		2.50			**0.00**			
Habilidad de Trabajar con Gob. Central y Locales		2.75	3	8.25		0.00	-8	Relaciones son amistosas, pero no como socios (Relations are friendly, but not as partners)
		2.75			**0.00**			
Habilidad de Trabajar con Otras ONG		2.75	3	8.25		0.00	-8	SNA trabaja con coaliciones y otras entidades de ONGs fuera de la red (SNA works with coalitions and other NGO entities outside of the network)
		2.75			**0.00**			
Recursos dentro de la Red	Orientación hacia Representados	1.75	3	5.25		0.00	-5	Falta desarrollar mecanismos de retroalimentacion de parte de los afiliados (mechanisms still need to be developed for gathering feedback from the affiliates)
	Participación de Representados	2.50	3	7.50		0.00	-8	No se esta aprovechando al maximo la participacion de afiliados en la planificacion, implementacion y evaluacion (The particilation of affiliates is not being

								taken advantage of to the maximum in planning, implmentation and evaluation)
	Entrega de Servicios	2.00	3	6.00		0.00	-6	SNA aun no cuenta con un mecanismo formal de consulta con los afiliados en cuanto a los servicios que esperan (SNA still lacks a formal mechanism for consulting with affiliates regarding the services they expect)
	Membresía Activa	2.00	3	6.00		0.00	-6	No hay cuotas de afiliacion; se logra quorum para las Asambleas, pero los afiliados estan en lo suyo (There are no affiliation quotas; quorum for the Assemblies is attained, but the affiliates do their own thing)
		2.06			**0.00**			
Puntaje Total		**94.25**		247.00	**0.00**	0.00	-238.00	
Promedio del Puntaje		2.142			0		0	

Resumen de Promedio para Cada Aspecto de los Recursos

Supervisión /	2.47	0.00	
Recursos Gerenciales	2.06	0.00	
Recursos	1.75	0.00	
Recursos Financieros	1.95	0.00	
Recursos Externos	2.75	0.00	
Recursos de las Redes	2.06	0.00	



Appendix C: SNA Institutional Development Profile (IDP)

	Start-Up	Development	Expansion/ Consolidation	Sustainable
Capabilities				
Oversight/Vision				
Board				
Mission				
Autonomy				
Management Resources				
Leadership Style				
Planning				
Participatory Management				
Management Systems				
M&E Systems				
Human Resources				
Skills				
Strategy				
Training				
Mentoring				
Motivation				
Financial Resources				

Financial Management
Financial Vulnerability
Financial Viability
External Resources
Public Relations
Advocacy
Ability to Work with Central Gov't
Ability to Work with NGOs Outside Network
Network Resources
Member Orientation
Member Participation
Service Delivery
Active Membership

Objective 2: Use institutional budget to make decisions			
Activities	Necessary Resources	Sources	Date of Completion
A. Formulate the institutional budget	Staff	SNA	9/04
B. Approval of the institutional budget	Assembly	SNA	9/04
C. Quarterly follow-up of execution	Counsil and Executive Secretary	SNA	On-going

Objective 3: Perform annual external audits and disseminate results			
Activities	Necessary Resources	Sources	Date of Completion
A. Management of resources	Staff	SNA	12/04
B. Performing the audit	Auditing firm	External?	3/05
C. Publication of the results of the audit.	Channels of distribution	SNA	4/05

Objective 4: Design and implement fund-raising plan			
Activities	Necessary Resources	Sources	Date of Completion
A. Formulate the plan	Ad hoc team	External?	11/04
B. Execute the plan	Staff	SNA	2/05

Objective 5: Design and implement advocacy plan			
Activities	Necessary Resources	Sources	Date of Completion
A. Formulate the plan	Staff and council	SNA	4/05
B. Execute plan and follow-up	Staff and council	SNA	On-going

Objective 6: Involve affiliates in actively strengthening the network			
Activities	Necessary Resources	Sources	Date of Completion
A. Diagnosis of offer/proposal	Research by CAP	External help from universities	6/05
B. Formulate ideas through a participatory forum	Staff	SNA	8/05
C. Execute and monitor plan)	Internal and external help	SNA	On-going

CAPABLE PARTNERS PROGRAM (CAP)

Sarvodaya Shramadana Sangamaya

Institutional Self-Assessment and Improvement Process

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

August 2004

Report on Sarvodaya Shramadana Sangamaya Institutional Self-Assessment and Improvement Process

August 2004

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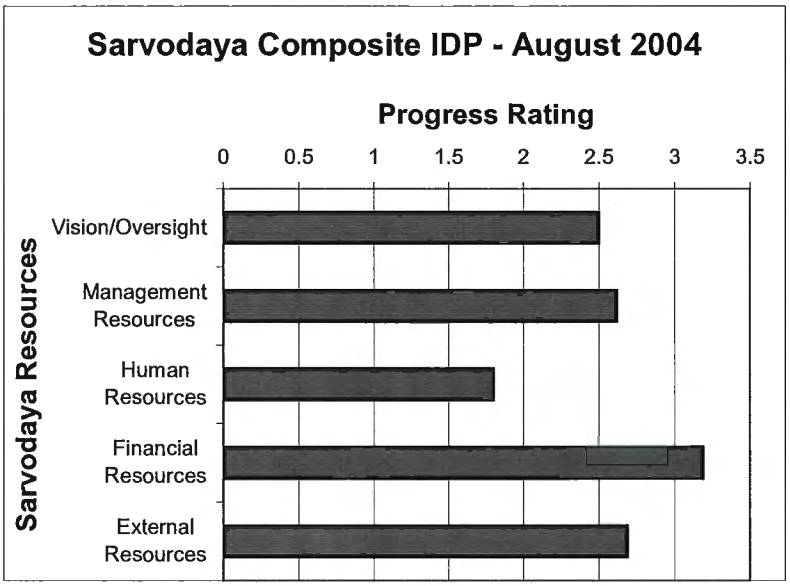
Summary, Findings, and Conclusions

On the afternoon of 19 August, the CAP consultant met with Sarvodaya Economic Enterprise Development Services (SEEDS) to overview the assignment, which was to comprise 2 ½ days of IDF facilitator training (ten select SEEDS Assistant District Managers), followed by 4 days of facilitating Sarvodaya's institutional self-assessment and improvement process with select Sarvodaya headquarters staff.

Sarvodaya conducted its IDF self-assessment at "Damsak Mandira," Sarvodaya's national headquarters, from 24 – 27 August 2004. In the first meeting, the CAP consultant reviewed the process and the group began to customize the IDF Matrix. Since the same consultant had worked with the Indonesian Women's Coalition (KPI), the approach was virtually identical. It is described in detail in the KPI Report and not repeated in full here.

This first part of the self-assessment lasted two, six-hour workdays – quite a bit longer than anticipated, and surprising given the small group (4 people). However, the CAP consultant did not speak Sinhala and most participants were not fluent in English; one hardly spoke English at all. The constant exchanges (i.e. "well, does it mean this or that?") between participants translating for the non-English speaker, and quite often for each other, consumed huge, if pleasurable, amounts of time. The "trained" facilitators (see below), two of whom attended the assessment as observers, spoke English no better than the participants. This is unfortunate, given that considerable time was spent outlining the language options to the organization.

Figure 1: Sarvodaya Institutional Development Profile, Summary by Resource Area



Participants worked diligently on the assessment until each score and all necessary comments were recorded on Sarvodaya's Institutional Development Calculation Sheet (IDCS, presented in *Appendix B*). The results of the assessment have since been "translated" into a graph [*Appendix C: Institutional Development Profile (IDP)*]; a summary is presented in Figure 1.

The assessment of Sarvodaya was generally positive. The CAP consultant was concerned that few of Sarvodaya's experienced managers participated, although those who did were energetic and dedicated: the Finance Director, his Deputy, and two others, who had all been at Sarvodaya only for 6 – 8 months. Even though the consultant fully trusts the honesty of their assessment, he has little confidence that the results – except those pertaining to financial management – represent the organization at large. This is too bad, because the consultant was able to see that Sarvodaya is a great organization which could be greatly helped by targeted assistance.

Background

Sarvodaya – a 46 year old, non-governmental, self-help organization – takes an integrated, holistic approach to development, peace, and spiritual awakening. Sarvodaya's programs, which involve 13,000 Sri Lankan villages through 600+ staff, are grouped into three areas: Social, Technological, and Economic Empowerment. Specialists in each division work at the district level with villages to provide assistance. Sarvodaya's other independently incorporated units are Sarvodaya Suwasetha (humanitarian care and support), Shanti Sena (peace brigade), Sarvodaya Women's Movement, Sarvodaya Legal Services Movement, Income Generating Projects, Sarvodaya Trust Fund, and Vishva Niketan (global peace meditation center).

Currently, Sarvodaya's founder, Dr. A.T. Ariyaratne, serves as President, having handed over the day-to-day operations to his son, the current Executive Director. Together with senior management and headquarters program staff, the Ariyaratnes work out of "Damsak Mandira", Sarvodaya's national headquarters near Colombo. In addition to program management staff, Sarvodaya has a Board (called the Executive Committee) comprised of Sarvodaya senior management and members selected to the Executive Committee at the annual meeting. These latter represent the differing sectors of society who support Sarvodaya's mission and vision. A sub-group of the Executive Committee, the Official Committee, sets policy and strategy.

Assessment Results

The participants rated Sarvodaya's current performance highly, except in Human Resources Management: Vision/Oversight, Management Resources, and External Resources scored firmly in the expanding/consolidating stage; Financial Resources at sustaining. However, participants felt that Management and Financial Resources (despite their relatively high average ratings) both have key areas which require attention during the coming year. These areas are addressed together with Management Information System in Sarvodaya's Institutional Improvement Plan (*Appendix D*). Within Human Resources, three key components require attention: Staff Participation, Communication Flow, and Administrative Procedure.

Overall, Sarvodaya urgently needs a Management Information System (MIS) with LAN (local area network) and WAN (wider area network) capability, the affiliated hardware and software, and requisite staff training. Sarvodaya's electronics, except for SEEDS (which is having a LAN with Internet capability installed under another project), are inadequate: few computers, no LAN

for file sharing or shared printing, only one area of headquarters with Internet connection (the IT department with 4 computers, to serve 500+ staff), no staff with Sarvodaya e-mail addresses, and only two phone lines into headquarters. Participants described in agonizing detail the difficulties of making and receiving calls – a tough electronic environment for an organization of this size and volume of activity. As will be evident, participants regard performance in several other key component areas to be linked directly to the lack of an MIS.

From the start, participants were clear that an MIS with WAN reach into the field would be a very large step forward, allowing Sarvodaya to communicate effectively with district centers, project coordinators, constituencies (villages), beneficiaries (villagers), and other stakeholders. Sarvodaya could receive direct feedback from their assisted communities, assess a project at any time, and take necessary corrective action promptly; feedback currently is filtered through overworked project coordinators. This freer communication flow would also improve the data collection and analysis necessary for the monitoring, evaluation, and adaptive management.

In administrative procedures, Sarvodaya needs to standardize operating procedures and codify them in a manual. Participants were particularly concerned about the highly informal procedures for recruiting and assigning personnel. The consultant was regaled with tales of staff hired to fill one position (but without job descriptions and seemingly off the street), only to find themselves expected to do something entirely different or, worse, to find that there was nothing to do at all. Overall, administrative procedures are *ad hoc*, unwritten, and largely irrelevant to day-to-day operations. Sarvodaya staff are vaguely, but comprehensively, confused about who is supposed to do what, when, where, and how.

Participants discussed the key components of human resources vigorously and at length, concluding that Sarvodaya's needs in this area are second only to the MIS. In brief, five areas of need were discussed.

1. Improved English skills are critical to Sarvodaya's ability to learn from and give to the international development community, not to mention the all-important ability to apply for grants from donors. Most staff (70%) work exclusively in Sinhala.

2. General staff computer training will be required when Sarvodaya gets "wired." Currently there are only 4 computers at Sarvodaya (again, excepting SEEDS); those 4 are old, and very few staff have any notion of how to use them. Establishing a computer-literate staff will allow Sarvodaya to work smarter, not harder.

3. Sarvodaya lacks knowledge and skills in human resources management. Its hiring practices are very informal: no or inadequate job descriptions, no specialist recruitment, no personnel evaluation system. These practices have unsettled Sarvodaya: staff are primarily enthusiastic, but inexperienced, young people who are unqualified and severely overworked, resulting in early burnout and high turnover). The costs – direct and indirect (opportunity costs) – are unknown, but suspected to be quite high. This management style would be sufficient only for a small organization; Sarvodaya is huge.

4. Sarvodaya has a dearth of staff professionally qualified in various disciplines, namely Bio-diversity, Counseling, Project Management, and Sociology. Likewise, Sarvodaya's specialized units have little expertise. Although Sarvodaya manages pretty well, a more expert, experienced staff could better meet its constituencies' needs. However, should Sarvodaya decide to become more "professional," it must grapple with some thorny issues:

   - What would increased "professionalism" mean to Sarvodaya's culture – a culture that promotes spiritual values and a family-like environment?

   - How would Sarvodaya afford it? Participants told a story, one of several, of an M.D. who worked in the children's health program. Highly principled and devoted, she worked for Sarvodaya for about four years, before accepting that she simply couldn't afford to stay. Salaries are too low to attract a significant cadre of specialists, and the requisite money is not available.

5. Finally, Sarvodaya has only one person professionally and technically qualified in project management (Dr. Harsha). In a development NGO of increasing size and prominence, this is a huge skill vacuum. It is absolutely important to fill this gap, both to provide better services for, and to meet the increasing demands of, communities. Expertise in the logical framework, project needs assessment (e.g., new methodologies of Participatory Rural Appraisal), new tools for project management, and project reporting is vital.

Improvement Plan

With the assessment done, participants prioritized improvement areas. Again using the process that worked well in Indonesia, the group ranked the various IDF rows along four gradations ranging from "Necessary for survival" to "Not significant to us in the near future." All of the key components were "rated" at the same time and the CAP consultant facilitated discussions to reconcile differences. The agreed grade, along with the performance score, was noted on Sarvodaya's Institutional Development Calculation Sheet (IDCS – *Appendix B*). With the group, the CAP consultant placed each key component card on an XY (scatter) chart; the X axis represented the progress score and the Y axis the priority ranking. Together, they identified the areas absolutely essential to Sarvodaya's survival in which it is currently deficient.

On the morning of 26 August, the participants broke into two small work groups, comprised of those most acquainted with each high priority. For the rest of the week, these groups blocked out objectives, activities, resources, and sources. With the group's agreement, the CAP consultant has used these data to prepare Sarvodaya's draft Institutional Improvement Plan (*Appendix D*).

Sarvodaya must still review this report, with its appendices, and prepare its request for technical assistance from CAP. The assessment participants should meet to review the five identified areas for improvement, agree on what Sarvodaya should immediately pursue, and propose to CAP the three amenable to assistance during this coming year. Following the preparation of the formal request, it must be submitted to CAP for consideration.

On 27 August, the CAP consultant met with USAID/India's COP. In discussing the assessment, the consultant mentioned Sarvodaya's critical need for communications improvement and that CAP is unlikely to fund hardware and software. USAID/India's COP graciously suggested that,

upon receipt of this report, he'd see what he could do among the donors to fill this gap. No promises, but there is some small hope.

Results of Facilitator Training

On the morning of 20 August, ten SEEDS Assistant District Managers gathered at SEEDS headquarters (just down the road from Sarvodaya) for an IDF Facilitation Workshop. This audience can be characterized as: interested and mildly enthusiastic, devoid of skills in facilitation of any sort, and having only marginal ability in English. Although SEEDS Product Development and Project Finance Banking Division Manager attended most of the sessions and had agreed to translate when called upon, this did not work out quite so well as planned.

The training focused on the five key IDF tasks:

1. Introduction/overview of the IDF.
2. Review and revision – if necessary – of the IDF matrix.
3. Self-assessment scoring.
4. Setting priorities for each key component.
5. Deciding which key components need our attention.

For each of these tasks, in turn:

- The CAP consultant gave an overview of the task (instruction and model facilitation).
- Noted facilitation tips on a flip chart.
- The group discussed what needed to be done to accomplish the task and detailed lists were made on flip charts (e.g., print out matrices, get flip chart tape).

Mid-day on 21 August, the review ended and participants spent the remainder of the day preparing to practice facilitate a portion of the IDF. In two groups of three, and a third of four, each team took on the following job:

- Prepared a presentation on the IDF, to include:
    a. Its benefits to a village society
    b. A brief description of the matrix and how the village society will use it in self-assessment and setting priorities
- Used a select aspect and key components (given to the teams by the CAP consultant) to:
    a. Prepare to review and revise the key components
    b. Prepare to facilitate scoring these components
    c. Prepare to set priorities for these components

On 23 August, each team took 60 minutes to make their presentations – reviewing, revising, scoring, and setting priorities for their select components. The rest played the roles of village society members, commenting on and critiquing the group's work. After each team, there was a 15-minute debriefing to provide feedback. The workshop adjourned in mid-afternoon.

Capacity to Conduct Follow-on IDF Assessment

At least two more facilitated IDFs are necessary before Sarvodaya will be able to facilitate the IDF independently. Although progress was made with the ten participants, they are a long way from being acceptably competent IDF facilitators– not because they lack the talent, but because both the whole procedure, and the language in which it was presented, were foreign and so more time is needed. Two of the best in the group observed the Sarvodaya self-assessment and were clearly startled by the intensity of the process and the particulars of facilitating it. SEEDS should not use these fellows in IDF facilitation until they receive a much more thorough grounding.

Next Steps

Sarvodaya will prepare and submit its proposal for technical assistance to CAP and seek funding from other donors to ensure its success. It should re-apply the IDF next year, using a similarly transparent and participatory process, but involving many more managers, in order to set a more reliable baseline from which to track its progress.

Workshop Rating

Unfortunately, the end of the assessment was a bit ragged, with participants coming independently to the workshop room; when all were finally assembled, there was no time to complete the evaluation.

Appendix A: Sarvodaya Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
OVERSIGHT/VISION					
Aspect	Component				
Board	Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development needs.	Board members' selected more strategically, but most of their skills still do not match growing needs of organization.	Board's skills match needs of the developing organization and begin to move it forward.	Board members are catlyst for long-term development of organization.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to environment, health, or peace.	Mission Statement exists, but is not focused. Diverse portfolio of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the Mission Statement. People outside organization may not identify Mission Statement with the organization.	Clear Mission Statement. It can be articulated by Board and staff and is consistent with portfolio. Outsiders identify the same mission with the organization.
Autonomy		Organization is the implementing agent of one donor.	Organization is able to respond to more than one donor and the organization's Board.	Organization is able to obtain funding to support its program, in consultation with the Board.	In addition to managerial and financial autonomy, organization is able to successfully advocate and raise funds, on behalf of its NGO consitutency, to government, donors, and private sector.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
Management Resources					
Aspect **Leadership Style**	**Component** Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members.	Vision and management ideas increasingly come from Board as Board members work more closely with the organization.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly work as a team	Organization would survive without current Executive Director or Chairperson of the Board.
Planning	Mission/ Overview	Planning is opportunistic and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Executive Director, and Board driven.	The participation of staff in planning is widened, including staff contributions to planning decision making.	NGO constituents provide information for planning but beneficiaries excluded from decision making.	Organization's staff and NGO constituents contribute to planning decisions along with Executive Director and Board.
	Resource Implications	Objectives set without assessment of resource requirements, nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Executive Director and Chairperson with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated to appropriate level of the organization.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Transparent Decision-Making	Decisions handed down to organization from Executive Director without clear decision criteria and little or no feedback.	Management decision criteria used by Executive Director generally shared with Board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Internal administrative manual in place as a document in a file, but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Monitoring and Evaluation	Integrated into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision-making.
	Constituency Feedback	No feedback from NGO constituency.	Informal channels for NGO constituency feedback.	Formal mechanisms exist for NGO constituency feedback but only via surveys and evaluations.	Continuous feedback and input from NGO constituency.

Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence. They may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is opportunistic and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with organizational mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training	Little, or no, training provided.	Training is significant, but is opportunistic in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
FINANCIAL RESOURCES					
Aspects **Financial Management**	**Components** Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis, but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year "master" organizational budget, but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.
	Own Resource Mobilization	Own resource mobilization (including dues, labor, and services) for operational income is untried or unsuccessful.	Own resource mobilization pursued on an *ad hoc*, basis.	Own resource mobilization strategy is operational	Own resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and is dependent on local	Funding is available to cover immediate project activities only, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
		opportunities.			
External Resources					
Aspect **Public Relations**	**Component** Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists that supports advocacy campaigns and seeks to make the organization better known and to foster a broader public awareness in support of the Mission.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect **Advocacy**	**Component** Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic, sporadic, and not coordinated. Advocacy is not strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents, but is unaware of the impact or reception of such information.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Organization has established itself as a credible information source on issue within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns.	Organization contacts one or more constituent NGOs in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages constituents in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituents for advocacy campaigns and is responsive to their advocacy priorities.	Organization has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the organization.

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/Consolidating	Sustaining
Ability to work with central and local government	Viewed as "we", "they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners. Often the central authorities refer to organization for advice.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners. The central government often integrates the organizations' recommendations into development plans.
Ability to work with NGOs outside network	Organization only slightly known and trusted by broader NGO community. But, organization does not have experience working with NGOs outside its network.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements.	Organization works with international or local NGOs, and participates in other NGO networks and coalitions. Networks and coalitions are based on NGO constituency needs.	Organization plays leadership role in promoting NGO coalitions based on NGO constituencies' interests. Capable of helping to resolve NGO-NGO or NGO Govt conflict and of affecting policy on behalf of constituency
Network Resources				
Constituency Orientation	Organization operates in centralized manner with little connection to NGO consituency.	Organization serves NGO constituency based on perceptions/assessment, but without active NGO constituency involvement.	NGO constituency input sought for key decisions. Organization and its efforts viewed by NGO constituency as service provided to them.	NGO constituency interests are integrated into organization's policies and practices.
NGO Constituent Participation in Organization	Organization involves is NGO constiuency only as recipients of the organization's program.	Organization draws on leaders of its NGO constiuency for advice and mobilization of its members.	Organization draws on leaders of its NGO constiuency in planning, implementation and evaluation of organization's events.	NGO constiuency participates fully in planning, implementation, and evaluation. Constiuency NGOs contributing cash, material, labour, and management to create and maintain project results.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/Consolidating	Sustaining
Service Delivery	Service delivery to NGO constiuents is supply-driven, often responding to the specifications of donors.	Some NGO constituency input included in determining services. But, type, quantity, and quality of services delivered to NGO constiuents is at the initiative of the organization. Little monitoring of service quality is undertaken. Customer input into product design or quality review is opportunistic, if at all.	Organization makes consistent effort to obtain NGO constiuents' input into determining the appropriate type, quantity and quality of services. NGO constituents attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to NGO constiuents. Services are tailored in response to articulated customer preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data. Constituent ratings are high.
Active Membership	Organization is a "membership" Intermediate Service Organization, but has few members enrolled, relative to the number in its potential target group, given its mission. Of those enrolled, few are active.	Organization has a reasonable number of members enrolled (relative to their target group). However, fewer than half are current in dues payment, most are not active participants in organizational matters, and many do not identify with the organization and its mission.	More than half of members are current in dues payments and increasingly identify with the organization and its mission. They increasingly avail themseleves of services provided by the mission, but rarely contribute time or energy to maintenance and promotion of the organization. A quorum is always obtained for Annual General Meetings.	Most members are current in dues payments, are active in organizational issues, identify strongly with organization's mission. In addition to availing themselves of services of the organization (such as training) a significant number of members provide real thrust to the organization.
Specific Service Delivery Indicators				

Appendix B: Sarvodaya Institutional Development Calculation Sheet (IDCS)

Aspect	Key Components	Aug-04 Raw Score	Weight	Adj. Score	INSERT DATE Raw Score	Adj. Score	Change Over Time	Comments
Executive Committee	Executive Committee's Role	3.50	4	14.00		0.00		Board is called the Executive Committee, and is comprised of Sarvodaya senior management and members selected to the Executive Committee at the annual meeting. These members represent the differing sectors of society who believe in the Sarvodaya mission and vision. Official Committee sets policy and plans strategy. It is not intended that the Executive Committee be active in formulating Sarvodaya policies, nor participate in strategic planning. Rather, their "job" is to provide input to policy/strategy and approve policy/strategy. The Executive Committee could be more active in assisting Sarvodaya link with other organizations.
	Active Executive Committee	2.00	4	8.00		0.00		The President (and founder), A.T. Ariyaratne, is very active. As are the members of the Executive Committee, although the latter are not focused. While they have subscribed roles, there is a need for the Committee members to more actively focused on carrying out these roles.
	Members Advance Organization	1.50	3	4.50		0.00		The skills of the Executive Committee members match current directions of Sarvodaya, but they don't have enough focus. Changing needs, however, will require "new blood;" members with skills focused on the organization's strategy, its objectives.
		2.33			**0.00**			
Mission	Mission	2.50	4	10.00		0.00		Although the mission statement is clear, not all in the organization are capable of articulating it. Thus, there is a need for a fuller communication of Sarvodaya's mission to all staff. Also, Sarvodaya's project implementation should be tied more closely to the mission statement. And strategic planning in general should be causally directed toward the achievement of Sarvodaya's mission.
		2.50			**0.00**			
Autonomy	Autonomy	3.00	3	9.00		0.00		Sarvodaya, while relatively autonomous, could take steps to increase their autonomy. These might include: Making better use of their asset base. Devoting further resources to the endowment fund. Increasing "own" revenues through business expansion.

								Partnerships with businesses.
		3.00			**0.00**			
Leadership Style	Executive Committee	2.00	3	6.00		0.00		The present condition is not satisfactory, more members of the Executive Committee must be involved actively in leadership. An approach to this would be to increase self-initiative by the Executive Committee members, perhaps by assigning them to sub-committees with specific objectives.
	Staff Teamwork	3.00	4	12.00		0.00		Although some staff are providing drive, there is a need for many more staff to become familiar enough with Sarvodaya's program so they might contribute. Suggested mechanisms for this are: An orientation program (one exists) for all unoriented staff - new and old. Periodic in service activities to keep staff current with regard to the program. Field visits, which might include a work program so that all staff have an opportunity to periodically visit project sites and participate in their activities. Finally, there is a need to recruit the right people for Sarvodaya's headquarters staff. Currently, there are no real criteria used in recruitment, and this should change with criteria set so selected staff are capable of providing drive to the organization.
		2.50			**0.00**			
Planning	Mission/Overview	3.50	4	14.00		0.00		Currently, strategic plan development is based on the mission statement; but this is a recent initiative. The assumption is that Sarvodaya will continue to plan this way.
	Participation	3.00	3	9.00		0.00		For constituents to be incorporated into decision making, they need to be better informed by Sarvodaya on its programs. As it stands right now, the Program Support Unit does get input from beneficiaries for planning purposes. This information is filtered through the District Coordinators who are seen as representing the beneficiary's views. Occasionally, donor plans are implemented without such input, but when these projects are proposal-based they would include this input. A key is not to lose sight of the necessity for feedback from the constituencies.
	Resource Implications	3.50	4	14.00		0.00		In practice, although plans are flexible enough to be modified, they are not often modified in practice. An objective would be to compare the plan with actual performance and identify the reasons for variance. An approach to this would be to increase project financial monitoring skills.
	Work Plan as Tool	3.50	4	14.00		0.00		Once again, the plan is flexibly open to modification, but in reality this is seldom done. In addition to financial lapses, there are technical

								lapses accounting for this - such as a lack of information on which to base changes.
		3.38			**0.00**			
Participatory Management	Appropriate Delegation	3.00	2	6.00		0.00		There is organizational willingness to delegate authority, but in most instances there is no capable person to take the decision. An objective, then, would be to increase the capacities of those not yet able to take decisions. This might entail implementing skill development programs in management, decision making, and so on.
	Transparent Decision-Making	3.00	3	9.00		0.00		There are more staff than are currently involved in decisions. Those excluded are so because they lack the capabilities to participate. As above, the objective would be to increase these capabilities and the quantity, quality and consistency with which information required for decision making is available. Some approaches are: Develop an improved MIS (see below). Provide specific technical training to staff. Provides innovative training to young staff as a way of catalyzing their participation.
	Staff Participation	1.50	4	6.00		0.00		Some staff roles are well understood, but many remain unclear. There are several possible approaches to remedying this problem: Management education. Secondary leadership for downward delegation of authorities. Increase the awareness of staff about their role in/contribution to projects. Begin recruiting individuals with specialized skills fitting the job description (and issue here is low salary levels, as specialized people cost more than Sarvodaya has, a resources implication that should be considered at the planning stage). Professional development. Skills training. Overseas exposure to see how other NGOs handle the issue of staff roles...visits by a broad range of staff, not just senior managers. Finally, set job descriptions should be used in recruiting, training and assigning staff so there is consistency between what Sarvodaya says it's requiring and what it is that the person hired actually does.
	Communication Flow	2.50	3	7.50		0.00		Communications are constrained by a lack of an efficient MIS system. There's no location wherein information can reside and be easily and efficiently disseminated from. The objective here would be to move from a manual information system to an electronic system, with the appropriate hardware and software for: A local area network and intranet. Ready access to e-mail and the Internet.

								A modernized telephone system, too, would contribute greatly to communication flow as, for all of Sarvodaya headquarters, there are only two phone lines.
		2.50			**0.00**			
Management Systems	Personnel Systems	2.00	4	8.00		0.00		The consequences of the current system are that some staff (a noticeable number) are recruited inappropriately for their positions. An answer to this dilemma might be: Job descriptions attuned to the Sarvodaya culture and values. (Sarvodaya has a relaxed organizational culture that resembles a big family; rigid job descriptions may interfere with this culture and are not desirable.)
	File Systems	2.00	3	6.00		0.00		See the changes under communications flow…intent is to move toward a paperless office. Other approaches to improving the file system include: The current filing system needs review and rationalization of its file structure for standardization throughout the organization. Staff will require training in filing structures. As of now, file cabinets and space for them is important. In the mid-term, scanning documents into Adobe portable document files will reduce the need for more cabinets and space.
	Administrative Procedures	1.50	3	4.50		0.00		Administrative Circulars are distributed signaling procedures to be followed; but they are not always followed. Approaches to development here might include: Existing rules require disciplinary procedures attached to them to ensure they are followed. Announced procedures need oversight and follow-up to ensure compliance. Current rules and procedures need to be reviewed and "modernized," e.g., explore the flex time concept to get around the difficulty people have in coming to work. Explore what changes might be made in Sarvodaya's traditional behaviors to have the organization better placed to follow rules and regulations.
		1.83			**0.00**			
Service Delivery	Service Delivery	2.50	4	10.00		0.00		Although there are existing mechanisms for obtaining constituency/beneficiary feedback, there are questions about whether the District Officers conscientiously and systematically solicit this feedback. To answer those questions, as well as to provide more robust data for monitoring and planning, several approaches are suggested: Introduce regular portfolio reviews as a form of progress report. Could be monthly. Require monthly financial reports (and have these track the progress reports.

								In both instances, the reports should be standardized over all of Sarvodaya and people acquainted (or trained) in the system.
		2.50			**0.00**			
Constituency Participation	Constituency Participation	3.00	3	9.00		0.00		Although constituencies are involved in making contributions to projects, they do not as yet participate fully in planning, implementing and evaluating projects. An objective then would be to engage Village Societies in these functions. Approaches to do so may be: Get their attention (let them know their value in these functions). Let Village Societies know that it is Sarvodaya's expectation that they participate in these functions. Bring them in, giving them an active role in these functions. Provide them with the tools and skills they need to participate fully.
		3.00			**0.00**			
Monitoring & Evaluation	Integrated Into Decision-Making	2.50	4	10.00		0.00		M&E is an isolated function. Participants say that "if it's working, we can't see it." A growth objective would be to establish a Monitoring, Evaluation and Research Unit. This unit would provide monitoring and evaluation of Sarvodaya's program, management and financial functions; as well as conduct research according to requirements.
	Constituency Feedback	2.50	3	7.50		0.00		(See Service Delivery.)
		2.50			**0.00**			
Human Resources Management	Skills	2.00	4	8.00		0.00		An organizational analysis is necessary to identify skills gaps, and offer a cogent rationale for filling those gaps. Once accepted, the gap could be filled by the appropriate training of existing staff, or recruiting new staff with the skills identified.
	Strategy	1.50	4	6.00		0.00		A few Sarvodaya units (e.g., financial management) provide direction for staff development; but, although there is a Human Resources Unit, this direction is not systemic. The objective would be to strengthen HR's capacity to provide more specific career development direction and universally throughout the organization. Essential first tasks include: Professional development needs assessment of staff. Career development action plans. Professional development opportunities should be open to all qualified staff.
	Training	1.50	4	6.00		0.00		What training that exists tends to be technical and on a project basis. The objective would be to have training geared toward institutional needs. Another HR function that needs strengthening. It's important to provide those trained with corresponding professional challenges following their training to take advantage of the investment.
	Mentoring	2.00	2	4.00		0.00		Although some coaching and counseling is provided, more is necessary and desirable to improve services. Approaches toward this end might

								include: An institutional needs assessment to identify the most urgent areas for mentoring. A systematic, guided approach to mentoring. I.e., set mentoring objectives, a schedule for mentoring, follow-up plans. Mentoring should aim at institutional, as well as personal, improvements. A strengthened performance appraisal system should include ways of identifying individuals' mentoring needs.
	Motivation	2.00	3	6.00		0.00		An objective for growth in this component is the establishment of a formal performance appraisal mechanism. This system must be in harmony with Sarvodaya culture and values.
		1.80			**0.00**			
Financial Management	Planning	3.00	4	12.00		0.00		The major problem in Sarvodaya's financial planning is the uncertainty of revenue. Currently, 60% of the organization's overhead expenses are project/donor derived. However, plans are in effect to reduce this to 0% in five years and income generating projects are already underway. Other areas of growth here might take place in: Making provisions in budgets for contingencies (an estimate thereof). Develop an organizational plan for preventive maintenance to reduce overhead costs.
	Control	2.00	4	8.00		0.00		Donor requirements have resulted in a number of different project financial reporting systems. A well-crafted MIS system, with suitable software integrating financial data with various report formats, would correct this. However, currently there is no financial monitoring line item in the Sarvodaya budget. Without funds, a MIS and qualified staff aren't possible.
	Reporting	2.00	4	8.00		0.00		No demand for reports on the project side. Financial management training for project staff would be great. As above, linking Sarvodaya's financial reports with project reports would be very helpful. Need a MIS/on-line view of project finances. Train finance staff in the electronic system, and how to present it (using laptops) to projects. Need for an accounting manual to describe the SOPs (e.g., voucher preparation), incorporating best practices from other NGOs For real progress in this key component, Sarvodaya must implement a system wherein a financial office representative participates in monitoring and evaluation oversight and is an integral part of decision making. This participation is equally necessary in costing proposals.
	Audits	4.00	3	12.00		0.00		Executive Committee appoints auditors annually.
	Separation of Accounts	4.00	2	8.00		0.00		In extreme cases, money is "borrowed" from one project to pay expenses in another. However, this only happens with the permission of the donor and when there are surplus funds. It is paid back.

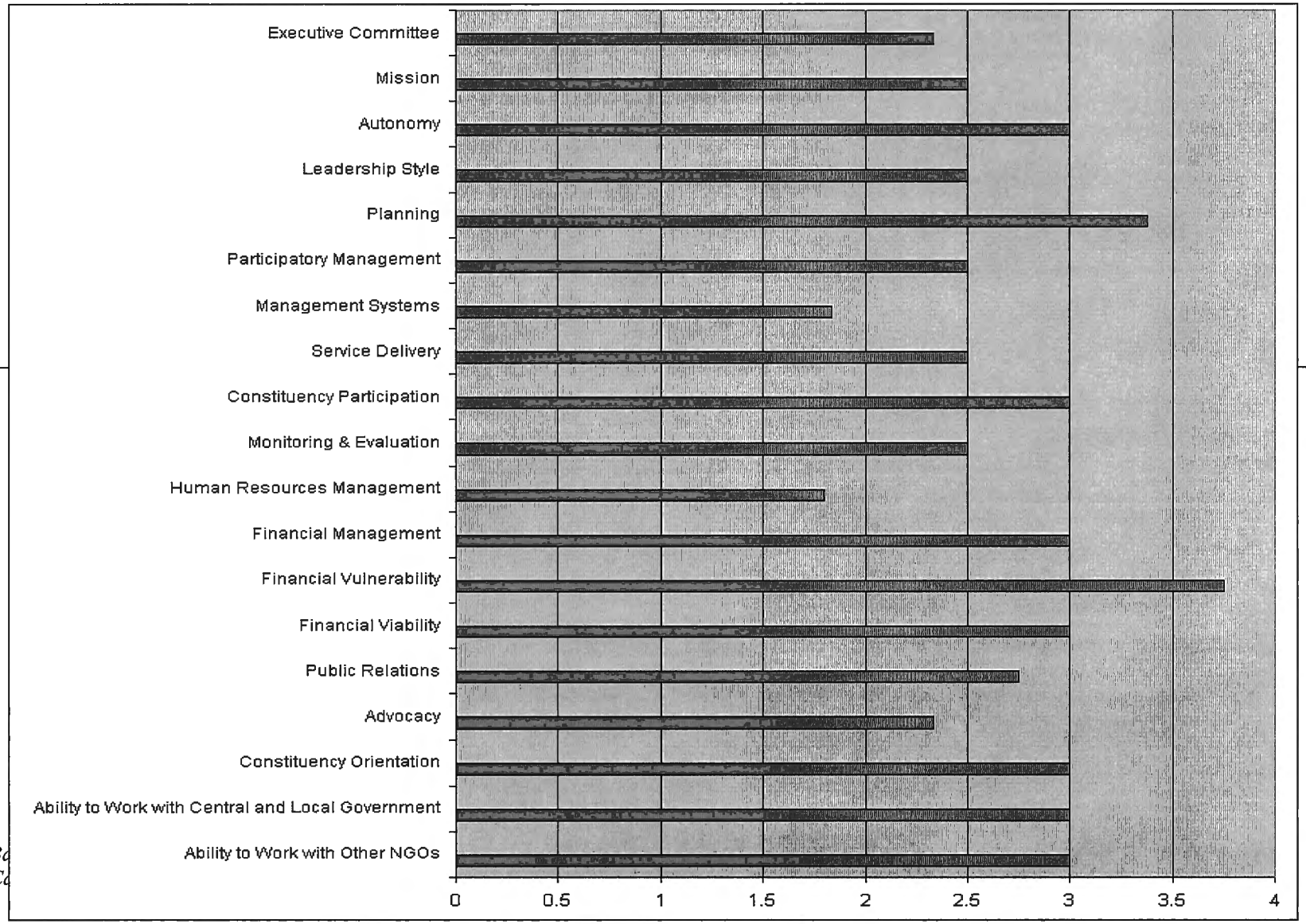
		3.00			**0.00**			
Financial Vulnerability	Funding Diversity	4.00	2	8.00		0.00		Currently, 60% of the organization's overhead expenses are project/donor derived. However, plans are in effect to reduce this to 0% in five years and income generating projects are already underway. Working capital remains a problem…need to invest to get a return, so capitol's required.
	Local Resource Mobilization	3.50	3	10.50		0.00		As immediately above.
		3.75			**0.00**			
Financial Viability	Financial Viability	3.00	3	9.00		0.00		As immediately above.
		3.00			**0.00**			
Public Relations	Public Recognition	3.00	3	9.00		0.00		Although Sarvodaya has excellent contacts with key decision-makers, there has been little known use of these contacts to generate funds. Also, more and more robust lines of communication with the general public are necessary. The objective would be to increase public recognition of Sarvodaya's mission and objectives (the public already generally recognizes the Sarvodaya "brand"). A media strategy, see below, would plan for this. It's not necessary to publicize loads of projects, rather awareness of the mission and objectives is what's needed. A multimedia, planned campaign is desirable.
	Media Strategy	2.50	3	7.50		0.00		Sarvodaya has frequent contact with media, but it is not frequent nor strategic enough. A Media Unit exists, but it is not active enough. For starters, a media strategy is required to build closer contacts with media outlets. Some outside assistance is anticipated for this objective as the skills to construct and conduct a media strategy aren't resident.
		2.75			**0.00**			
Advocacy	Strategic Approach	3.00	2	6.00		0.00		Project-by-project advocacy is common, and seen as sufficient to Sarvodaya's needs. What's missing is an on-going assessment of advocacy programs to ensure that they are aligned with Sarvodaya's mission, goals and objectives.
	Use of Research and Information	2.00	3	6.00		0.00		A more systematic approach to information development and dissemination is a growth objective. Descriptive "brochures," actually multi-media pieces useful as handouts, web pages, and so on, should be developed for Sarvodaya's program and project areas, clearly stating the organization's position on fundamental issues related to the area. In addition, a quality information database incorporated into the MIS (mentioned above) would provide real time access to the information to be disseminated.
	Mobilizing Constituents	2.00	2	4.00		0.00		The next step in Sarvodaya's evolution in this component is to transform Village Societies into effective advocates. A scintillating idea proposed is to incorporate Village Society advocacy training into

								every project initiative. Useful, too, would be a decentralized MIS database used to track Society advances in advocacy.
		2.33			**0.00**			
Constituency Orientation	Constituency Orientation	3.00	2	6.00		0.00		Constituency input is currently gained via representative participation on Sarvodaya's Executive Committee. As a future direction, increasing constituency participation is desirable, to the level of project formulation, implementation, and monitoring and evaluation.
		3.00			**0.00**			
Ability to Work with Central and Local Government	Ability to Work with Central and Local Government	3.00	2	6.00		0.00		Collaboration is frequent, but not results oriented. More meaningful interaction is desirable. Use meetings as an opportunity to get feedback on Sarvodaya's programs and projects, and share planning and implementation information. (Gradually, government will be co-opted into partnership.)
		3.00			**0.00**			
Ability to Work with Other NGOs	Ability to Work with Other NGOs	3.00	3	9.00		0.00		Sarvodaya has played a leadership role in the NGO community, but principally by example. More direct efforts to collaborate would be welcome. Not difficult, increase communication and share knowledge and experiences. An interesting feature is that Sarvodaya does make its considerable infrastructure available to other NGOs to use if they ask for it and if their objectives complement Sarvodaya's.
		3.00			**0.00**			
Total score		**113.00**	**138.00**	**357.00**	**0.00**	**0.00**		
Average Score		**2.63**	**3.21**	**8.30**	**0.00**	**0.00**		

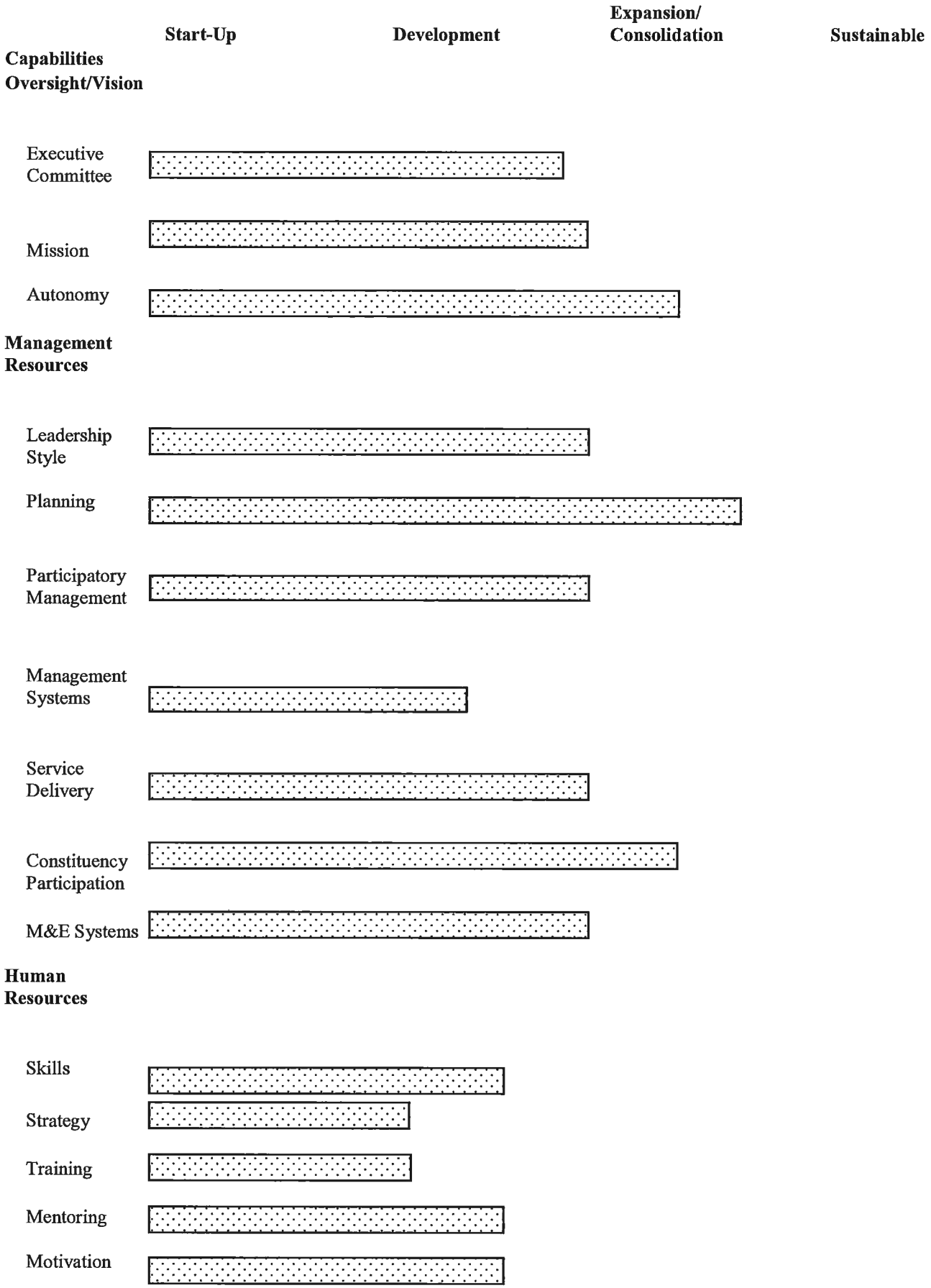
Summary of Average Placement Change, by Aspect

Executive Committee	2.33	0.00
Mission	2.50	0.00
Autonomy	3.00	0.00
Leadership Style	2.50	0.00
Planning	3.38	0.00
Participatory Management	2.50	0.00
Management Systems	1.83	0.00
Service Delivery	2.50	0.00
Constituency Participation	3.00	0.00
Monitoring & Evaluation	2.50	0.00
Human Resources Management	1.80	0.00

Financial Management	3.00	0.00
Financial Vulnerability	3.75	0.00
Financial Viability	3.00	0.00
Public Relations	2.75	0.00
Advocacy	2.33	0.00
Constituency Orientation	3.00	0.00
Ability to Work with Central and	3.00	0.00
Ability to Work with Other	3.00	0.00



Appendix C: Sarvodaya Institutional Development Profile (IDP)



Financial Resources

Financial Management

Financial Vulnerability

Financial Viability

External Resources

Public Relations

Advocacy

Constituency Orientation

Ability to Work with Central & Local Gov't

Ability to Work with other NGOs

Legend:

Baseline: as of Aug-04

Mid-Course: as of Aug-05

Post-Grant: as of Aug-06

Appendix D: Sarvodaya Institutional Improvement Plan

Sarvodaya conducted an institutional self-assessment at its offices in Jakarta from 24 – 27 August, 2004. Using the IDF Toolkit, staff from the USAID-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the attached report. Sarvodaya prioritized areas for focused improvement over the next year as follows:

1. Establish financial management and project management information systems to provide accurate information promptly to management & other required parties for decision making, monitoring, evaluation, and control.
2. Establish an effective Communication System and communication flow within and outside Sarvodaya to implement actions; to monitor, evaluate, and control project activities; to oversee all other administrative activities.
3. Establish effective administrative procedures systematically to achieve common vision, mission, goals, and objectives in line with Sarvodaya culture and values.
4. Ensure full staff participation in all activities, including decision-making.
5. Train staff to meet institutional needs.

Participants throughout the process included:

Name	Title
Siripala Uduwanage	Finance Director
A. Saman Priyashantha	Deputy Finance Director
Prasanna Samarawickrama	Project Coordinator, Social Empowerment Division
S. Kalidas	Programme Assistant, Shanthi Sena Sansadaya

Planned Improvement Activities

Objectives 1 &2:

1. Establish financial management and project management information systems to provide accurate management information promptly to management & other required parties for decision making, monitoring, evaluation, and control.
2. Establish an effective communication system and communication flow within and outside Sarvodaya to implement actions; to monitor, evaluate, and control project activities; to oversee all other administrative activities.

Activities	Resources needed	Sources	Completion date
Set up and maintain effective management information system.	• 50 computers (P-IV or above) with server and networking facility for headquarters and district centers. • Financial management & accounting software (develop in-house or purchase suitable software from developers). • Technical Assistance for networking & information system. • Provide Local Area Network (LAN) and Wider Are Network (WAN) linking all computers with headquarters & district centers.	CAP, other donors by way of grants, technical assistance.	Between September – 2004 and March 2005.

	• E-mail and Internet for headquarters and district centers. • Laptop computers for headquarters Finance Division for field monitoring, and project monitoring, and presentation of information. • Two number fax machine for Finance Division.		
Update financial and project activities online, to get information at any given time. Efficiently prepare financial reports and all other project reports; provide to the required parties. Compare actual results with budget to identify (reasons for) variance. Introduce more effective internal controls and procedures. Control financial resources and project activities.	• Financial management & project management training for finance division staff. • Prepare Accounting Manual for headquarters and district centers based on NGO best practices for financial management, accounting, and project management information system. • Provide continuous professional education to finance division, project, and administrative staff.	Capable Partners, other donors, who can provide resources by way of grants, technical assistance.	Between September – 2004 and March 2005.

Objective 3: Establish effective administrative procedures systematically to achieve common vision, mission, goals, and objectives in line with Sarvodaya culture and values.

Activities	Resources needed	Sources	Completion date
Prepare administrative procedures manual covering all administrative processes.	Technical support to prepare administrative procedure manual.	CAP, other donors by way of grants, technical assistance.	September 2004 to March 2005
Implement administrative procedures throughout the organization, including: • Provisions for continuous training of required employees. • Clearly defined and implemented accepted disciplinary procedures with administrative procedures. • Latest technology for administrative control such as employees attendance, leave and performance evaluation. • Introduce effective payroll management system covering EPF/ETF gratuity. • Conduct staff training and development. • Expand the Sarvodaya membership and work area. • Get youth actively involved. • Relationship building activities.	Recruit capable HR manager and required assistants. Provide Technical training for existing staff.	In-house.	September 2005

Objective 4: Ensure full staff participation in all activities, including decision-making.			
Activities	Resources needed	Sources	Completion date
Provide formal management education.	Funds for management education and training programs.	Donors.	Establish September 2004 to March 2005 From March 2005, continuous progress building
Provide opportunity for professional development in respective fields according to provisions for development in job descriptions. To include: • Opportunities for overseas exposure. • Skill training development workshops • Conduct continuous staff awareness programme.	Technical assistance from qualified partner organization Course modules and training requirement planning. Resource persons with the necessary expertise.	CAP	
Recruit specialists, not generalists, for specialized areas such as HR, finance, IT, audit, projects.	In house.		

Objective 5: Train staff to meet institutional needs. (Sub-objectives are given below.)			
Activities	Resources needed	Sources	Completion date
• To provide English language training to staff unable communicate in English confidently and effectively. • Select staff with insufficient knowledge in communicating in English. (Through office circular, from the division head). • Provide training to all selected staff to expose them to English (and release them for language session class).	Overall: • Training Centers with modern facilities: computers, scanners, printers, Email, Internet, and modern software. • The latest Visual Basic, Microsoft Office packages for all staff; graphic design and animation software for IT Unit; the latest accounting software for those handling general accountancy.	Possible partner agency/donor agencies which would possibly and voluntary support in granting of the professional advancement and technical assistance to the development of the staffs.	English language for career guidance and professional advancement – by the end of December 2005.
• To enhance the capacity of providing Computer Training for office staffs. • Select and directly refer computer staff to external intuitions / proposed training institutions, to gain computer knowledge and improve the status of capacity building. • To provide technical assistance and expert knowledge to the IT staff who work in networking (as well as provide the innovative software).	• To provide laptop/notebooks and PCs for each unit to upgrade and facilitate system improvements and to implement follow up training/skills to carry out office activities productively and effectively.		Computer training – by the end of December 2005.
To provide training in Project Management.			Project Management – by the end of June 2005

• To provide training and upgrade the skills of Human Resources management. • To design the requirements for training and direct HR staff to suitable institutions.			Training on human resources management –by the end of June 2006.
• To provide adequate facilities and opportunities for further studies (Masters) in Personnel Management, Management Studies, Information technology, Financial Management, Bio-diversity, Environmental Studies, Sociology, Counseling, Community Health Science, Child Studies, Natural Disaster Management, and Project Management. • To provide staff overseas training to share knowledge of experience about the international community.	Such professional courses are focusing on the specializations of the Sarvodaya programme (e.g.: Early Childhood Development, Social Empowerment Division, Information Technology Unit, Community Health Unit, Natural Disaster Management Unit, Sarvodaya Legal Division). Appropriate programs may include Master Degree programs at University of Colombo, University of Sri Jayawardenapura, Institute of Personnel Management, University of Peradeniya, National Institute of Business Management, and the Postgraduate Institute of Management.		On going.

CAPABLE PARTNERS PROGRAM (CAP)

African Organization for Relief and Development

Institutional Self-Assessment and Improvement Process

CAP is implemented by

AED
Academy for Educational Development

in partnership with

MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

August 2004

Report on African Organization for Relief and Development Institutional Self-Assessment and Improvement Process

August 2004

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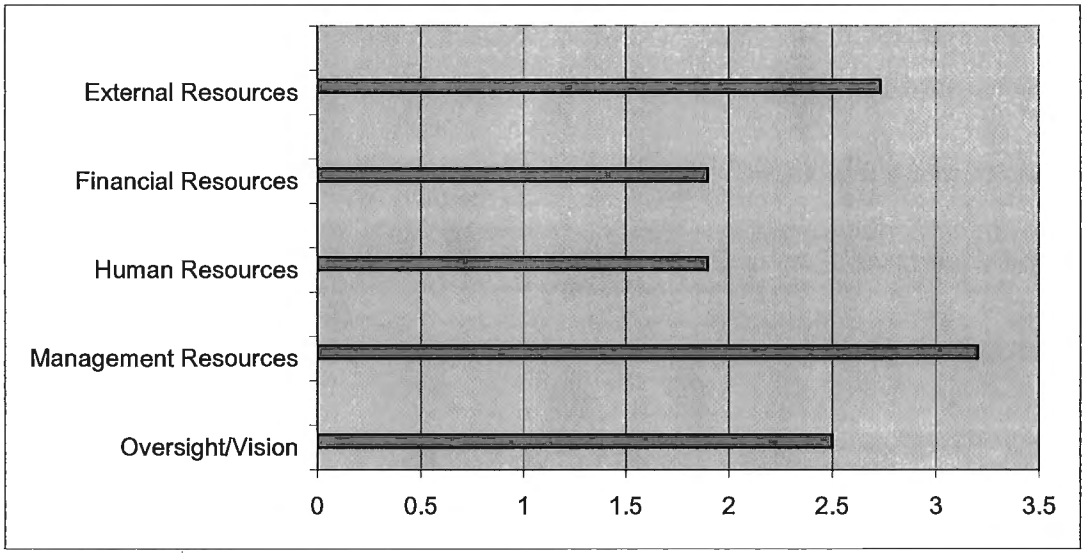
Summary, Findings, and Conclusions

African Organization for Relief and Development (AORD) is a two-year-old NGO engaged in community-based development activities in Lanya County, Southern Sudan. It has a one-person liaison office in Nairobi and a compound in Lanya to support its work. AORD's chief asset, currently, is its strong emphasis on community participation, transparency with its constituents, and ability to manipulate external resources. It seems competent to manage modest amounts of funding for considerable local impact, consistent with its mission, but would likely require additional strengthening to scale up.

AORD is relatively advanced for such a young organization, reflecting the commitment of its staff to achieving results with any available resources. It seems capable of playing a larger role – if funding were made available to it – and appears willing to invest the effort needed to link funding opportunities with community needs. It is just emerging from the "developing" stage and – if it is able to consolidate its systems somewhat – will be able to expand for considerable impact. Readers should note that the data and conclusions in this report are the result of a self-assessment process. No significant efforts were made to independently verify the assessment, although results appeared internally consistent to the facilitators.

AORD has identified three immediate organizational improvement areas: development of a financial and administrative manual, development of a three-to-five year strategic plan, and strengthening its board of directors.

Figure 1: AORD Institutional Development Profile, Summary by Resource Area



Background

A team from the USAID-funded Capable Partners Program (CAP) visited Nairobi, Kenya, in July/August 2004 with the following objectives with respect to Southern Sudan:

1. Facilitate a participatory institutional self-assessment of the New Sudanese Indigenous NGO Network (NESI-Net);
2. Train staff and members of NESI-Net in the basic assessment methodology so that they would be able to perform similar assessments on behalf of NESI-Net members;
3. Facilitate an institutional self-assessment of NESI-Net member, African Organization for Relief and Development (AORD); and
4. Help NESI-Net and AORD articulate institutional improvement plans.

All objectives were achieved. The balance of this report will discuss the results of the AORD assessment as facilitated by the facilitator/trainees.

AORD was established in 2002, with a highly committed volunteer staff. It has since been able to attract funding from three donors, establish a community-donated compound for its work in Lanya, and grow to a staff of six in the field and Nairobi at the time of this report. Activities are chiefly in the agricultural sector, although the organization is exploring alternative sectors to meet the needs of the community.

CAP was introduced to AORD when USAID/Sudan nominated its executive director, John Kwaje (in his capacity as chairman of the board of NESI-Net), to participate in CAP's advocacy training in Accra, Ghana, at the beginning of 2004. Training of John Kwaje and staff member Ann Bindiku Albert in advocacy was complemented through CAP's institutional strengthening support.[1] Funding for organizational development assistance was slated for NESI-Net only, but CAP is trying to leverage that assistance to provide limited support to AORD as well.

This document reports on the institutional assessment of AORD, leading to an institutional improvement plan for AORD to address areas that the assessment indicated required urgent attention. AORD will then present this plan to CAP and to other donors to support its implementation.

Process

The participants in the process (six male; one female) included four staff and four board members (one individual serves as both a staff and board member),[2] as follows:

Name	Title
John Kwaje	Executive Director
John William Louwe	Field Manager
Deng Deng Akuei	Program Advisor
Nicholas Oliver Lukudu	Board Member
Thomas Yatta Taban	Board Member
Suzan C. Lasu	Board Member
Raphael Midega	Accountant and Board Member

[1] USAID/Sudan and CAP share funding for NESI-Net's participation.

[2] AORD noted the possible conflict of interest of having its accountant serve on the board and will reconsider it as it reviews its board of directors structure in the course of implementing its institutional improvement plan.

The session began July 27-28 with informal meetings of the visitors from CAP and the executive director and accountant at AORD's Nairobi office to gain an understanding of AORD's goals, operations, challenges and opportunities. The first formal work on installing the Institutional Development Framework (IDF) with AORD began on August 5 with an overview of the process, followed by a participatory process to assess AORD's capacity, using the IDF. The group began with a template that had been adapted to fit the likely requirements of an NGO in Sudan (adapted with member participation). AORD, with facilitation assistance from the facilitator/trainees, reviewed each "row" of the IDF, modified it to suit their circumstances and vision for the future, and assessed their own progress on the development continuum expressed in the text. This process was completed by the end of the first day and the resulting IDF Matrix is included as *Appendix A.* The facilitator/trainees recorded the scores for each row and all necessary comments in the Institutional Development Calculation Sheet (IDCS, *Appendix B).* The results were presented graphically on the second day, 4 August [*Appendix C: AORD Institutional Development Profile (IDP*).

With the assessment process behind them, the group turned its attention to determining priority areas for improvement. This was accomplished through a facilitated process whereby the group ranked the various rows of the institutional capacity matrix discussed in the IDF according to priority, with four gradations ranging from "Crucial to our survival" to "Not significant at this time." (Results of the weighting are presented in the IDCS) The group then selected among the highest-priority items those for which AORD analysis indicated the organization was weakest.

Having brainstormed areas in urgent need of attention, AORD identified immediate activities to be undertaken to launch itself on a sustainable track. Those are summarized in *Appendix D: AORD Institutional Improvement Plan.*

Assessment Results

Given that it has not been able to attract significant funds for basic organizational development, AORD scored surprisingly well for a very young organization. The average score—taking into account all organizational components included in the IDF— was 2.5. This is slightly more advanced than one might expect. It reflects a fundamental competence that could be strengthened with attention to bolstering AORD's systems, consistent with the "Expanding/Consolidating" progress column in the IDF. It is time for AORD to deepen its work and, while doing so, to consolidate its systems to ensure quality service provision and continued community ownership.

AORD is clearly focused on creating a community development program that meets community needs. AORD reports that the community demonstrates a very high level of ownership of its program and that AORD enjoys local trust in implementation. This is a very valuable and hard-won asset. The value of its participatory approaches is reflected in its relatively high score in Management Resources. (Please see relative progress in broad organizational areas, as summarized in Figure 1 above; a more detailed picture may be viewed in *Appendix C: Institutional Development Profile*)

Activities undertaken to date have been those for which donor funding and local contributions were available. AORD has not yet had the "luxury" of being as strategic in its interventions—or systematic in its management systems—as it would like in order to maximize its effectiveness. Thus, while management scored relatively high—as a result of its high degree of participation—greater systemization is needed for AORD to scale up.

AORD's financial systems are adequate for its current level and type of activities. However, it must become more systematic in its financial and administrative systems if it wants to scale up. Similarly, its management systems could benefit from improvement. Staff skills are reasonably well aligned with AORD's scope of activities. However, funding has not yet been available for upgrading staff capacity, as reflected in the relatively low score for human resources.

Improvement Plan

The Institutional Improvement Plan (*Appendix D)* outlines activities AORD decided should be undertaken in the short term for long-term impact on organizational sustainability. The group wanted to restrict itself to two to three items, considering it more likely that adequate attention would be applied on a limited number of activities.[3] The following priorities emerged:

1. Develop financial and administrative procedures manual;
2. Produce three-to-five year strategic plan; and
3. Develop the board so that it is more active.

These items are related to one another and are consistent with the need to develop more stable systems and a longer-term vision for the future. Development of the overall strategy will help guide AORD in restructuring its board to achieve maximum impact. Consistent and sound financial and administrative procedures will make AORD more attractive to donors and increase the likelihood of success.

Next Steps

AORD concurs with the findings of this report. It must next submit a proposal to CAP to provide technical assistance to support implementation of its institutional improvement plan and seek supplemental funding from other donors to ensure its success. One year from now, AORD will re-apply the IDF Toolkit to itself to track its progress as a result of the improvement process. Those results will be reported to CAP.

[3] The improvement plan also contains an additional item—assistance to improve access to information on the Internet—that did not emerge directly from the process but which is a service that CAP can provide to AORD.

Appendix A: AORD Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
OVERSIGHT/VISION					
Aspect **Board**	**Component** Board's Role	Roles of board members and the relationship of board members to the executive director are unclear.	Board members understand their role and how to relate to executive director. But interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with executive director and board members formulate policies and strategic plan for development.	Board members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum on board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by board.	Significant resources raised by board. Most members of board are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development.	Board members' skills do not match with growing needs of organization.	Board's skills match needs of the developing organization.	Board members are catlysts for long-term development of organization.
Mission		No missions. Group coalesces around general objectives such as a commitment to environment, health or development.	Mission statement exists but is not clear. Diverse portfolio of projects and proposals is not consistent with mission statement.	Mission statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the mission statement, and people outside organization may not identify it with the organization.	Clear mission statement. It can be articulated by board and staff and is consistent with portfolio. Outsiders identify the same mission with the organization.

Management Resources

Aspect	Component				
Leadership Style	Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two board members.	Vision increasingly comes from board as board members improve involvement.	Virtually all board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational drive, in addition to executive director.	Staff increasingly provide vital drive to organization. Staff and executive director increasingly work as a team	Organization would survive without current executive director or chairperson of the board.
Planning	Mission/ Overview	Planning is predominately ad hoc and incremental.	Annual plans are developed and reviewed during course of year, often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around mission.	Based on mission statement, strategic plan development and annual plans continue as operative instruments with regular review of long-term plans.
	Participation	Planning is top-down in orientation, executive director and board driven.	The participation of staff in planning is widened with contributions to decision-making.	Constituents provide information for planning and are included in decision-making.	Constituents and staff contribute to planning decisions along with exec. dir./board.
	Resource Implications	Objectives set without assessment of resource requirements or consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources and consideration of important external factors. Organization reviews plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce work plans.	Work plans are drafted but seldom used by management and operations staff.	Work plans are used by management and operations staff but not viewed as dynamic instruments to be modified, as warranted.	Work plans are viewed by management and operations staff as useful tools and are modified as required.

Participatory Management	Appropriate Delegation	Decisions handed down to organization from executive director and chairperson with little or no feedback.	Most management decisions taken by executive director and board. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity managers, as appropriate.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from executive director without clear decision criteria and little or no feedback.	Management decision criteria used by executive director are generally shared with board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.

	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.
	Communication Flow	Intrastaff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Communications are open and interhierarchical. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some—but not all necessary—personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees, and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized or, if formalized, not followed.	Administrative procedures increasingly formalized and followed, but no operating manual exists.	Internal administrative manual in place as a document in a file but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Service Delivery		Service delivery to community is supply driven, often responding to the specifications of donors.	Type, quantity and quality of services delivered to community are at the initiative of the organization. Little monitoring of service quality is undertaken. Community input into product design or quality review is *ad hoc*, if at all.	Organization makes consistent effort to obtain community input into determining the appropriate type, quantity and quality of services. Community attitudes and perceptions are assessed—at least on an annual basis—to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to community. Services are tailored in response to articulated community preferences, and quality is continually monitored through community feedback. Service delivery improvements are made based on this data.

Constituency Participation	Organization involves its constituency (ies) only as recipients of the organization's program.	Organization draws on its constituency (ies) leaders for advice and mobilization of constituencies.	Organization draws on its constituncy(ies) leaders in planning, implementation and *ad hoc* evaluation events.	Constituency (ies) participates fully in planning, implementation, and evaluation. Constituency (ies) contributing material, labor and management to create and maintain project results.

Monitoring and Evaluation	Integration into Decision Making	No formal monitoring and evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional monitoring or evaluations are undertaken— usually at request of donor—and implemented by outsiders.	Monitoring and informal evaluations are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function. Formal evaluations have not yet been undertaken.	Ongoing M&E system functioning and data analysis are integrated into decision-making.
	Constituency Feedback	No feedback from constituency (ies).	Informal channels for constituency (ies) feedback.	Formal mechanisms exist for constituency (ies) feedback but only via surveys and evaluations. Women and marginalized groups not included.	Continuous feedback and input from constituency (ies) where women and marginalized groups are clearly involved.

Human Resources

Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence and may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is *ad hoc* and based on emerging opportunities.	General direction provided for staff development, but it is short term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with organizational mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training	Little or no training provided.	Training is significant but is *ad hoc* in nature.	Training is generally consistent with plan but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little or no coaching or counselling provided.	Some coaching and counselling provided.	Staff receive adequate teaching, counselling, coaching and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.

FINANCIAL RESOURCES					
Aspects **Financial Management**	**Components** Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	Organization maintains a multiyear "master" organizational budget but still does not manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clear and complete. Reports are project specific, usually submitted on timely basis to donors, and are used internally.	Financial reports remain clear and complete even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently but aperiodically.	External audits are performed with a regular and appropriate frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.

Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more is from one source.	No single source provides more than 60% of funding.	No single source provides more than 40% of funding.
	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessful.	Local resource mobilization pursued on an *ad hoc* basis.	Local resource mobilization strategy is operational	Local resource mobilization strategy is operational. X % of annual expenditures generated from local resources.
Financial Viability		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is available to cover project activities and basic infrastructure (such as vehicles, salaries and buildings) consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
External Resources					
Aspect **Public Relations**	**Component** Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision-makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy-makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency and commands respect outside that constituency.
	Media Strategy	Organization makes little use of media. No established mechanisms for communication, as there are no media in local area.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists, and attempts are made—through social marketing and other means—to both make the organization known and to foster a broader public awareness in support of the mission.

Advocacy	Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans—which take into account political space, stakeholder interests and constituency power/interests—are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions which include ongoing re-assessment of its advocacy, mission and goals, and which incorporate understanding of relevant stakeholder, power and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents and is aware of the impact or reception of such information. At this point number of advocacy issues is limited to one.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Organization has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials on advocacy issues. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns.	Organization contacts one or more constituencies in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages all appropriate constituencies in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituencies for advocacy campaigns and is responsive to their advocacy priorities.	Organization has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the organization.
Constituency Orientation		Organization operates in centralized manner with little connection to consituency.	Organization serves constituency based on perceptions/assessment but without active constituency involvement.	Constituency input sought for key decisions. Organization and its efforts viewed by constituency as service provided to constituency.	Constituency integrated into organization's policies and practices.
Ability to work with central and local government		Viewed as "we"/"they. "Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly but still not as equal partners.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as more equal partners.

Ability to work with other NGOs	Organization does not have experience working with international or other local NGOs. Organization not known or trusted by other NGOs.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements only.	Organization works with international or local NGOs and participates in NGO networks and coalitions. Networks and coalitions are based on constituency needs.	Organization plays leadership role in promoting NGO coalitions based on constituencies' interests. Capable of helping to resolve NGO-NGO or NGO- Gov't. conflict and of affecting policy on behalf of constituency

Appendix B: AORD Institutional Development Calculation Sheet (IDCS)

		August 2004			Second Application (TBD)			
Resource Aspect	**Key Components**	Raw Score	Weight	Adj. Score	Raw Score	Adj. Score	Change Over Time	**Comments**
Board	Board's Role	1.00	4.00	4.00		0.00	-4	
	Active Board	2.00	4.00	8.00		0.00	-8	
	Members Advance Org.	3.00	2.00	6.00		0.00	-6	
		2.00			**0.00**			
Mission		2.50	2.50	6.25		0.00	-6	
		2.50			**0.00**			
Autonomy	Autonomy	3.00	3.50	10.50		0.00	-11	
		3.00			**0.00**			
Leadership Style	Board	3.00	3.00	9.00		0.00	-9	
	Staff Teamwork	3.00	1.00	3.00		0.00	-3	
		3.00			**0.00**			
Planning	Mission/Overview	2.00	4.00	8.00		0.00	-8	
	Participation	4.00	2.00	8.00		0.00	-8	
	Resource Implications	3.00	2.75	8.25		0.00	-8	
	Work Plan as Tool	4.00	3.50	14.00		0.00	-14	
		3.25			**0.00**			
Participatory Management	Appropriate Delegation	3.00	1.00	3.00		0.00	-3	
	Transparent Decision-making	4.00	2.00	8.00		0.00	-8	
	Staff Participation	3.00	2.00	6.00		0.00	-6	
	Communication Flow	3.00	1.90	5.70		0.00	-6	
		3.25			**0.00**		-23	
Management Systems	Personnel Systems	2.00	4.00	8.00		0.00	-8	
	File Systems	4.00	2.00	8.00		0.00	-8	
	Administrative Procedures	2.00	4.00	8.00		0.00	-8	
		2.67			**0.00**		-24	
Service Delivery	Service Delivery	4.00	1.50	6.00		0.00	-6	
		4.00			0.00			

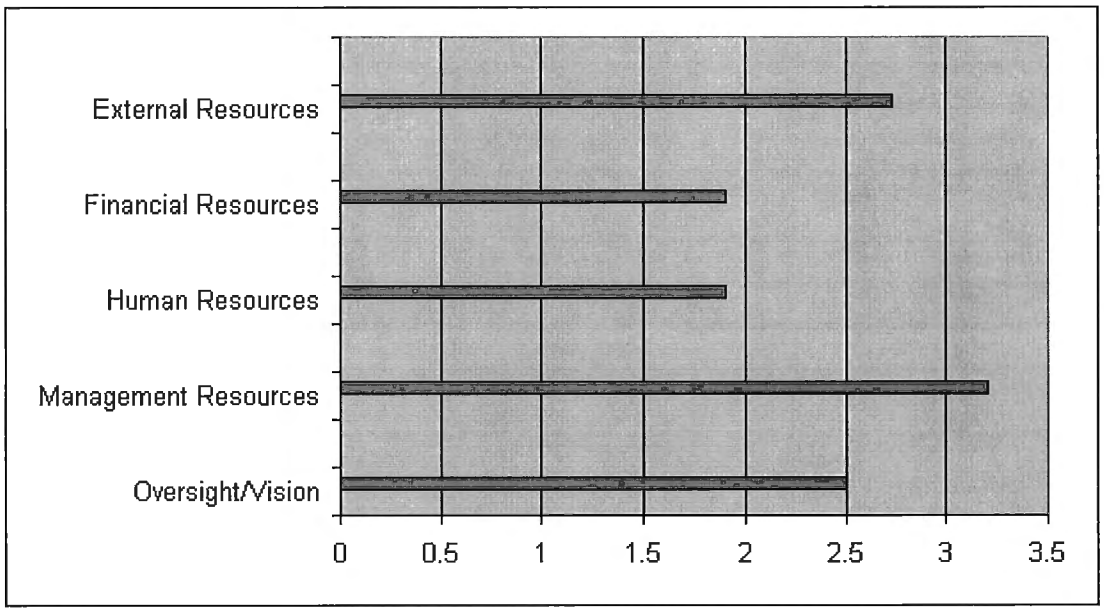
Constituent Participation	Constituent Participation	3.75	1.00	3.75		0.00	-4	
		3.75			0.00			
M&E Systems	Integration into Decisions	3.00	3.50	10.50		0.00	-11	
	Constituency Feedback	2.00	2.00	4.00		0.00	-4	
		2.50			**0.00**		-15	
Human Resources	Skills	2.50	3.00	7.50		0.00	-8	
	Strategy	1.00	4.00	4.00		0.00	-4	
	Training	2.00	3.50	7.00		0.00	-7	
	Mentoring	2.00	2.00	4.00		0.00	-4	
	Motivation	2.00	2.50	5.00		0.00	-5	
		1.90			**0.00**		-28	
Financial Management	Planning	2.00	4.00	8.00		0.00	-8	
	Control	2.00	3.00	6.00		0.00	-6	
	Reporting	2.00	3.00	6.00		0.00	-6	
	Audits	1.00	3.00	3.00		0.00	-3	
	Separation of Accounts	4.00	3.00	12.00		0.00	-12	
		2.20			**0.00**		-35	
Financial Vulnerability	Funding Diversity	3.00	4.00	12.00		0.00	-12	
	Local Resource Mobilization	2.00	2.00	4.00		0.00	-4	
		2.50			**0.00**		-16	
Financial Viability	Financial viability	1.00	4.00	4.00		0.00	-4	
		1.00			**0.00**			
Public Relations	Public Recognition	4.00	3.00	12.00		0.00	-12	
	Media Strategy	1.00	3.00	3.00		0.00	-3	
		2.50			**0.00**			

Advocacy	Strategic Approach	2.00	3.00	6.00		0.00	-6	
	Use of Research/Info	1.00	1.00	1.00		0.00	-1	
	Mobilizing Constituents	2.00	2.50	5.00		0.00	-5	
		1.67			**0.00**			
Constituency Orientation	Constituency Orientation	3.00	2.00	6.00		0.00	-6	
		3.00			**0.00**			
Ability to work with central and local gov't.	Ability to work with central and local gov't.	3.00	2.00	6.00		0.00	-6	
		3.00			**0.00**			
Ability to work with		3.50	3.00	10.50		0.00	-11	

other NGOs								
		3.50			**0.00**			
Total Placement		**110.25**		**287.95**	**0.00**	**0.00**	**-287.95**	
Average Placement		2.564			0		-7	

Summary of Average Placement Change, by Resource

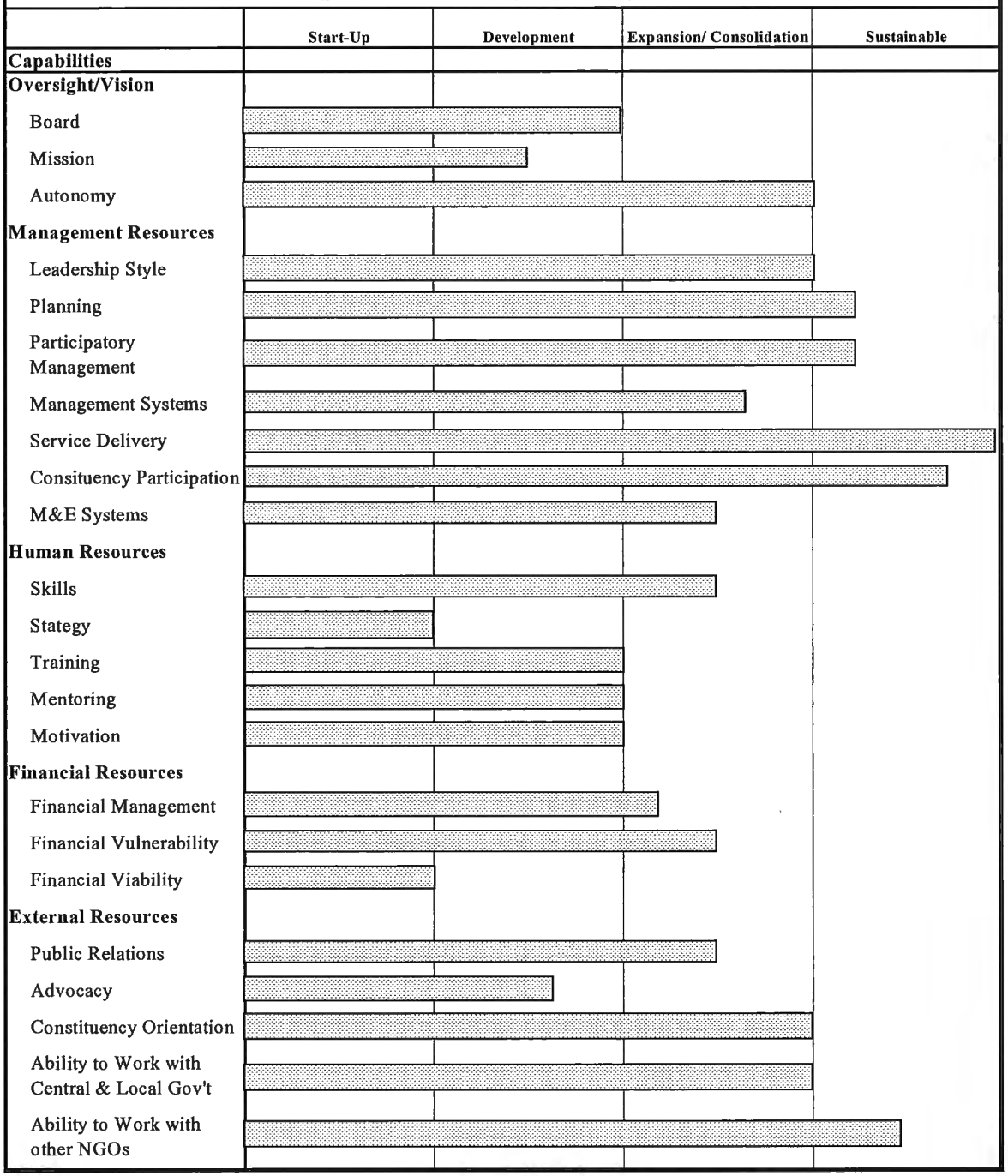
Oversight/Vision	2.50	0.00
Management Resources	3.20	0.00
Human Resources	1.90	0.00
Financial Resources	1.90	0.00
External Resources	2.73	0.00



Appendix C: AORD Institutional Development Profile (IDP)

African Organization for Relief and Development: AORD

Institutional Develoment Profile



Legend:

Baseline: as of Apr-00

Mid-Course: as of Apr-01

Post-Grant: as of Apr-02

Appendix D: AORD Institutional Improvement Plan

AORD conducted an institutional self-assessment at Galexon Hotel in Nairobi, Kenya, from 5 – 6 August, 2004. Using the IDF toolkit, staff facilitator-trainees from NESI-Net member NGOs, support from CAP staff, facilitated the process. The assessment results are summarized in the attached report. AORD analyzed the results to prioritize areas for focused improvement over the next year, as follows:

1. Develop financial and administrative procedures (F&A) manual;
2. Produce three-to-five year strategic plan; and
3. Develop the board so that it is more active.

As indicated in the report, AORD hopes to deepen its strategic approach and systematize its management systems in order to build on its success during the brief two years of its operations. Having an F&A manual will help AORD standardize its management procedures in a way that will both improve its effectiveness and improve eligibility for funding. For its first two years, AORD has been focused on near-term efforts to obtain donor funding and to execute its program in Lanya County. Now that AORD has an active portfolio, it is time to think more purposefully in developing a strategic plan. With greater clarity in its medium- and long-term strategy, AORD will re-examine its board structure and develop a plan for energizing its board members for the future.

Participants throughout the improvement plan development process included:

Name	Title
John Kwaje	Executive Director
/illiam Louwe	Field Manager
Deng Deng Akuei	Program Advisor
Nicholas Oliver Lukudu	Board Member
Thomas Yatta Taban	Board Member
Suzan C. Lasu	Board Member
Raphael Midega	Accountant and Board Member

Planned Improvement Activities

Objective 1: Develop financial and administrative procedures manual		
Activities	Resources needed	Sources
Adapt to suit AORD the F&A manual template produced by NESI	Consultant	CAP
Build on the CAP-funded technical assistance to be provided NESI-Net. Use AORD as a model for developing F&A manuals for NESI-Net members.	Consultant	CAP

Objective 2: Produce three-to-five year strategic plan		
Activities	Resources needed	Sources
Strategic planning sessions resulting in production of strategic plan	Consultant	CAP
Draft a strategic plan	Consultant	CAP
Align strategic plan with work plans and funding strategies	Consultant	CAP

Objective 3: Develop the board so that it is more active		
Activities	Resources needed	Sources
Train AORD staff and board in the typical roles and responsibilities of a board	Consultant	CAP
Develop a strategy for AORD to improve the effectiveness of its board	Consultant	CAP
Restructure board according to strategy	AORD labor	AORD
Arrange for a sitting allowance and generally increase incentives for board members to be more active	Put in budgets with projects	TBD

A fourth area that emerged in discussion (but not from the prioritization process) as a service that CAP could provide was assistance in communication via the Internet. CAP will work through NESI-Net to assist AORD to establish a Web site. The site will have a simple interface that will permit AORD to include information vital for reaching the outside world on a public access site.

CAPABLE PARTNERS PROGRAM (CAP)

New Sudanese Indigenous NGO Network

Institutional Self-Assessment and Improvement Process

August 2004

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

Report on New Sudanese Indigenous NGO Network Institutional Self-Assessment and Improvement Process

August 2004

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Summary, Findings, and Conclusions

New Sudanase Indigenous NGO Network (NESI-Net) is fundamentally strong, competently executing its current operations. It can immediately and effectively utilize limited amounts of donor assistance for targeted activities, provided they do not require too great a "stretch".[1]

More importantly, however, with the establishment of a New Sudan, NESI-Net clearly is extraordinarily well-placed to serve as a focal point for energizing and enabling civil society's emergence. Staff and Board participation are relatively high, productive, and focused, given the limited scope of its current activities. The Network appears to be perceived positively in the Southern Sudanese community, as witnessed by the rapid growth in its membership over the past year and its emerging ability to collaborate with the SPLM. Basic financial, human resource, and management systems are sound but need to become more systematized for NESI-Net to play the bigger role of which it is capable.

With intensive (and diminishing over time) external assistance and mentoring, NESI-Net could rapidly become capable of spearheading institutional improvement for the NGO sector, helping aggregate NGO interests in dialogue with New Sudan's government, establishing political space for civil society, catalyzing NGO contributions to government/NGO service provision, and managing related re-granting of donor funds to support field service provision by indigenous NGOs. NESI-Net could thereby serve as a practical "anchor" for "Sudanization."

The Capable Partners Program (CAP) has agreed to support three immediate improvements prioritized by NESI-Net in support of priority systems: developing a financial and administrative manual, creating a human resources development strategy, and diversifying funding. Each of these efforts will focus on the NESI secretariat, while generating parallel products urgently needed by members. They will improve NESI-Net's effectiveness in its current operations and lay the groundwork for a potentially more ambitious role.

Facilitators trained during the visit are competent to apply the Institutional Development Framework (IDF) to NESI-Net members, provided that they serve in teams of two and that they apply the toolkit within the next two months. Otherwise refresher training may be required.

Readers should note that the data and conclusions reported here resulted from a self-assessment. No significant efforts were made independently to verify the assessment, although results appeared internally consistent to the facilitators.

Background

A team from the USAID-funded CAP visited Nairobi, Kenya, in July/August 2004 with the following objectives with respect to Southern Sudan:

1. Facilitate a participatory institutional self-assessment of NESI-Net.
2. Train staff and members of NESI-Net in the basic assessment methodology so they would be able to perform similar assessments on behalf of NESI-Net members.

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[1] It should be noted that NESI-Net has made very impressive progress over the past year. Thus, while high rankings predominate throughout this assessment, the status may be considered fragile until the improvements are fully integrated.

3. Perform an institutional assessment of NESI-Net member, African Organization for Relief and Development (AORD).
4. Help NESI-Net and AORD articulate requests to CAP for limited technical assistance to support their respective immediate self-improvement plans.

All objectives were achieved. The balance of this report will discuss the results of the NESI-Net assessment and training activities.

> *NESI-Network is an indigenous civilian body working full time in South/New Sudan. It safeguards the rights of civilians by performing a watchdog role. The Network's vision is to enhance the dignity of South/New Sudan people. To achieve this, the Network is putting tremendous efforts towards the realization of a strong and effective civil society. Since civil society is an emerging new phenomenon in South/New Sudan, the Network has a holistic approach aimed at achieving maximum benefits for the constituents.*[2]

NESI-Net was established in 2000, with 6 founding members. It has grown to 42 members as of this report, with 8 more membership applications under review. Growth has been particularly rapid in the past couple of years; with membership increasing from 34; the addition of six staff; and moving to a new, well-equipped office. It is now developing its strategy for supporting its membership as peace arrives and development begins in earnest. Elements are likely to include:

- Providing institutional strengthening support to its members, particularly seeking to get them to where they would be capable of accepting donor funds directly.
- In the meantime, serving as a re-granting mechanism to provide funding to its members (and others) to meet emerging development challenges.
- Providing institutional strengthening support to members.
- Serving as a mechanism to articulate NGO interests to the government as it works with government to develop the New Sudan, and retaining its important advocacy and peace-monitoring function.

CAP was introduced to NESI-Net when USAID/Sudan nominated the organization to participate in CAP's advocacy training in Accra, Ghana, at the beginning of 2004. Training in advocacy of NESI-Net's chairman of the board of directors, John Kwaje, and staff member Ann Bindiku Albert, is complemented through CAP's institutional strengthening support.[3] This document reports on the first stage of that assistance: a participatory self-assessment of NESI-Net, leading to an institutional improvement plan for NESI-Net to address areas that the assessment indicated required urgent attention. NESI-Net will then present this plan to CAP, to its members, and to other donors for funding and ensure that it is implemented.

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[2] From the NESI-Network informational brochure.

[3] USAID/Sudan and the CAP program share funding for NESI-Net's participation.

Process

The process began 27 – 28 July with informal meetings among the facilitators, the coordinator, selected staff, and the Board's chairman to gain an understanding of NESI-Net, its goals, operations, challenges, and opportunities. Facilitators also met individually with four Board members (who are also NGO members of the network.)

The participants in the process (5 male, 4 female) included all staff and three board members:

Name	Title
John Kwaje	Board Chairman (Executive Director, African Organization for Relief and Development – AORD)
Wenceslas Emongor	Board Member (Hope Agency for Relief and Development – HARD)
William Oyet Omoro	Board Member (Imotong Ranges Agency for Development – IRAD)
Suzanne Jambo	Coordinator
Ann Bindiku Albert	NESI, Gender Advisor
Josephat Muiruri	NESI, Deputy Coordinator
Jason Muchiri Nyaga	NESI, Accountant
Judith Mugeha Lanogwa	NESI, Secretary
Celstine Achieng Otieno	NESI, Receptionist

The first formal work of IDF installation began on 2 August with an overview. The group then used the template designed for an NGO network and, with facilitation from the CAP team, reviewed each IDF "row", modified it to suit their circumstances and vision for the future, and assessed their progress on the development continuum. This process was completed by the end of the second half-day session on 3 August and the resulting IDF Matrix is included as *Appendix A*. The facilitators recorded the scores for each row and all necessary comments in an Institutional Development Calculation Sheet (IDCS – *Appendix B*) and presented the results graphically [(*Appendix C: NESI-Net Institutional Development Profile (IDP)*] on the final half-day, 4 August.

With the assessment process behind them, the group turned its attention to determining priority areas for improvement. This was accomplished through a facilitated process whereby the group ranked according to priority the various rows of the institutional capacity matrix discussed in the IDF, with four gradations ranging from "Crucial to our Survival" to "Not significant at this time." (Results of the weighting are presented in the IDCS). The group then selected among the highest-priority items those for which NESI-Net analysis indicated the organization was weakest. The following priorities emerged as areas of focus for institutional strengthening for NESI-Net:

1. Develop a financial and administrative procedures manual for NESI-Net, with a template for members.
2. Create a staff development strategy.
3. Diversify funding.

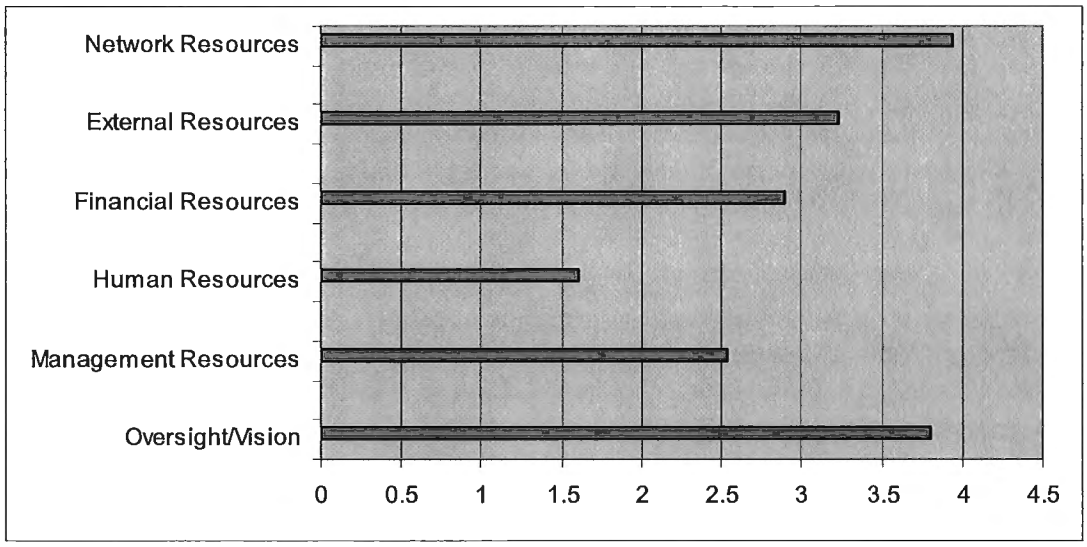
Having brainstormed areas in urgent need of attention, NESI-Net turned its attention to identifying immediate activities to be undertaken to launch itself on a sustainable track. Those are summarized in *Appendix D: NESI-Net Institutional Improvement Plan.*

Assessment Results

What is striking about NESI-Net is the high degree of its development as an effective network in a region of Sudan that is otherwise lacking in institutions with which to work. It is able to mobilize diverse energies, enjoys a high degree of engagement of its members, displays strong governance and a rational structure, and is able to manipulate external resources to its advantage. This is particularly impressive for an organization representing an area as traumatized as Southern Sudan. (Please see relative progress in broad organizational areas, as summarized in Figure 1 below; a more detailed picture may be viewed in *Appendix C*).

NESI-Net's financial resources are uniformly solid, given its current level and type of activities. However, it must become more systematic in its financial systems if it wants to expand its role as described elsewhere in this report. Similarly, its administration and management systems were considered to be sound, given its current mandate and scale. Management practices would need to become more systematic as it scales up its activities.

Figure 1: NESI-Net Institutional Development Profile, Summary by Resource Area



The only area that appeared in need of urgent attention—considering both its current and future projected roles—is human resource management. NESI-Net management is still in the process of integrating its six new staff members. After functioning for three years as a "one person shop" (with very active participation of many members), management appears to need to empower its new staff to take more of a leadership role as they prove themselves and become more productive members of the team. Likewise, staff development needs to be more strategic.

A number of factors appear to contribute to this impressive outcome:

- Extremely high commitment from its founding members and coordinator;
- Consistent, effective and empowering assistance from a dedicated donor (NOVIB, from Holland);
- The peculiar situation where NESI-Net is able to work effectively in the technologically- and politically-supportive environment of Nairobi, with liaison offices for all members;
- Ready access of NESI-Net and its members to training/workshops held in Nairobi, the availability of local consultants and time to devote to its own development; and
- A seemingly relentless commitment to transparency and participation at all levels.

Improvement Plan

The Improvement Plan (*Appendix D)* outlines activities NESI-Net decided could be undertaken in the short term, with long-term impact on organizational sustainability. We concentrated on only two to three items, considering it more likely that adequate attention would be applied on a limited number of activities.[4]

NESI-Net is presented with an immediate challenge and an impending one. NESI-Net has grown remarkably in the past couple of years: increasing from 34 to 42 members (with applications pending for eight more), adding six staff, and moving into a new office. Staff and board members realize that properly integrating the new members while maintaining the quality of its services with such growth will be a challenge. The impending challenge will arise when the peace accord is finalized and donor funds begin to surge into New Sudan. NESI-Net's members will engage even more deeply in New Sudan, and NESI-Net will need to open at least one office there.

One concrete approach to prepare for these challenges is to focus simultaneously on organizational components that need strengthening in NESI-Net and its member organizations. That tactic is reflected in the approach NESI-Net has adopted to the institutional improvement objectives that have been selected. NESI-Net hopes to attract funding for its indigenous NGO members while it improves the capacity of its members to accept those funds and to have an important impact (see *Appendix D.*) For example, as it develops a financial and administrative manual for NESI's purposes, it also will develop a template that could be adapted by each of its members for their own use. That would contribute greatly to each NGO's effectiveness and eventual ability to accept donor funds. It would also result in more uniform administrative and financial approaches among Sudanese NGOs, greatly facilitating work in civil society. Similarly, NESI-Net will share with its members the methodology it adopts to create its staff development strategy and will work to attract funding for its members. NESI-Net's improvement strategy is very member-focused.

Fostering these systems improvements throughout the membership – as a service provided by NESI-Net to its members – would greatly enhance member organizations' ability to attract funds and effectively scale up their activities in New Sudan.

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[4] The improvement plan also contains an additional item—assistance to improve access to information on the Internet—that did not emerge directly from the process but which is a service that CAP can provide to NESI-Net.

Results of Facilitator Training

During the same visit, the facilitators and participants invested four days in training a number of individuals from NESI-Net and its membership NGOs in the process of institutional assessment, using the IDF. The following individuals were trained:

Name	Title
John Kwaje	Executive Director, AORD
Hustin Yakwe	Executive Director, ROOF
Manut Chol	Executive Director GRDF
Jacob Idris	Information Officer, NRRDO
Fr. Dominic Otwari	Program Coordinator, IRAD
Ann Bindiku Albert	Gender Advisor, NESI
Raphael Midega	Accountant, AORD

The training covered four days. It included two days of training the facilitator/trainees (July 29-30), leading to the installation of the IDF by the facilitator/trainees for NESI member AORD (African Organization for Relief and Development) under the supervision/observation of the facilitators (August 4-5).

The facilitators' judgment is that the trainees are prepared to facilitate this process in other organizations.[5] However, due to the limitations of the past experience of the trainees, we strongly recommend that this only be conducted as two-person facilitator teams for the first few times each facilitator/trainee installs the IDF. The skills of the facilitators complement one another well, and each can still learn from the other. We also recommend that the facilitators install the IDF without any supervision *within the next two months* so that they can reinforce their learning while the information is still fresh. ROOF, an NGO member of NESI-Net, has expressed an interest in having the IDF installed in August 2004.

Capacity to Conduct Follow-on IDF Assessment

NESI-Net should be able to conduct the follow-on assessment by itself next year. In addition to exposure by staff and board members to the instrument, two of the facilitator/trainees include a staff member and board member, respectively. NESI-Net might choose, however, to have an external facilitator for the process. This could be accomplished through providing access to other facilitator/trainees in the network.

Next Steps

NESI-Net has reviewed and concurred with the contents of this document. It will submit a proposal to CAP to provide technical assistance to support implementation of its institutional improvement plan and seek supplemental funding from members and other donors to ensure its success. One year from now, NESI-Net will re-apply the IDF Toolkit to itself to track its progress as a result of the improvement process. Those results will be reported to CAP.

It is also expected that NESI-Net will adapt this tool to suit the majority of its members and will use its own and its members' resources to install the Toolkit for many of its members. As

[5] Two of the trainees (Hustin Yakwe and Ann Bindiku Albert), however, were not able to attend the important application experience with AORD. Those individuals would need to be brought up to speed on the experience by trainees who did participate.

funding becomes available, NESI-Net hopes to be able to provide technical assistance to them in institutional assessment as a NESI-Net service.

Workshop Rating

Post-workshop assessments were very favorable, with an average score of 4.7; and all but two items scored between 4.7 and 5.0 (out of a possible score of five). Details of the evaluation results follow.

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	4.9
2. How useful to you was the assessment of your network's institutional capacity?	4.6
3. How do you rate the facilitator's ability to explain and communicate clearly?	5
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.8
5. How do you rate the facilitator's facilitation technique and skills?	4.8
6. How clearly do you now understand your network's institutional strengthening needs?	4.7
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	4.0
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4.7
Specific written comments were very favorable. Many (four) mentioned that that the workshop would have been more effective if greater time had been allocated to discussion, while another noted that all sessions were completed on time with all relevant persons present.	

The group accurately noted that the tool was more useful in assessing an organization (Item 1 = 4.9) than for improving the organization (Item 2 = 4.6). This reflects the reality that *most* of the improvement is yet to come as a result of the work that NESI-Net will do to address the issues raised in the tool. While the assessment process does help raise awareness of organizational development issues, reach consensus on the way forward, and build a sense of team, real improvement will come with the hard work ahead.

Item 7 (score of 4.0) most likely reflects the self-assessed capacity of individuals to lead the IDF process again, not the ability of NESI-Net to assess itself in the future.[6] Since the CAP team separately trained a staff and a board member of NESI-Net (and five from NESI-Net member NGOs), they did not invest workshop time in preparing other members of NESI-Net to apply the toolkit, but instead focused on completing it. The team is confident that NESI-Net will be able to re-apply the toolkit in a year if the trained facilitators apply their skills to other organizations in the next two months, as suggested above.

[6] In future applications, perhaps the question should be revised to read: "How confident are you in your *organization's* ability to repeat the IDF assessment without assistance of an outside facilitator?" – as this is our primary concern.

Appendix A: NESI-Net Institutional Development Framework (IDF)

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Oversight/Vision					
Aspect **Board**	**Component** Board's Role	Roles of board members and the relationship of board members to the coordinator are unclear.	Board members understand their role and how to relate to coordinator. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with coordinator, and board members formulate policies and strategic plan for development.	Board members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. Two-thirds of the board is active; quorums are always achieved. Financial resources are not yet raised by board.	Significant momentum on board. Committees have been formed, and are led by board members. Moderate in-kind and financial contributions from board.	Significant resources raised by board. Most members of board are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development needs.	Board members selected more strategically, but most of their skills still do not match growing needs of organization.	Board's skills match needs of the developing organization and begin to move it forward.	Board members are catlysts for long-term development of organization.
Mission		No mission statement. Group coalesces around general objectives, such as a commitment to environment, health or peace.	Mission statement exists, but is not clear. Diverse portfolio of activities and proposals is not consistent with mission statement.	Mission statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the mission statement. People outside organization may not identify mission statement with the organization.	Clear mission statement. It can be articulated by board and staff and is consistent with portfolio. Outsiders identify the same mission with the organization.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Autonomy	Organization is the implementing agent of one donor.	Organization is able to respond to more than one donor and the organization's board.	Organization is able to obtain funding to support its program, in consultation with the board.	In addition to managerial and financial autonomy, organization is able to successfully advocate and raise funds—on behalf of its membership—to government, donors and private sector.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
MANAGEMENT RESOURCES					
Aspect **Leadership Style**	**Component** Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and two to four board members.	Vision and management ideas increasingly come from board as board members work more closely with the organization.	Virtually all board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational drive, in addition to coordinator.	Staff increasingly provide vital drive to organization. Staff and coordinator increasingly work as a team.	Organization would survive without current coordinator or chairperson of the board.
Planning	Mission/ Overview	Planning is opportunistic and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is based on mission statement. Annual plans continue as operative instruments. Planning is based on strategic plan, mission statement and workplans. Planning is medium term (two years) and intentionally opportunistic, in light of the fluid nature of Southern Sudan issues. It is not, however, just ad hoc.	Planning is expanded, more strategic and more long-term (three to five years) in nature.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Participation	Planning is top-down in orientation; coordinator and board driven.	The participation of staff in planning is widened, including staff contributions to planning decision-making.	Members provide information for planning and are included in decision-making.	Organization's staff and members contribute to planning decisions along with coordinator and board.
	Resource Implications	Objectives set without assessment of resource requirements or consideration of important external factors.	Accomplishment of objectives is tied to resources; but important external factors still overlooked.	Plans are based on resources and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce work plans.	Work plans are drafted but seldom used by management and operations staff	Work plans are used by management and operations staff but not viewed as dynamic instruments to be modified as warranted.	Work plans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from coordinator and chairperson with little or no feedback.	Most management decisions taken by coordinator and board. Some input from one or two staff members.	Management decisions increasingly delegated to line and activity officers, as appropriate.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from coordinator without clear decision criteria and little or no feedback.	Management decision criteria used by coordinator generally shared with board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but appropriate avenues for participation not always clear.	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.

	Communication Flow	Intrastaff and member communications mostly through informal channels.	Emergence of formal channels for dialogue and decision-making (such as weekly staff meetings and monthly member meetings).	Open vertical and horizontal communication. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all, necessary personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees, and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained but are not comprehensive or systematic.	Files are systematic and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized or, if formalized, not followed.	Administrative procedures increasingly formalized and followed, but no operating manual exists.	Internal administrative manual in place as a document in a file but not as an operational instrument.	Administrative manual updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Monitoring and Evaluation	Integrated into Decision-Making	No formal monitoring or evaluation mechanisms exist. Word of mouth and subjective judgement are used.	Occasional monitoring or evaluation efforts are mounted—usually at request of donor—and implemented by outsiders.	Monitoring and evaluations are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision- making.
	Constituency Feedback	No feedback from members and constituency.	Informal channels for members and constituency feedback.	Formal mechanisms exist for members and constituency feedback but only via surveys and evaluations.	Continuous feedback and input from members and constituency.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fund raising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence. They may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is opportunistic and based on emerging opportunities.	General direction provided for staff development, but it is short term and project based.	Staff development is based on needs assessment, and an action plan exists.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training	Little training provided.	Training is significant but is opportunistic in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little coaching or counselling provided.	Some coaching and counselling provided.	Staff receive adequate teaching, counselling, coaching and mentoring. Mutual staff development integrated into organization.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective-setting and know what is expected of them.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
FINANCIAL RESOURCES					
Aspects **Financial Management**	**Components** Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis but are not used as instrument for organizational decision-making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year "master" organizational budget and is able to manage finances accordingly.	Financial planning is based on a "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted to donors on timely basis. Not used internally.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management and shared with board members.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted and available to members.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently but aperiodically.	External audits are performed with a regular and appropriate frequency.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from one source only.	Financing comes from multiple sources, but 70% or more comes from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.
	Own Resource Mobilization	Own resource mobilization (including dues, labor and services) for operational income is untried or unsuccessful.	Own resource mobilization pursued on an ad hoc basis.	Own resource mobilization strategy is drafted and operational but not yet effective.	Own resource mobilization strategy is operational. X% of annual operating expenditures generated from local resources.
Financial Viability		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is available to cover immediate project activities only, consistent with mission. Funding is available for most, but not all, basic infrastructure, such as vehicles, salaries and buildings.)	Funding is available for medium-term (two year) costs. Long-term funding strategies are being developed.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
External Resources					

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect **Public Relations**	**Component** Public Recognition	Organization little known outside the range of its donors and members.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision-makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy-makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency and commands respect outside that constituency.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists that supports advocacy campaigns and seeks to make the organization better known, and to foster a broader public awareness in support of the mission.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/Consolidating	Sustaining
Aspect **Advocacy**	**Component** Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs but is opportunistic, sporadic and not coordinated. Advocacy is not strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests and constituency power/interests – are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy mission and goals, and which incorporate understanding of relevant stakeholder, power and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents but is unaware of the impact or reception of such information.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is systematically assessed.	Organization has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Membership	Organization does not utilize members in planning or executing advocacy campaigns.	Organization contacts one or more members in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages members in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize members for advocacy campaigns and is responsive to their advocacy priorities.	Organization has helped members to organize themselves and mobilize others, which they now do without the assistance of the organization.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/Consolidating	Sustaining
Ability to work with central government	Viewed as "we"/"they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is not yet frequent, usually on informal level. Often the central authorities refer to organization for advice.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners. The central government often integrates the organizations's recommendations into development plans.
Ability to work with NGOs outside network	Organization only slightly known and trusted by broader NGO community. Organization does not have experience working with NGOs outside its network.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements.	Organization works with international and/or local NGOs and participates in other NGO networks and coalitions. Networks and coalitions are based on member needs.	Organization plays leadership role in promoting NGO coalitions based on members' interests. Capable of helping to resolve NGO/NGO or NGO/Gov't. conflict and of affecting policy on behalf of members.
Network Resources				
Member Orientation	Organization operates in centralized manner with little connection to members.	Organization serves members based on perceptions/assessment, but without active member involvement.	Members input sought for key decisions. Organization and its efforts viewed by members as service provided to them.	Member interests are integrated into organization's policies and practices.
Member Participation in Organization	Organization involves its members only as recipients of the organization's program.	Organization draws on leaders of its members for advice and mobilization of its members.	Organization draws on leaders of its members in planning, implementation and evaluation of organization's events.	Members participate fully in planning, implementation and evaluation. Members contribute cash, material, labor and management to create and maintain project results.

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/Consolidating	Sustaining
Service Delivery	Service delivery to members is supply driven, often responding to the specifications of donors.	Some member input included in determining services; but type, quantity and quality of services delivered to members is at the initiative of the organization. Little monitoring of service quality is undertaken. Customer input into product design or quality review is opportunistic, if at all.	Organization is committed to ongoing process of continuous quality improvement of services provided to members. Services are tailored in response to articulated member preferences, and quality is continually monitored through member feedback. Organization makes consistent effort to obtain members' input into determining the appropriate type, quantity and quality of services.	Members' attitudes and perceptions are accessed through a survey—at least on an annual basis—to provide feedback into how to improve services. Service delivery improvements are made based on this data. Member ratings are high.
Active Membership	Organization is a "membership" Intermediate Service Organization but has few members enrolled relative to the number in its potential target group, given its mission. Of those enrolled, few are active.	Organization has a reasonable number of members enrolled (relative to their target group). However, fewer than half are current in dues payment, most are not active participants in organizational matters, and many do not identify with the organization and its mission.	More than half of members are current in dues payments and increasingly identify with the organization and its mission. They increasingly avail themseleves of services provided by the mission, but rarely contribute time or energy to maintenance and promotion of the organization. A quorum is always obtained for Annual General Meetings.	Most members are current in dues payments, are active in organizational issues, identify strongly with organization's mission. In addition to availing themselves of services of the organization (such as training) a significant number of members provide real thrust to the organization.
Specific Service Delivery Indicators				

Appendix B: NESI-Net Institutional Development Calculation Sheet (IDCS)

Resource Aspect	Key Components	INSERT DATE ONE Raw Score	Weight	Adj. Score	INSERT DATE Raw Score	Adj. Score	Change Over Time	Comments
Board	Board's Role	4.00	3.0	12.00		0.00	-12	In past year, the board has been named and has been very busy developing strategy, reviewing progress and leading NESI. Members dictate policy, lead policy teams and advocate for NESI. Virtually all progress has occurred in last year. Thus, while the current status is very high, the status may be considered fragile.
	Active Board	2.75	2.0	5.50		0.00	-6	4 out of 11 Board members are extremely active and have contributed labor and in-kind resources to NESI. No financial resources have yet been raised by the board, which is why the score is 2.75 and not 3.0.
	Members Advance Org.	3.50	2.0	7.00		0.00	-7	The board is elected by the membership and, therefore, represents the interests of the members. Criteria for selection by the General Assembly were: regional representation, candidate motivation and energy, and that they have activities on the ground. All are NGO managers and, therefore, familiar with organizational development issues. It is less than 4.0 since the board feels they could be more of a "catalyst."
		3.42			**0.00**			
Mission	Mission	4.00	1.0	4.00		0.00	-4	The mission is well known, and all activities are focused on its accomplishment. However, there may be pressures to diversify as funding becomes available in New Sudan.
		4.00			**0.00**			
Autonomy	Autonomy	4.00	4.0	16.00		0.00	-16	Ongoing donors are NOVIB and ACCORD. Other donors fund short-term efforts, such as workshops. NESI and the board have succeeded in raising moderate amounts of funding for some of the members. However, there is still significant demand for funds by members. But, fundamentally, NESI is free to pursue its agenda while NOVIB funding lasts.
		4.00			**0.00**		-16	
Leadership	Board	2.00	2.0	4.00		0.00	-4	Two to four board members are extremely engaged in

								leading NESI. But the remainder of the 11 are less so.
Style	Staff Teamwork	2.50	3.0	7.50		0.00	-8	Staff (other than coordinator) have been on board for less than one year. They are more active and work increasingly as a team. But staff have not been around long enough to achieve a score of 3.
		2.25			**0.00**			
Planning	Mission/Overview	3.00	4.0	12.00		0.00	-12	NESI maintains a two-year planning horizon and intentionally remains flexible to emerging events. In time, however, it hopes to develop a more long-term planning horizon.
	Participation	3.50	4.0	14.00		0.00	-14	Members participate via monthly member meetings; staff via weekly staff meetings. Current staff were not on board for last annual planning cycle. Each officer now comes up with own work plan.
	Resource Implications	3.50	4.0	14.00		0.00	-14	Annual plans are comprehensive and specific, but a strategic plan is not yet in place.
	Work Plan as Tool	4.00	3.5	14.00		0.00	-14	Work plans are developed each year and then adjusted after six months in "prioritization" effort.
		3.50			**0.00**			
Participatory Management	Appropriate Delegation	2.00	2.0	4.00		0.00	-4	Currently "assignments" are made, but decisions are not yet delegated fully. As staff become more integrated, greater delegation is anticipated.
	Transparent Decision-making	3.00		0.00		0.00	0	Decisions are generally taken during weekly staff meeting, at which time technical staff have adequate input. Again, constraint is newness of staff.
	Staff Participation	3.00	2.5	7.50		0.00	-8	Staff have job descriptions and are new to job. Understanding of roles and responsibilities is clear.
	Communication Flow	3.00	3.0	9.00		0.00	-9	There is plenty of informal communication at NESI offices and within Sudanese community at this time. NESI is aggressive in ensuring good communication: three e-mail and one phone contact are used to ensure attendance at monthly meetings, for example.
		2.75			**0.00**			
Management	Personnel Systems	3.00	3.0	9.00		0.00	-9	Basic job descriptions and hiring procedures exist and are generally adhered to. However, in some cases, with approval of the board, informal approaches may complement these systems to protect the organization.

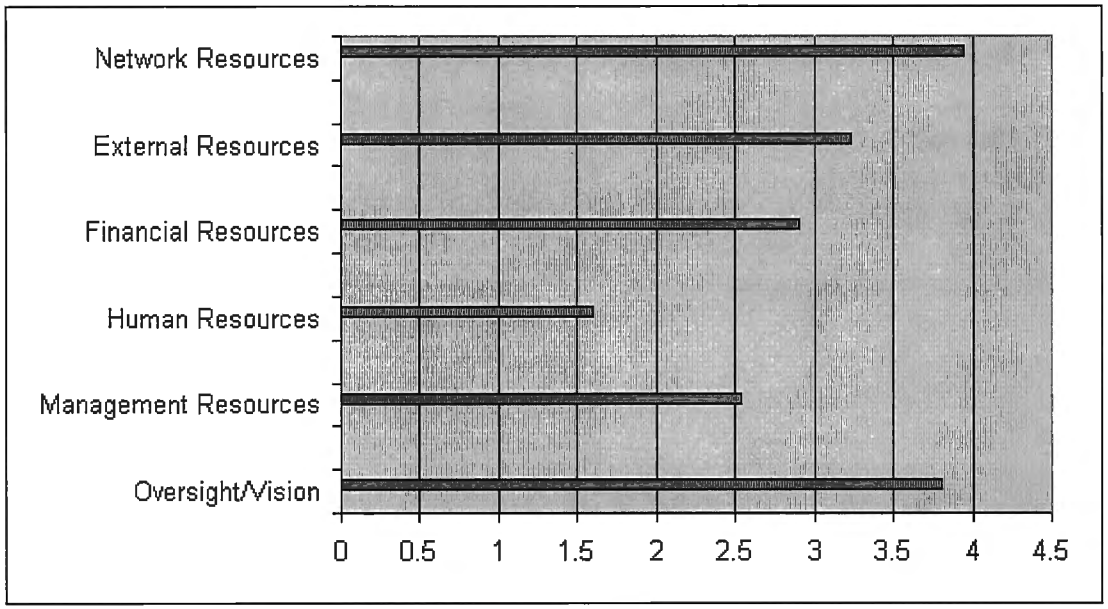
Systems	File Systems	3.00	1.0	3.00		0.00	-3	Basic file systems exist, but must be streamlined.
	Administrative Procedures	2.00	4.0	8.00		0.00	-8	No manual exists.
		2.67			**0.00**			
M&E Systems	Integration into Decisions	1.00	2.0	2.00		0.00	-2	
	Member Feedback	2.00	2.0	4.00		0.00	-4	No formal systems for feedback exist.
		1.50			**0.00**			
Human Resources	Skills	2.00	3.0	6.00		0.00	-6	Fund-raising and advocacy positions still need to be filled.
	Strategy	1.00	4.0	4.00		0.00	-4	No clear training strategy has been developed. Training is attended when it is available.
	Training	1.00	4.0	4.00		0.00	-4	At this point, only one staff member in addition to the coordinator has received significant training.
	Mentoring	2.00	2.0	4.00		0.00	-4	Good orientation for new staff—indicating roles, responsibilities, and assisting in learning necessary skills—was provided. But, deeper training has not yet occurred.
	Motivation	2.00	2.0	4.00			-4	
		1.60			**0.00**			
Financial Management	Planning	3.00	3.5	10.50		0.00	-11	NESI maintains ongoing two-year budget. There has been no need for cost extension in last two years.
	Control	4.00	3.0	12.00		0.00	-12	Controls are integrated into daily work. Each staff person requests cash needs at beginning of month. No cash in office. Adequate systems appear in place for medium procurement.
	Reporting	4.00	3.0	12.00		0.00	-12	Reports for main donor are completed annually. But, basic Excel accounts report basic financial status monthly.
	Audits	4.00	2.5	10.00		0.00	-10	Annual independent audits are performed.
	Separation of Accounts	1.00	2.0	2.00		0.00	-2	Accounts are not separated. But, funding outside main donor is for small amounts only. Policy is to separate funding for larger amounts (in excess of $20,000)
		3.20			**0.00**			
Financial Vulnerability	Funding Diversity	2.00	4.0	8.00		0.00	-8	Funding is mostly from one donor (NOVIB).
	Local Resource Mobilization	3.00	4.0	12.00		0.00	-12	NESI requires a $500 contribution from all members. Few have paid. NESI is now invoicing members and helping with alternative payment schemes.

		2.50		0.00	**0.00**			
Financial Viability	Financial Viability	3.00	3.0	9.00		0.00	-9	NESI anticipates three more years of NOVIB core funding and is now developing a longer-term funding strategy.
		3.00			**0.00**			
Public Relations	Public Recognition	4.00	2.0	8.00		0.00	-8	NESI and its members have contacted both the SPLM and Kenya governments to influence decisions, and their conferences bring in governments in international organizations. Members participate in advocacy strategy development and execution.
	Media Strategy	3.50	3.5	12.25		0.00	-12	NESI employs media consultants to execute aspects of its strategy. It has regular meetings of members to discuss strategy and has a written advocacy strategy. The newsletter was just begun to support public relations as has the Web site.
		3.75			**0.00**			
Advocacy	Strategic Approach	4.00	4.0	16.00		0.00	-16	Regular strategy meetings are held where strategy is reviewed and improved. Members are active in developing and executing strategy. Informal contact with SPLM occurs. This is another potential source of fragility with movement back to Sudan.
	Use of Research/Info	2.50	3.0	7.50		0.00	-8	The organization does not assess the quality of its information dissemination.
	Mobilizing Membership	3.00	2.0	6.00		0.00	-6	Membership is highly engaged in setting advocacy policy, reviewing it and participating in its implementation.
		3.17			**0.00**			
Ability to work with central gov't.	Ability to work with central gov't.	2.00	2.0	4.00		0.00	-4	NESI has informal communication with SPLM. They have worked with SPLM on Role of Civil Society and Peace Movement issues. NESI was asked by secretary of education for input into new policy. Sectoral groups effectively aggregate interests.
		2.00			**0.00**			
Ability to work with other NGOs	Ability to work with other NGOs	4.00	2.0	8.00		0.00	-8	NESI is clearly the lead organization in civil society at this time. Two other networks appear to be disintegrating. NESI took the lead in developing a Civil Society Committee to ensure that all NGOs could find representation.
		4.00			**0.00**			
Network Resources	Member Orientation	4.00	2.5	10.00		0.00	-10	The organization is clearly focused on its members.

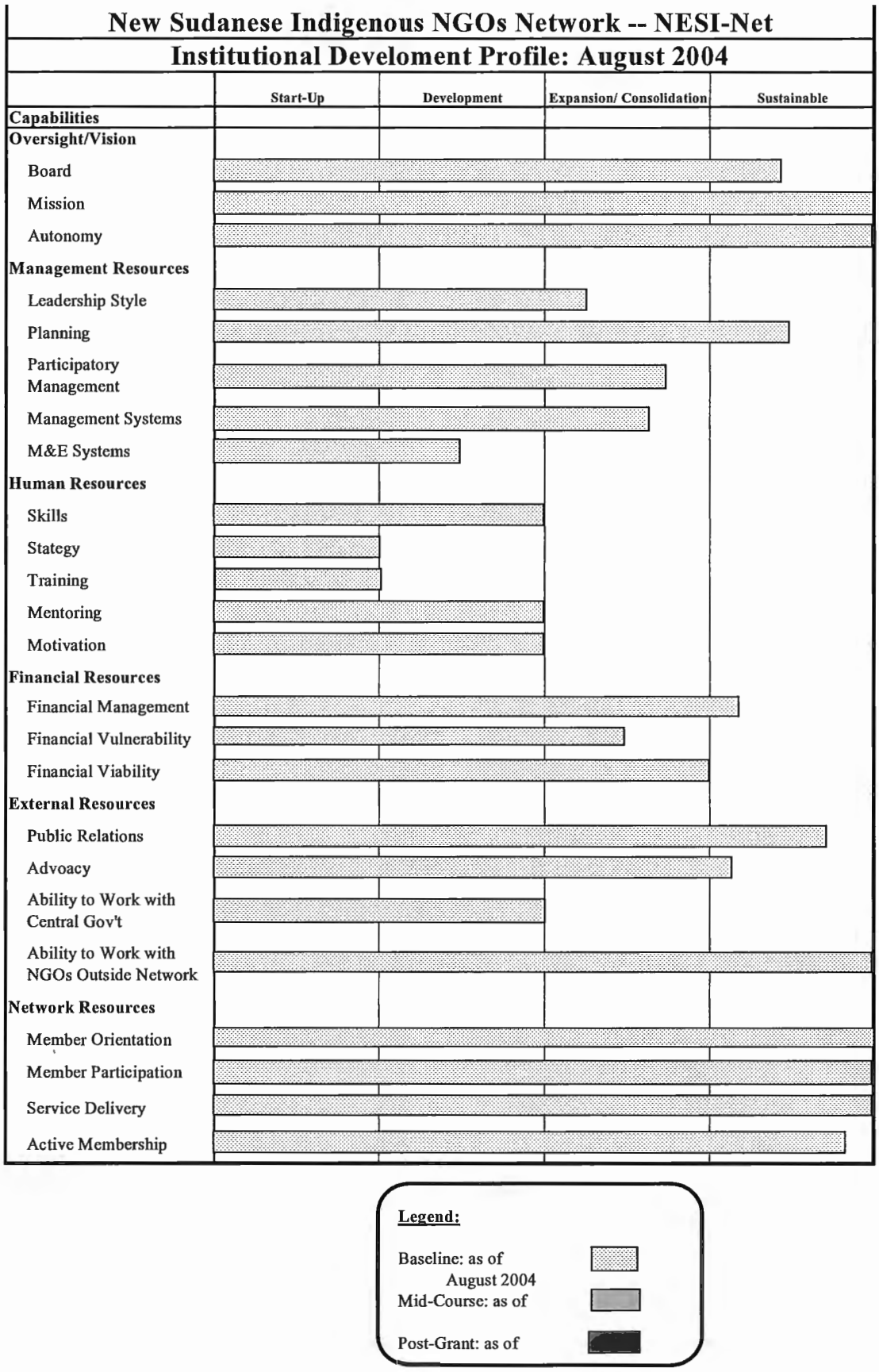
	Member Participation	4.00	3.5	14.00		0.00	-14	Members participate in setting strategy (through board and General Assembly), implementing through sector committees, and evaluation through such activities as the assessment of all NGO members as part of an existing OD initiative. Members do not yet all contribute significant cash.
	Service Delivery	4.00	2.0	8.00		0.00	-8	NESI is clearly working hard to improve its services including assessing institutional needs of its members, improving advocacy and quality control in admitting members. Members seem comfortable articulating demands and those issues appear to be heard. However, there is no formal survey yet.
	Active Membership	3.75	3.0	11.25		0.00	-11	It is an extremely active board. However, less than 10% of the members pay the annual $500 subscription. NESI is reviewing this issue now.
		3.94			**0.00**			
Total Placement		**129.50**		359.00	**0.00**	0.00	-359.00	
Average Placement		2.9432			0		0	

Summary of Average Placement Change, by Resource

Oversight/Vision	3.81	0.00
Management Resources	2.53	0.00
Human Resources	1.60	0.00
Financial Resources	2.90	0.00
External Resources	3.23	0.00
Network Resources	3.94	0.00



Appendix C: NESI-Net Institutional Development Profile (IDP)



Appendix D: NESI-Net Institutional Improvement Plan

NESI-Net conducted an institutional self-assessment at its offices in Nairobi, Kenya, from 3-5 August 2004. Using the IDF toolkit, CAP consultants facilitated the process. The results are summarized in the attached report. NESI-Net analyzed the results to prioritize areas for focused improvement over the next year:

1. Develop a financial and administrative procedures (F&A) manual for NESI-Net, with a template for members.
2. Create a staff development strategy.
3. Diversify funding.

Participants agreed that while NESI-Net is currently well-positioned; if it is to be prepared for a much higher level of activity when peace arrives, it must become more *systematic* in the way it does its work. Accordingly, what emerged from the discussion as being most urgent—and most in need of assistance—are the three systemic items listed above. In keeping with its desire to provide expanded institutional development assistance to its members, NESI-Net will also adapt the inputs to serve its members, not just the secretariat.

The F&A manual will help to ensure that all staff and members can follow a standard approach to personnel, administrative, financial and communication systems, with the focal point being the secretariat. This will ensure a more constant level of quality in NESI's services, serve to manage expectations of members, and provide concrete support to NESI-Net's commitment to transparency. It will be designed to serve the needs of NESI-Net's secretariat in Nairobi and work towards developing components that would serve for NESI-Net as it moves to Sudan. It also will cover issues that are important for the member/board/secretariat interface in both locales. NESI-Net needs to have a second version of the F&A manual adapted to serve as a template for the needs of non-Network members so that they can develop their own manuals. If most members adopted the F&A manual, it would go a long way towards making NGO practices uniform in Sudan. Accordingly, a consultant will be needed to facilitate a membership-wide workshop to disseminate the template and provide guidance in how organizations can best adapt them to suit their specific needs.

While NESI-Net is fortunate to have talented staff, it has not yet had the opportunity to create a strategic approach to their development to best meet NESI-Net's needs now and in the future. NESI-Net wants to move from an *ad hoc* approach to one that is strategic, systematic, and ensures high quality. Accordingly, CAP and NESI-Net each will seek out models from other organizations that have created staff development policies, strategies and specific plans. NESI-Net will review them to determine which best suit their needs. A consultant will assist them to develop a policy for NESI-Net and—based on a needs assessment that will be collaboratively developed—help NESI-Net construct its own strategy and specific plans for each position. In addition to ensuring that NESI-Net will have the skills it needs at specific posts, it should also contribute positively towards staff motivation. Models for staff development will be made available to NESI-Net members.

All participants anticipate significant donor funding to flow into New Sudan once peace arrives. NESI-Net hopes to be able to assist its members by securing funding that could be accessed by its members. To that end, it will soon hire a temporary fund-raising expert and is developing a funding strategy. CAP will assist NESI-Net in seeking specific opportunities for funding that would include institutional strengthening for NESI-Net and its members.

A fourth area which emerged in discussion (but not from the prioritization process) as a service that CAP could provide was assistance in communication via the Internet. CAP will work with NESI-Net so that it can develop Websites for members who want them. The sites would have a simple and, most likely, relatively uniform interface that would permit NGO members to include information vital for reaching the outside world on a public access site. In addition, to support communication with its members, NESI-Net would like to establish a password-access private community on the Internet where they could include information that would be useful to members. For example, different sectoral teams could maintain working documents there, chat rooms could be supported, and minutes and agendas of sessions could be posted. Also, common materials such as the F&A manual for NESI-Net and F&A templates could be posted. These could be highly valued services to members and directly support accomplishment of NESI-Net's mission.

Participants throughout the process included:

Name	Title
John Kwaje	Board Chairman (Executive Director, African Organization for Relief and Development – AORD)
Wenceslas Emongor	Board Member (Hope Agency for Relief and Development – HARD)
William Oyet Omoro	Board Member (Imotong Ranges Agency for Development – IRAD)
Suzanne Jambo	Coordinator
Ann Bindiku Albert	NESI, Gender Advisor
Josephat Muiruri	NESI, Deputy Coordinator
Jason Muchiri Nyaga	NESI, Accountant
Judith Mugeha Lanogwa	NESI, Secretary
Celstine Achieng Otieno	NESI, Receptionist

Planned Improvement Activities

Objective 1: Develop a Financial and Administrative Procedures Manual for NESI, with a Template for Members		
Activities	Resources needed	Sources
As models, obtain samples of F&A manuals that have worked for other NGOs and networks	Sample manuals	NESI will contact other networks; CAP will procure others and send to NESI
3-4 day process to adapt the models to suit NESI	Consultant	CAP
Develop model F&A manual for member NGOs (consultation, drafting, and a workshop to introduce manual to membership)	Consultant	CAP
Orient staff in how to help members adapt model to suit their particular circumstances	Consultant	CAP

Objective 2: Create Staff Development Strategy		
Activities	Resources needed	Sources
Obtain staff development policies and strategies from other networks and NGOs	Sample strategies	NESI will contact other networks; CAP will procure others and send to NESI
Develop staff development policy	Consultant	CAP
Conduct training /staff development needs assessment	Consultant	CAP
Develop strategy via workshops	Consultant	CAP
Develop overall staff development plan and individual development plans	Consultant	CAP
Consider strategies for enabling NESI-Net to help its members develop similar strategies	Consultant	CAP

Objective 3: Diversify Funding			
Activities	Resources needed	Sources	Completion date
Develop a strategy for attracting new donors	NESI labor	NESI	
Hold donor symposium to get "buy in" to plan from donors and attract their funding	Workshop facilities	??	
Work with CAP to engage USAID/Sudan in opportunity to fund NESI to re-grant to its members in conjunction with OD for NESI and members	CAP/NESI labor	NESI/CAP	
Work with Mercy Corps to attract funding for civic education proposal and for institutional strengthening/policy proposal	Mercy Corps/NESI labor	NESI/Mercy Corp	
Hire fund-raising staff for three months (hoping to find longer-term funding for position)	Salary	NESI	

As detailed above, NESI-Net and CAP will also pursue the possibility of developing an internal working Web site for the secretariat and public Web sites for members.

CAPABLE PARTNERS PROGRAM (CAP)

National Association of Civil Society Support Centers

Institutional Self-Assessment and Improvement Process

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

July 2004

Report on National Association of Civil Society Support Centers Institutional Self-Assessment and Improvement Process

July 2004

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Summary, Findings, and Conclusions

From May-July 2004, Tajikistan's National Association of Civil Society Support Centers (NACSSC) participated in an institutional self-assessment using the IDF toolkit. The IDF assessment gave participants a measuring tool and created an open space for member organizations to think consciously about their network's institutional capacity and to work together to plan its improvement as a self-sustaining network.

An overview of the results is provided in Figure 1 below. All participants agreed that NACSSC needed to improve its governance and management culture. The Executive Director's selection process was finalized on the spot and the newly-elected Executive Director immediately became involved in drafting and discussing NACSSC's ambitious plans for institutional development.

Figure 1: NACSSC Institutional Development Profile, Summary by Resource Area

Oversight / Vision	1.29
Management Resources	0.44
Human Resources	1.10
Material Base & Financial Resources	0.94
External Relations	0.69
Advocacy	1.45

Background

NACSSC, functioning in 7 regions of Tajikistan, was registered under Tajik Laws as a public benefit NGO in June 2003. Most NACSSC members are civil society support organizations, launched in 1996 as regional program management branches of Counterpart International (CI). NACSSC's other members are local organizations which provide NGO development assistance. From 1997 to 2003, these were the long-term partner organizations of the Civil Society Development Program in Tajikistan, administered by CI and funded by USAID. They have provided training and technical assistance, grant management, and resource assistance to many Tajik NGOs contributing to democratization and citizen participation.

Currently, NACSSC members are funded by of IREX (USAID Civil Society Development Project) and CI (Healthy Communities Project). After being an informal network of intermediary support organizations for many years, NACSSC is focused on developing into a well-established national association with a leading role in civil society development, NGO sector support, and advocacy.

Process

From May-June 2004, the IDF toolkit and related publications were translated into Russian and reviewed by the consultants. The translations were excellent: with only a few corrections, both the CAP consultant and participants could use the documents easily. The IDF workshop took place from 12-17 July 2004, in a training center in downtown Dushanbe, with the generous support of IREX Tajikistan and the Dushanbe Civil Society Support Center. Most participants traveled from other towns, managing to escape their very busy routines for the full time, and were provided accommodation in Dushanbe. The venue was selected to provide working space for both a large group of 15 and smaller task-driven sub-groups of 5 to 7. All member organizations were well-represented; most sent the Executive Directors and/or other senior staff.

Although only up to four local IDF facilitators need be trained, the consultant trained all participants (managers of NACSSC member-centers, NGO trainers, and facilitators with prior experience in group work, organizational capacity building, and NGO technical assistance) in the mechanics, theory, and appropriate facilitation techniques for administering the IDF. All leaders of NACSSC member organizations, and the newly-elected NACSSC Executive Director, actively participated in the introductory workshop and in customizing the IDF to NACSSC. The participants were highly motivated and helped each other translate between Russian and Tajik.

The local trainers and other participants read the IDF article before beginning the workshop. Once they began customizing the IDF matrix, the Consultant suggested approaches and techniques that might be useful to Tajik facilitators and NGO managers, based on his experience in Bulgaria, Poland, Macedonia, Ukraine, and Russia. The participants also shared their ideas for best approaches to adapting the IDF to local specifics.

Participants analyzed all elements of the IDF in relation to NACSSC and the Tajik third sector. After in-depth discussions and careful re-editing of all suggestions, they agreed on several modifications. At the end of the process the revised Russian IDF was synthesized and presented to all participants. Participants selected six major IDF characteristics to be included in the NACSSC IDF Matrix (*Appendix A*), some of them slightly modified to reflect local realities: Oversight / Vision, Management Resources, Human resources, Material Base and Financial Resources, External Relations, and Advocacy.

Following exhaustive discussion, the management team further modified key aspects and main components within the major resource areas. Participants defined new aspects and components, working together to elaborate a valid assessment for their own organization. The key clusters in this framework are detailed in Figure 2 below.

Figure 2: NACSSC's Revised Institutional Development Framework

IDF RESOURCE AREA	RESOURCE ASPECT	COMPONENT
OVERSIGHT / VISION	Board of Directors	Board's Role
		Active Board
		Strategic Planning
		Board's Contribution to NACSSC Advancement
	Advisory Council	
	Mission	
	Autonomy	
	Control & Audit Committee	
	Leadership Style	
MANAGEMENT RESOURCES	Role & Responsibilities of the Executive Director	Managerial Style
		Staff Teamwork
		Responsible Executive Director
	Operative Planning	Participation of NACSSC Members
		Resource Allocation
		Work Plan as a Tool
	Participatory Management	Transparent Decision-making
		Role & Responsibilities of NACSSC Members
		Internal Communication System
	Management Systems	Administrative Procedures
		Documents Management
		Personnel Systems
	Program Design and Implementation	Monitoring and Evaluation
		Constituency Feedback
HUMAN RESOURCES	Skills	
	Strategy	
	Training	
	Mentoring	
	Motivation	
MATERIAL BASE AND FINANCIAL RESOURCES	Means of Communication	
	Office Equipment	
	Transport Means	
	Information Resources	
	Premises	
	Financial Management	Planning
		Control
		Reporting
		Audits
		Separation of Accounts
	Financial Vulnerability	Funding Diversity
		Own Resources Mobilization
	Financial Viability	
EXTERNAL RELATIONS	Public Relations	Public Recognition
		Media Strategy
		Promotion Campaigns
		Use of Social Research and Information
	Client Orientation	
	Ability to Work with Central and Local Government	
	Ability to Work with NGOs outside NACSSC Network	
ADVOCACY	Strategic Approach	
	Use of Social Research and Information	
	Constituency Involvement	

Assessment Results

A summary of NACSSC's self-assessment is presented in the Institutional Development Calculation Sheet (*Appendix B*) and Institutional Development Profile (*Appendix C*). NACSSC members scored the association using definitions from the two initial stages of its IDF, describing NACSSC as a network of more or less developed individual centers in the process of organizational building and initial development. The assessment provided a fairly honest picture of NACSSC's organizational immaturity as a network, given the focus of the past few years on supporting the establishment and capacity building of individual civil society support centers. No major resource area received higher than 1.5 average progress score – with average scores for progress ratings in a following "maturity gradation" (See Figure 1).

In general, participants described NACSSC as transitioning from "preparation for and founding of" to the first stage of "building institutional capacity and becoming an integrated civil society support network". Most scores were between 0.50 to 1.50, with only three above 1.5:

(a) **NACSSC's mission** which was fairly well-clarified and articulated through NACSSC's re-registration with the court – 2.5;
(b) **Material base and equipment** – 1.9;
(c) **Board's Leadership Style** – 1.75.

All components under Management Resources have a relatively low"score – the average below 0.5 – which is not surprising since NACSSC has no staff and the new Executive Director was selected at the workshop. Although individual NACSSC's members have built up the core of their material base with donor support in the past years, NACSSC's material and financial resources are currently very low and should be addressed by both management and donors.

Given the opportunities to staff their offices and participate in training programs focused on individual centers, NACSSC members consistently score Human Resources above 1.5 (with the exception of staff motivation – 0.75). However, this score is slightly misleading because these people, skills, and functional HR systems belong to individual centers, not NACSSC.

Participants agreed that the proposed IDF elements could be used to set priorities for NACSSC's institutional improvement in the next 1 to 3 years. Currently the Executive Committee (consisting of individual CSSC's executives) serves as NACSSC's Board, performing essentially all governance, management, and staff functions. NACSSC lacks adequate resources to equip the association with paid staff, external expertise, technical and communication equipment, and systems to operate as a network. More mature member organizations are much more functional and influential than the Association and NACSSC's ability to develop on the basis of members' contribution and network identity might be limited.

Improvement Plan

All participants took part in discussing priorities for NACSSC's institutional improvement in the next year or so. They agreed that NACSSC needs to address a long list simultaneously, to attract multiple donors' support to the Improvement Plan (*Appendix D*), and to continue monitoring the progress of its implementation using their adapted IDF. Participants ranked improvement priorities on a scale from 4, top priority, to 0, not a priority at this stage (see Figure 3, below).

Once the group finished the ranking process, they realized that most of the selected priorities needed to be further clustered to focus the planning. The participants placed special emphasis on the items which were both high priorities and identified as NACSSC's weakest points, selecting them as areas which needed structured improvement.

Results of Facilitator Training

By the end of the workshop, participants had tested their new skills and acquired additional knowledge about measuring NACSSC's future progress against the "baseline" this workshop established. Further application of the IDF in individual centers and CAP-assisted NGOs will allow managers and specialists of NACSSC to master the facilitation and spread the revised IDF to other members of Tajik NGO community.

Figure 3: NACSSC Institutional Development Priorities

Highest Priority Components: "Makes or Breaks the NACSSC"	Rank	Progress Rating
Oversight / Vision: Board of Directors' Role	4	1
Oversight / Vision: Strategic Planning	4	0.5
Oversight / Vision: Leadership Style	4	1.75
Management Resources: Staff Teamwork	4	0.5
Management Resources: Decision-Making Transparency	4	0.8
Management Resources: Role & Responsibilities of NACSSC Members	4	0.25
Management Resources: Action Plan Resource Allocation	3.5	0.5
Human Resources: Motivation	4	0.75
External Relations: Public Recognition	4	0.5
External Relations: Promotion Campaigns	4	0.25
External Relations: Media Strategy	4	0.5

High Priority Components: "Significant for NACSSC"	Rank	Progress Rating
Oversight / Vision: Board Contribution to NACSSC Development	3	1.5
Management Resources: Administrative Procedures	3	0.25
Management Resources: Monitoring System	3	0.25
Human Resources: Skills	3	1.25
Human Resources: HR Strategy	3	1.25
Oversight / Vision: Advisory Council	3	1.5
Oversight / Vision: Active Board of Directors	3	1
Management Resources: Executive Director's Role	3	0.75
Management Resources: Executive Director's Responsibilities	3	0.5
Management Resources: Working Plan as Instrument	3	0.5
Human Resources: Staff Training	3	1.25
Material Base and Financial Resources: Own Revenues Building	3	1.1
External Relations: Use of Social Research and Information	3	0.8
Material Base and Financial Resources: Funding Sources Diversification	3	0.2
External Relations: Capacity to Work with Local and Central Government	3	0.5
Material Base and Financial Resources: Association Premises	3	2.25
Advocacy: Strategic Approach to Advocacy	3	2.0
Advocacy: Advocacy Utilization of Social Information	3	1.1

Priority Areas of Concern	Rank	Progress Rating
Oversight / Vision: Autonomy	2	0.5
Management Resources: Internal Communication in the NACSSC	2	0.25
Management Resources: Feedback from Clients	2	0.25
Material Base and Financial Resources: Financial Planning	2	1.1
Material Base and Financial Resources: Financial Control	2	0.5
Material Base and Financial Resources: Financial Accountability/Reporting	2	0.5
Material Base and Financial Resources: Coping with Financial Vulnerability	2	0.5
Material Base and Financial Resources: Communication Systems	2	2
Material Base and Financial Resources: Office Equipment	2	2
Material Base and Financial Resources: Transportation	2	1.75
Material Base and Financial Resources: Information Resources	2	1.5

Significant Components But Not Current Priorities	Rank	Progress Rating
Oversight / Vision: NACSSC's Mission	1	2.5
Oversight / Vision: Internal Control & Audit Committee	1	0.5
Management Resources: Members' Participation in Work Planning	1	0.25
Management Resources: File Systems	1	0.5
Management Resources: Personnel Systems	1	0.75
Advocacy: Clients Involvement in Advocacy	1	1.25
Human Resources: Mentoring	1	1
Material Base and Financial Resources: Audit	1	N/A *
External Relations: Capacity to Work with Other NGOs	1	0.5
Material Base and Financial Resources: Accounts Separation	1	N/A *

** To be considered at a later stage (2nd assessment)*

Almost universally, participants agreed that one of the key benefits of the whole process was that their support organizations started developing a common vocabulary for organizational development and adopted shared conceptual thinking and sets of measurement indicators. There are indications for positive endorsement of the technology and highly participatory approach associated with the IDF adaptation process and a readiness to spread it to other segments of the Tajik third sector.

NACSSC members appear to recognize the IDF's value and its applicability in Tajikistan. Both formally and informally, the consultant presented additional learning materials (including an Institutional Strengthening CD-ROM) in organizational assessment and development, and working samples of the IDF application in Bulgaria and other Central Eastern European countries. Working together around the IDF parameters and vocabulary, NACSSC leaders expressed their willingness to focus on organizational self-improvement in the next 1-3 years.

Capacity to Conduct Follow-on IDF Assessment

The consultant mentored all the participants through various aspects of IDF facilitation. As a result all participants became capable (individually and in small teams) of independently administering the IDF. Given their management experience and excellent English language skills, two participants, from the Khojand and Dushanbe CSSCs could continue to be key local coordinators for future IDF-related technical assistance teams of CAP and other international partners.

Participants are confident about and capable of using the IDF to plan their network development, prepare structured requests for technical assistance, and re-assess NACSSC in the future. All representatives from NACSSC member organizations are prepared to conduct IDF assessments in their own centers and in the broader NGO community. Given the experience and training they received, they should be considered fully competent to facilitate future re-assessments of NACSSC institutional development. In the period for training and adjusting the IDF to local circumstances, the following local participants proved their facilitation skills, working as small sub-group leaders and/or in task force sets of co-facilitators with the consultant's support and guidance:

Figure 4: Participants in NACSSC's CAP IDF Workshop

Dushanbe CSSC	**Elena Chastukhina** **Irina Andreeva**	elena@dcssc.tojikiston.com
Rasht CSSC	**Khurinisso Gafforzoda**	csscrasht@tojikiston.com
Kulyab CSSC	**Buribek Buribekov**	pero99@mail.ru
Kurgan-Tyube CSSC	**Dilbar Khalilova** **Rustam Bakridinov** Muzafar Avazov	fidokorkt@irex-tj.org
Khojand CSSC	**Dilorom Atabaeva** **Rahman Mursaidov**	dilorom@cssc.sugdinter.com
Khorog CSSC	**Dodarbek Saidaliev** **Temur Murodov** **Gavhar Davyatova**	cssckulob@rambler.ru
Panjakent CSSC	**Fatima Sharipova** **Omimchon Rusimov**	pcssc@pnjk.tajik.net

Next Steps

Following the review of CAP's consultant, this report and the draft Institutional Improvement Plan should be finalized by NACSSC management and re-submitted to CAP for further reviews and technical assistance. NACSSC will also use the assessment results and Plan to seek funding from other donors interested in its success.

12 to 18 months later NACSSC should re-apply the IDF, using the same participatory approach, to measure its progress, and report to CAP all evidence of the impact of its technical assistance. It is also expected that NACSSC will assist in conducting IDF assessments for other NGOs in Tajikistan and the region.

Workshop Rating

At all phases of the assignment, the participants contributed greatly. The sessions were well-targeted, mutually informative, and dynamic. The key issues in NACSSC development and sustainability were identified and open communication encouraged. The analytical attitude and engagement level reflected the significant commitment by the member organizations to address NACSSC's important organizational development needs. The assignment also provided rich opportunities for exchanging practical experience between Bulgarian intermediary support organizations and Tajik civil society support centers. All participants now demonstrate a better understanding of the importance of institutional strengthening and are integrating improvement plans with their other commitments as NACSSC leaders.

Appendix A: NACSSC Institutional Development Framework (IDF)

RESOURCES		CRITERIA FOR EACH PROGRESSIVE STAGE			
		FOUNDING	DEVELOPING	CONSOLIDATING	SUSTAINING
OVERSIGHT/VISION					
Aspect Board of Directors	Component Board's Role	Board of Directors (BoD) – governing body consisting of representatives of CSS Centers. BoD members are not aware of their role and functional responsibilities; uncertainty of the positions of BoD members generates internal tension.	Board members understand their role and how to relate to Executive Director. There is consensus on NACSSC organizational structure, but there are misunderstandings which may reduce BoD effectiveness.	There is mutual understanding between BoD members. Members of the Board focused their efforts on development of NACSSC sustainability strategy.	A Strategic Plan for NACSSC Sustainability is developed and in process of implementation. Well coordinated work with new donors and partners.
	Active Board	Board is formally constituted but not yet an active governing body.	BoD becoming active. Board members are motivated in pursuing new resources.	BoD demonstrates high level of activity, new resources are raised.	NACSSC has sufficient resources. BoD has a very active role.
	Strategic Planning	No Strategic Plan.	There is a Strategic Plan but it is not adequate for the NACSSC development.	Strategic Plan improved. All aspects of NACSSC development considered. Strategic Plan is updated on a regular basis.	Strategic Plan is the main tool for NACSSC sustainability assurance
	Contribution to the advancement of the organization	BoD members contributed at one time, but do not feel responsible for contributions they made to the advancement of the organization.	Members of the BoD contribute consciously to the advancement of NACSSC; however, their contributions are not systematic.	Members of the BoD feel highly responsible for their own contributions to NACSSC advancement. There is a working mechanism for ensuring their systematic contributions.	BoD members' contributions are self-demanded. Contributions of BoD manifest the positive results in sustainability assurance.
Advisory Council		BoD members badly need external expertise and advice. The lack of resources limits the access to external sources of needed expertise.	BoD members use the existing opportunities to attract external expertise. The idea of forming an Advisory Council is developed. Advisory Council considered valuable external resource for NACSSC.	NACSSC Advisory Council formed. Meetings, consultations and expert analyses performed when needed.	Mutually beneficial relationships established between BoD members and Advisory Council. Advisory Council is a regularly functioning body providing qualified expert assistance and support to NACSSC.

Mission	The mission is defined by the Statute, but it is not clear/focused enough.	Mission revised and more clearly defined considering NACSSC activity.	Mission is clearly defined, all members know NACSSC's mission.	Mission is clear to all members of NACSSC, they are capable to articulate its statement. Mission statement is consistent with NACSSC portfolio of activities.
Autonomy	De jure NACSSC is an independent network structure; however, de facto it's over dependent on one long-term donor.	NACSSC identifies options to raise funds, develop its capacity through training, internships and technical assistance.	NACSSC has diversified sources of funding, donor relations move to the higher level of partnering.	NACSSC is an independent institute working without intermediaries.
Control & Audit Committee (CAC)	CAC structure defined in the Statute, but it is just a nominal, non-functioning body.	CAC members re-elected, CAC regulations are developed.	CAC members are trained, know their duties and are prepared to perform their internal financial control functions.	CAC is an important and functioning structure in NACSSC which guarantees the financial management transparency and the appropriate spending of funds.
Leadership Style	NACSSC is registered, BoD is formed, Chair of the BoD elected. Existing governance structure limits BoD initiative and motivation.	The governance and management structures revised. Democratic leadership style defined and established based on principles of empowered participation and rotation of roles. NACSSC Statute improved.	NACSSC Statute re-registered following the changes. Job descriptions for BoD members elaborated. Mechanism of chairing BoD developed based on principles of rotation. Decisions taken by consensus.	BoD is independent in its decision-making and new initiatives development. Favorable organizational climate and team cohesion ensured.

RESOURCES		CRITERIA FOR EACH PROGRESSIVE STAGE			
		FOUNDING	DEVELOPING	CONSOLIDATING	SUSTAINING
MANAGEMENT RESOURCES					
Role & Responsibilities of the Executive Director	**Managerial Style**	Not defined yet. Development in progress, needs are clarified in the process of gaining experience and skills.	Executive Director's mandate defined. Job description developed. On the basis of needs analyzed, a training program for the Executive Director developed. Necessary resources ensured.	Management concept defined, operational controls fine-tuned, BoD and management activities coordinated, management accountability system enforced.	Executive director's activities focused on implementing programs to ensure NACSSC sustainability.

	Staff Teamwork	Lack of empowered executive manager. All decisions taken by BoD on ad hoc basis.	More of NACSSC members are involved in preparing and making key management decisions.	A developed system for co-coordinating BoD, Executive Director's and staff roles and activities in the decision making process.	Executive Director makes sure necessary resources are allocated for staff and experts involvement in all key areas of NACSSC's activity.
	Responsible Executive Director	Responsibilities of the Executive Director are not clearly defined.	Executive Director coordinates NACSSC activities in all directions.	Executive Director increasingly promotes NACSSC to potential donors	Executive Director is effectively representing NACSSC at all levels
Operative Planning	**Participation of NACSSC members**	No activity plan at all. Basic mechanisms and procedures for introducing participatory operative planning in place.	All necessary conditions for members' active involvement in operative planning of NACSSC activities established.	All NACSSC members involved in planning process, action plan is flexible and regularly modified.	NACSSC members suggest initiatives and planning decisions in the process of operative planning of NACSSC activities.
	Resource Allocation	There are some opportunities of attracting external resources, but available internal resources of NACSSC not clearly defined and mobilized	A data base of existing internal and external resources developed.	Planning is based on available resources, and consideration of existing external opportunities.	Plans permit appropriate resource allocation and utilization.
	Work Plan as a Tool	No work plan. Priorities are not defined.	Work plan is developed in order to meet donor's requirements, but not considering fully NACSSC own organizational needs	NACSSC uses operative planning as a comprehensive tool to access and influence donor's support	Work plans are viewed as dynamic tools for activity management. Full compliance with NACSSC Strategic Plan.
Participatory Management	**Transparent Decision-Making**	Lack of clearly defined decision-making criteria. Most decisions are taken ad hoc, in a spontaneous manner.	Decision making process is at the level of the Executive Director and Board of Directors	Clear, transparent decision-making criteria, which are well known by every staff member. An information system ensured staff are aware about all decisions made.	Effective mechanisms for informing and feedback on decisions made, decisions are relevant and well justified.

	Role and Responsibilities of NACSSC Members	No division of specific roles and responsibilities between NACSSC member organizations	Each NACSSC member organization knows its specific roles and responsibilities, no effective enforcement and performance management procedures	NACSSC members perform their roles and responsibilities consciously based on well developed and understood performance management procedures	All members of the NACSSC participate continuously and actively in NACSSC management.
	Internal Communication System	Unstable system for internal communication. No system for collecting, analyzing, and synthesizing relevant internal information.	There are resources and working mechanisms for internal communication flow within NACSSC, emerging system for automated information exchange and data distribution among members.	Resources are identified and utilized for staff training in the area of NACSSC information system management; NACSSC information system is accessible and maintained by qualified staff.	NACSSC information system is fully integrated with the information systems of the international community; Information system is widely used in planning process.
Management Systems	**Administrative Procedures**	No formally developed administrative procedures.	Administrative procedures and internal manual of rules formalized, but not fully enforced.	A mechanism for effective enforcement and continuous improvement of the internal procedures is established.	Administrative system of NACSSC is unified and used as an operational system in resolving situations and arguments in the organization.
	Documents Management	Separate, not systematized files and documents exist; no file system in place	A filling system for documents is developed, main filing groups determined, but there are significant gaps in the system.	Filling system is optimal and accessible.	Systematic and automated catalogues of documents.
	Personnel Systems	No clearly defined organizational structure units.	Clear staff structure, personnel system concept adopted.	All necessary conditions for effective personnel functioning ensured.	Management team capable to solve all personnel problems of NACSSC.
rogram Design and Implementation	**Monitoring and Evaluation**	No formal systems of monitoring and evaluation. Some skills and specialists in classic and participatory M&E in all centers. Elements of command-type (donor-driven) M&E system.	Development and ongoing introduction of a horizontal M&E system.	Effective system for internal performance monitoring, involving NACSSC staff. M&E are initiated independently by NACSSC members and not based on donor requirements only.	Donors involved in the development of the M&E plan, NACSSC has full control on its implementation.

	Constituency Feedback	Irregular, case by case NGO constituency feedback to individual centers.	A mechanism for obtaining feedback from constituency is developed.	Resources are allocated for conducting of regular NGO surveys of NACSSC effectiveness as a component of its formal NGO constituency feedback system.	Regular events with the involvement of NACSSC stakeholders are organized. There are opportunities for NACSSC to organize participatory analysis of the state of the civil society.

HUMAN RESOURCES				
Aspects **Skills**	Members of NACSSC lack skills to work together as members of an association.	Skill trainings of "Network development", "Accounting", and "Strategic planning " are provided. Members of NACSSC still need further skills development by training and internships abroad.	Basic skills of NACSSC members/staff are developed. Experienced external consultants provide customized technical assistance and couching to NACSSC associates. Members of NACSSC have access to advanced training, exchange, and internship programs conducted locally and internationally.	NACSSC staff demonstrate high professionalism (both in internal and external operations) in NACSSC client service..
Strategy	No professional development plan for NACSSC associates. Human resources development is based on emerging opportunities.	A plan for professional development of NACSSC associates is in process of development, but it is based on IREX project and has no long-term range.	Systematic need analyses are conducted considering individual needs of NACSSC associates. Plan is elaborated, consistent with NACSSC mission, and not dependent on projects.	Professional development is considered key part of the overall development of NACSSC. It is supported by individual career development plans.
Training	Trainings are not frequent enough, not all key associates have access to necessary training.	Opportunities for enlarged and improved training program for NACSSC associates are ensured, the number of training increased significantly.	Training is more targeted and based on specific needs and the demand from NACSSC. Participation in international training programs ensured.	Actual training programs meets the specifications of individual career plans of NACSSC associates
Mentoring	Coaching and counseling are rarely provided to NACSSC associates. No experienced specialist to meet the demand.	Opportunities for gaining access to external coaches and consultants are ensured by NACSSC. In-depth needs analysis conducted for NACSSC associates.	Based on their specific needs staff receive adequate coaching and counseling. Mutual staff development and mentoring by experienced external consultants are regular practice in the organization.	Professional support considered key internal service to each associate of NACSSC.
Motivation	No mechanism for individual performance appraisals in NACSSC, there is a practice of formal appraisal of the overall work of individual centers	A performance appraisal system is developed and getting institutionalized, there is need of specific training.	Formal performance appraisals is a regular practice in all centers of NACSSC, staff motivation is getting higher.	NACSSC Associates manifest high responsibility and accept the objectivity of their performance appraisals.

RESOURCES	CRITERIA FOR EACH PROGRESSIVE STAGE			
	FOUNDING	DEVELOPING	CONSOLIDATING	SUSTAINING
MATERIAL BASE AND EQUIPMENT				
Аспект **Means of communication**	Not all members of NACSSC have access to means of communication. Poor communication system limits the information exchange within NACSSC	Resources are ensured so all centers within NACSSC are linked through Internet; communication circuit of NACSSC members is relatively reliable.	All centers are connected to Internet at a sufficient speed. Not all associates are skillful in using Internet. Communication skills training is ensured for the staff of NACSSC.	All representatives of NACSSC in the centers are able to use Internet and email. Quality of the communication meets the needs of NACSSC operations.
Office Equipment	Members of NACSSC use outdated (second hand) or rented office equipment. Equipment is very insufficient.	NACSSC members include the necessary office equipment into newly developed project proposals. No donors interested in providing new equipment for NACSSC centers. Centers not mature enough to convince donors in the importance of this issue.	Donors getting more aware about the institutional development needs of NACSSC. Donor priorities shifted. NACSSC members are improving their base of office equipment and software application.	NACSSC has sufficient quantity of modern office equipment, legal software, and it is properly utilized by technically literate staff.
Transport Means	Few of the NACSSC members have access to own vehicles.	Some of the members still have no own vehicles. All available transport means of NACSSC are very outdated and unreliable. Members of NACSSC who experience most serious problems in traveling across their regions get supported to obtain appropriate means of transportation.	NACSSC members include transport means expenses in annual budget, lobby donors on this sensitive issue. NACSSC members recommend donors to set local transport depreciation limits at 3years.	All members of NACSSC have access to modern and reliable vehicles. New policy of transport means depreciation is adopted and related measures ate taken to resolve the travel problems.
Information Resources	Due to financial constraints NACSS centers are not capable to perform their information sharing functions. There is limited quantity of relevant NGO literature, learning resources, and data bases.	Resource centers of NACSSC members are partially supplied with information resources. Donors' information is supplied, but it is not regularly updated. Various data bases are developed and maintained regularly.	NACSSC resource centers are sufficiently supplied with information, various and regularly updated data bases. NACSSC publishes information bulletins. Modern equipment is made broadly accessible: Internet, email, video, multimedia	NACSSC has modern office and communication equipment. Improved information recourses base.

Premises	Members of NACSSC do not own their office premises. High rental cost. High risk of "getting kicked out".	Two of NACSSC members own their office premises, other members continue to rent their offices under standard criteria; rents remain high.	Opportunities for ensuring premises for NACSSC head office are identified. Members of NACSSC constantly in search of resources and opportunities for ensuring NACSSC own office premises.	NACSSC and its members own their office premises

RESOURCES		**CRITERIA FOR EACH PROGRESSIVE STAGE**			
		FOUNDING	DEVELOPING	CONSOLIDATING	SUSTAINING
FINANCIAL RESOURCES					
Financial Management	**Planning**	Budgets are developed on a project-by-project basis only, usually to meet only donor's priorities and requirements.	NACSSC members received international standards financial management. Budgets are developed in a participatory manner. Skills in developing budgets and financial management improved.	Budgets are developed and maintained professionally, but still on project-by-project basis. Advanced training in financial management continues for NACSSC members.	Budgets are developed on the basis of needs and available resources of NACSSC. A plan for financial sustainability of NACSSC is developed, implemented and regularly updated.
	Control	No internal control system, financial resources are mainly controlled by the donor(s).	Internal financial control procedures are developed and gradually introduced.	NACSSC members are trained in applying financial procedures, financial procedures are systematic, financial documents guarantee transparency and ongoing controls over financial standing of NACSSC.	Control is an internal part of financial management.
	Reporting	Financial reports are incorrect, not submitted on time, reveal poor level of accountability.	Financial reports quality improved, but still with lots of shortcomings. Micro-training provided for responsible staff.	Financial reports improved on the basis of specialized software applications. Financial reporting procedures elaborated.	Financial reports are timely, available, clear, and accurate.

	Audits	No audits performed (or performed not regularly, in specific centers only, and mainly by donor's demand)	External audits by donors or local controlling bodies, on individual project basis.	Members of NACSSC order planed audits on a regular basis	External audits are performed with a regular and appropriate frequency.
	Separation of Accounts	Funds of different projects are not separated or separated on donor's requirement only.	Donors provide members of NACSSC with training on account separation.	Standard procedure is to avoid cross-project financing.	Al project funds are separated and adequate control system exists to avoid cross-project financing.
Financial Vulnerability	**Funding Diversity**	Financing comes from only one source.	Financing comes from different sources, but 89 -90% from one source.	Opportunities for raising funds from other donors are sought. NACSSC works with more than 3 donors.	Diversified funding sources, each source provides 25 – 30% of total funding.
	Own Resources Mobilization	NACSSC members regularly exchange information and learning resources.	Own resources mobilized based on needs and available resources, but they are not sufficient to meet all needs of NACSSC.	Own resources mobilization is a priority in NACSSC Strategic Plan.	Own resources mobilization is operationalized strategy. 10%of annual expenditures covered by own resources.
Financial Viability		Funding depends on donors' priorities	Donors continue determining funding priorities. NACSSC is seeking opportunities to attract funding relevant to its mission. Small number of donors interested in providing funds to NACSSC based on its mission.	A strategy for long-term funding is developed. Enlarged contacts with international donors (not represented in Tajikistan)	All ongoing projects are sustainable and relevant to NACSSC mission. NACSSC works directly with leading donors.

RESOURCES		CRITERIA FOR EACH PROGRESSIVE STAGE			
		FOUNDING	DEVELOPING	CONSOLIDATING	SUSTAINING
EXTERNAL RELATIONS					
Public Relations	**Public Recognition**	Each member of NACSSC is recognized by the public, has its public image, but NACSSC as an association is still unknown to the public.	NACSSC has access to resources and opportunities to gain public recognition and intentionally build its positive public image.	Relations with stakeholders' and decision making groups established and developing. Positive public image of NACSSCY contributes to its sustainability. NACSSC has staff responsible for PR.	NACSSC is getting public support. Able to influence public opinion.
	Media Strategy	No such strategy.	Media strategy is one of the key components of NACSSC Strategic Plan.	Media relationships are well established.	NACSSC is consistently supported in its public communication by specific media.
	Promotion Campaigns	All PR functions are performed by the Executive Director.	NACSSC has its own information bulletin and promotional materials focused on promoting NACSSC.	NACSSC release its own printed and electronic newsletter and has full time PR specialist.	Regular formal channels for NACSSC promotion established.
	Use of social research and information	Used in individual centers, completely missing at NACSSC level.	Utilization of social research and information is "in service" of NACSSC development strategy. Main priorities in training and skills development are defined using the social research and information.	Stakeholders' demands and public opinion are carefully analyzed and considered in planning and decision making processes.	Social research data analyses serve as basis for the NACSSC strategy development.
Client Orientation		No plan and unclear vision for client involvement.	Concept for client service developed. NGO constituency needs are considered in service design and delivery planning. Client involvement is still not regular.	Clients' involvement strategy is developed. NACSSC receives support by its clients.	Representatives of NACSSC clients participate in planning, and their opinion and interests are integrated in organization's policies and practices.

Ability to work with Central and Local Government	Unstable relationships, priorities still not defined.	Authorities are not considering NACSSC a serious social partner.	Collaboration is frequent, usually on informal level, NACSSC still not considered equal partner by authorities. Often authorities refer to NACSSC for advice.	Formal and informal collaboration mechanisms exist and are often used. Relations are as equal partners. The central government often integrates the NACSSC recommendations into development plans.
Ability to work with NGOs outside NACSSC Network	NACSSC is not working with NGOs outside its own network	No pressing needs to collaborate with NGOs outside NACSSC network.	Elaborated plan for development of cooperative relations with broader NGO community	Areas of mutual influence and cooperative mechanisms for sector-wide campaigns determined.

ADVOCACY					
Advocacy	**Strategic Approach**	Advocacy is "top-down imposed" by donors. «спущена» донорами. Members of NACSSC have little orientation in advocacy.	Advocacy is a priority in development. NACSSC members participate in intensive training in this area, but due to lack of practical skills face difficulties in promoting advocacy concept.	Advocacy becomes a priority strategy. A strategic advocacy plan is developed. Specific projects are developed. Opportunities for exchange visits and internship programs identified.	NACSSC members are specialists in the area of advocacy (or NACSSC becomes a representative of Advocacy Institute). NACSSC develops training materials, handbooks, research papers. NACSSC expertise is used in Tajikistan and abroad.
	Use of social research and information	NACSSC has no resource materials to ensure increased public awareness.	Incomprehensible seminars in this area are organized. No impact of provided trainings. Information campaigns are donor-driven, no account of real social demand.	Advocacy training modules are adapted/simplified, national coverage of advocacy training program ensured. Research of Advocacy situation in Tajikistan is conducted. Distributed information is of high quality and accessible. Data base of advocacy organization is created.	NACSSC plays the role of information center on Advocacy. Distribution of high quality information is the unique service of NACSSC.
	Constituency Involvement	Members of NACSSC involve their NGO clients in Advocacy campaigns.	NACSSC members assist NGOs in forming thematic advocacy coalitions.	NACSSC members involve their NGO clients in developing advocacy plans and advocacy campaigns. Feedback with NGO constituency is maintained.	NACSSC clients trained and mobilized for successful participation in advocacy activities.

Appendix B: NACSSC Institutional Development Calculation Sheet (IDCS)

Resource Aspect	Key Components	Date 7/15/2004	Next	Change Over Time
Board of Directors	Board's Role	1.00		
	Active Board	1.00		
	Strategic Planning	0.50		
	Advancing the Organization	1.50		
		1.00		
Advisory Council		1.50		
		1.50		
Mission		2.50		
		2.50		
Autonomy		0.50		
		0.50		
Control and Audit Committee		0.50		
		0.50		
Leadership Style		1.75		
		1.75		
Role/Responsibility of Executive Director	Managerial Style	0.75		
	Staff Teamwork	0.50		
	Responsible Exec Director	0.50		
		0.58		
Operative Planning	Members' Participation	0.25		
	Resource Allocation	0.50		
	Work Plan as Tool	0.50		
		0.42		
Management Systems	Administrative Procedures	0.25		
	Documents Management	0.50		
	Personnel Systems	0.75		
		0.50		
Participatory Management	Transparent Decision making	0.80		
	Members Role/Responsibility	0.25		
	Internal Communication	0.25		
		0.43		
Program Design and Implementation	Monitoring and Evaluation	0.25		
	Constituency Feedback	0.25		
		0.25		
Human Resources	Staff Skills	1.25		
	Strategy	1.25		
	Training	1.25		
	Mentoring	1.00		
	Motivation	0.75		
		1.10		
Material Base and	Communication Means	2.00		

Equipment	Office Equipment	2.00		
	Transport Means	1.75		
	Information Resources	1.50		
	Premises	2.25		
		1.90		
Financial	Planning	1.10		
Management	Control	0.50		
	Reporting	0.50		
	Audits	na		
	Separation of Accounts	na		
		0.70		
Financial	Funding Diversity	0.20		
Vulnerability	Own Resource Mobilization	1.10		
		0.65		
Financial Viability		0.50		
		0.50		
Public Relations	Public Recognition	0.50		
	Media Strategy	0.50		
	Promotion Campaigns	0.25		
	Use of Social research	0.80		
		0.51		
Client Orientation		1.25		
		1.25		
Ability to work with central and local gov't		0.50		
		0.50		
Ability to work with NGOs outside NACSSC		0.50		
		0.50		
Advocacy	Strategic Approach	2.00		
	Use of Social research	1.10		
	Constituency Involvement	1.25		
		1.45		
Oversight / Vision		**1.29**		
Management Resources		**0.44**		
Human Resources		**1.10**		
Material Base & Financial Resources		**0.94**		
External Relations		**0.69**		
Advocacy		**1.45**		

Appendix C: NACSSC Institutional Development Profile (IDP)

	Founding				Developing				Consolidating				Sustaining			
Resources																
Oversight/Vision																
Board					1.00											
Advisory Council								1.5								
Mission											2.5					
Autonomy			0.5													
Control & Audit Committee			0.5													
Leadership Style								1.75								
Management Resources																
Role &Responsibility of ExDir			0.56													
Operative Planning			0.42													
Management Systems			0.5													
Participatory Management			0.43													
Program Design/Implementation		0.25														
Human Resources																
Skills						1.25										
Strategy						1.25										
Training						1.25										
Mentoring					1											
Motivation				0.75												
Financial Resources																
Material Base & Equipment									1.9							
Financial Management				0.7												
Financial Vulnerability				0.65												
Financial Viability			0.5													
External Resources																
Public Relations			0.51													
Constituency Orientation						1.25										
Ability to Work with Gov't			0.5													

Ability to Work with other NGOs			0.5													
Advocacy							1.45									

Appendix D: NACSSC Institutional Improvement Plan

NACSSC conducted an institutional self-assessment at a training center in downtown Dushanbe from 12-17 July 2004. Using the IDF, staff from the USAID-funded Capable Partners (CAP) Program facilitated the process. The results are summarized in the attached report. NACSSC analyzed the results to prioritize areas for focused improvement over the next year, as follows:

1. Develop NACSSC's Board of Directors.
2. Systematize NACSSC Executive and Team Roles and Responsibilities.
3. Develop NACSSC's Internal Resources.
4. Develop Media Strategy.
5. Improve Strategic Planning.
6. Develop Human Resources.
7. Develop Advisory Council.
8. Develop Administrative Procedures.
9. Develop Capacity to Work with Local and Central Government.

Planned Improvement Areas

Objective 1: Develop NACSSC's Board of Directors

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
Board's Role: Team Cohesion; Mutual Understanding among Board members; Increased Effectiveness of Board Activity	Board members meet at bimonthly Network Meetings. Board members participate in training program on "Teambuilding", delivered by external consultants	Board involvement External Consultants Training Budget	NACSSC IREX **CAP**	To Be Determined (TBD) Start Date September 1st, 2004
Active Board: Board is very active	All Board members participate in two one-week workshops on Board development Board members ensured media publication opportunities for their own expression/assertion Roles and responsibilities of individual Board members divided on the basis of their capabilities assessment	Local and External Consultants Training Budget Media Cost	NACSSC IREX **CAP**	TBD
Board Contribution to NACSSC's Development: NACSSC enjoys public recognition; implements multiple projects and has many contacts	Publishing NACSSC's own Newspaper Achieve agreement with TV channels for active promotion of NACSSC activities Nation-wide Consultative Process with Board Members Active Participation A Series of Press Conferences and	Board and Executive Director involvement External and Local Consultants Events and	NACSSC IREX	TBD

	Regional Roundtables English Language Course for the Executive Director Selection and involvement of external consultants for the NACSSC's new project proposals development	Training Budgets Promotion Materials Cost		
Roles and Responsibilities of NACSSC members: NACSSC's members act in a highly responsible and professional way	Regionally-based technical assistance consultants identified and involved in helping member organizations 7 Directors of Member Centers on a Study Visit in Eastern Europe to learn from the experience in Association development there. NACSSC's Executive Director on a Study Visit to Moscow in order to exchange experience with the management of advanced civil society support associations Assisting 2 Board members to become regular members of leading international civil society support organizations / networks and establish high impact mutually beneficial relationships	Board and Executive Director involvement Experienced Regionally-based Consultants Study Visits and Training Budgets Membership Fees Cost	**CAP** **CAP** IREX **CAP** NCSSC	TBD

Objective 2: Systematize NACSSC Executive and Team Roles and Responsibilities

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
Leadership and Management Style: Participatory and democratic management style	Training on "Effective Leadership", "Leadership and Managerial Skills Development" Internship Program for Board members and Executive Director with Advocacy Institute Technical assistance provided by external expert on management effectivenesss of NACSSC manager	Board and Executive Director involvement Experienced Management Consultant Internship and Training Budgets	IREX **CAP** **CAP**	TBD
Executive Director's responsibilities Professional skills developed Managerial Effectiveness	Management Visits to all member centers by new Executive Director in order to study their potential and local NGO needs NACSSC's work plan development with the participation of member organizations	Visit's costs Executive Director and Members Involvement Training ParticipationBudget	IREX NACSSC **CAP** IREX	TBD

	New Executive Director participates in all internal and external training programs			
Transparent Decision-making: Collegial consensus - based decision making Mutual awareness about decisions taken	Board and Executive Director develop decision-making mechanism NACSSC Learning Resource Library receives additional NGO management literature Internship and Study Tour Programs for Board members and Executive Director abroad	Executive Director and Members Involvement Learning resources cost Internship and Training Budgets	NACSSC IREX **CAP**	TBD
Teamwork: Team cohesion Awareness and Responsibilities for all decisions taken	Training workshops on "Team Building", "Conflict resolution" and "Tolerance Training" with Russian trainers Annual NACSSC Retreat with all members participation Support for team building informal meetings, leisure activities and exchanged visits by members of NACSSC	Consultants' Fees and Training Budgets Retreat cost Team Support	IREX **CAP** NACSSC	TBD

Objective 3: Develop NACSSC's Internal Resources

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
NACSSC projects supported by diversified base of funders Proposal development skills enhanced NACSSC's physical assets developed Integrated Information Resources Available Paid Services Revenue covers 10 % of NACSSC admin costs	Development of NACSSC Plan for additional resources raising Fund-raising program concept development NACSSC working group on project development and implementation established Developing a Proposal for NACSSC's Institutional Development Grant (separately from project grants) Completed data bases from other providers Market research on paid services options	Staff time and Involvement Consultants' fees Institutional Development Grant Information Data	NACSSC NACSSC NACSSC NACSSC IREX NACSSC **CAP** NACSSC NACSSC NACSSC	TBD

	NACSSC Manual on Design and Delivery of Paid Services Monthly membership dues regularly collected			

Objective 4: Develop Media Strategy

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
Public Recognition Established long-term relations with diversified media channels Own printed media PR skills developed Professional media coverage of CSO activities	Training media and TV partners of NACSSC in the area of "Working with NGOs" Training for NACSSC members in the area of "PR organizational promotion" Bi-monthly release of NACSSC own general public newspaper (newsletter) Purchase of desktop publishing system and video equipment for tapes production on CSO activities Hiring and training a PR coordinator for NACSSC (training and/or internship abroad) Regular Press-conferences, project presentations and information events with media involvement NACSSC publication of relevant materials in most popular printed media in Tajikistan	Training Budget Training materials cost Desktop publishing and video recording equipment Internship or training budget Events and related media cost	IREX IREX IREX IREX and other donors (Internews, Eurasia, etc.) NACSSC IREX NACSSC IREX	TBD

Objective 5: Improve Strategic Planning

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
Planning is a participatory process	External experts provide technical assistance for strategic planning in	Consultants' Fees	IREX and CAP	TBD

Planning is in the core of operational management of NACSSC NACSSC Strategic Plan is main sustainability tool	NACSSC Consultative workshop (extended training and technical assistance) on Strategic Plan development with practical support component Regular members' meeting for strategic and work plans review, monitoring and update Development of NACSSC's Financial Sustainability Plan	Training budget Meeting cost Staff Time and Involvement	other donors and providers NACSSC IREX NACSSC IREX Other donors	

Objective 6: Develop Human Resources

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
Strategy, Skills, Training: Developed basic skills of members for working together in the NACSSC Established mechanism for assessment of training and development needs in NACSSC Training and Development needs of staff clarified Detailed HR development plan of NACSSC (independently from its project workplan) Targeted, customized system for staff training Additional learning resources	Assessment of Training and Internship needs of NACSSC management, members staff and volunteers Training workshops (3 – 5 days each) on Consulting Skills Development, Strategic Planning process facilitation, and Support Organization/Association Management and Development Internship Programs Abroad (3Net Association Bulgaria, Russia – Siberia Network of Support Centers, PDC Network) IT and Computer Skills Training International Accounting Standards Training Intensive English Language Skills Course Obtaining copyright permissions and targeted budgets for training materials, workbooks, and manuals translation, adaptation and distribution (from English into Russian)	Board and Members Involvement Independent needs assessment experts fees Budget for hiring trainers and consultants Staff Training Programs Budgets Training Modules and Materials Adaptation Cost Premises, training equipment (notebook, beamer, etc.)	NACSSC IREX Soros Foundation CAP / AED Other Donors identified via Internet Partners for Democratic Change 3Net Bulgaria Siberia Network of Support Centers	TBD

on HRM &D in NACSSC Learning Resource Ctr.				
Motivation: High level of Responsibility NACSSC care for its public image Increased operational effectiveness of NACSSC staff and volunteers	Development and application of staff performance appraisal toolkit in order to enhance motivation (reviews twice in year) Performance Review analysis with recommendations for improvement Recruitment and Training of Volunteers to support NACSSC staff and consultants Implementing "Volunteers' Development Program" Development of NACSSC system of incentives, performance reward and recognition schemes, and career development opportunities (via internships and outside seminars) Invitation/Placement of Qualified International (US) Volunteers in NACSSC Centers Short English Language Communication Skills training for key staff of NACSSC Centers	Board and Executive Director Involvement Budget for hiring consultants Staff and Volunteers Training Programs Budgets InternationalVolunteers Support Budget	NACSSC NACSSC NACSSC IREX NACSSC NACSSC CAP Peace Coprs and other US PVOs IREX, CAP Peace Corps	TBD

Objective 7: Develop Advisory Council

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
Mechanism / Procedures of Advisory Council Formation agreed Experience of other support networks studied NACSSC's Advisory Council Established	Internal Consultative Process Analysis of existing experience of other support networks (incl. International) in the area of Advisory Council (AC) formation and utilization Development of a systems for motivation of Advisory Council members Development of potential AC members data base (roster)	Executive and Centers' Management Involvement Independent local and international consultants fees Information Literature Travel allowances	**CAP** **CAP** IREX PDC Other Support Networks NACSSC	TBD

		AC Meetings Cost Information processing assistant		

Objective 8: Develop Administrative Procedures

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
Admin Procedures developed: Operational manual of regulations Org Structure Controllers Committee Accounting Procedures	Form a working group to study existing experience and develop NACSSC's administrative procedures and regulations	Executive and working groups members involvement Independent experts and volunteers Information Literature Working groups meetings cost	NACSSC IREX PDC	

Objective 9: Develop Capacity to Work with Local and Central Government

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
Some key events of NACSSC take place with the active participation of local and central governments representatives NACSSC has elaborated Social Partnership Plan Data base of donor programs directed at partners from local and central governments	Representatives of local and central governments join NACSSC's Advisory Council Training NACSSC members in the area of "Government Relations" PR Campaign to promote NACSSC Local working groups for joint event management Training on Data base development and maintenance Presentations of NACSSC publications at National	Members and partners involvement and time Events and PR campaign budgets Experts fees Training program budgets	NACSSC Local and Central "Hukumati" (government bodies) Media IREX **CAP** / AED Urban Institute and Other donors Swiss Agency for Cooperation and Development (Tajikistan) Winrock	TBD

	and local levels Participation of NACSSC in events organized by Governments at national, regional and local level			

Objective 10: Expand NACSSC Office Premises

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
NACSSC and its members have their own office premises	Research on real estate market of Dushanbe Raising and accumulating funds (incl. Donors' support) for finding a suitable office for the Association	Funding Information Legal Advice and lawyer's fee Honoraria of real estate agent	NACSSC Donors: IREX and others Local Government Dushanbe	TBD

Objective 11: NACSSC's Capacity to Use Social Research and Information and Monitor its Perfomance and Impact

Results	Institutional Development Activities	Resources Needed	Sources	Completion date
NACSSC has diagnostic system for assessing state of Tajik civil society as a whole and its own performance and impact, in particular	Experts in the are attracted to join NACSSC's Advisory Council Specialists in the area are motivated and involved in internship programs abroad and deliver follow up trainings to NACSSC's members Training of NACSSC staff in the area of social information and performance monitoring data gathering, processing and analysis	External Experts and New Staff cost Internship and Training Programs Budgets Information, literature, subscriptions	NACSSC IREX and other donors Similar NGO support networks abroad **CAP**	TBD

CAPABLE PARTNERS PROGRAM (CAP)

Zambia Community School Secretariat

Institutional Self-Assessment and Improvement Process

August 2004

CAP is implemented by
AED
Academy for Educational Development
in partnership with
MSI
Management Systems International

USAID
FROM THE AMERICAN PEOPLE

Report on Zambia Community School Secretariat Institutional Self-Assessment and Improvement Process

August 2004

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Summary, Findings, and Conclusions

This report describes the successful IDF installation on the Zambia Community School Secretariat (ZCSS). From 10-19 August, a Capable Partners Program (CAP) consultant trained six local facilitators, the CAP Advocacy Fellow, and five staff from ZCSS Associate Member organizations, who then facilitated the IDF installation for Education Without Boundaries (EWB). At the workshops' end, participants discussed possibly applying the IDF in up to sixty Associate Members of ZCSS in 2005. Depending on the timing and progression of those IDF assessments, the local facilitator team may submit an amalgamated improvement plan from several NGOs, with the requests for CAP technical assistance.

Background

Zambia's community schools began in the mid 1990s in response to the government's failure to provide education for all eligible children. In its education policy, entitled "Educating Our Future," the government encouraged communities to participate in providing education. With the assistance of a joint donor committee, the community schools established ZCSS to engage with the government to ensure that it provides education to all children, regardless of whether they attend a community, private, or government school.

ZCSS and the Ministry of Education (MoE) first signed a Memorandum of Agreement (MoA) and Policy Guidelines on Community Schools; the MoA is subject to review every two years, consistently challenging ZCSS to perform well. Under the MoA, MoE is to provide trained teachers, school infrastructure, and education materials to the community schools. However, with an increase in community schools (from 350 in 1996 to 1335 in 2002/3) and in the percentage of people infected with HIV/AIDS, the number of available teachers has greatly decreased. Supplying trained teachers has become a mammoth, though possible, task for the MoE. To complicate matters further, MoE's large staff, extending from HQ to the Districts, interpret the MoA and Policy guidelines differently.

Accordingly, ZCSS's mission is twofold: to advocate for community schools' equal share of the human and financial resources allocated to education and to ensure that, in all 76 districts, the services provided follow the MoA. ZCSS focuses on assuring that communities establish, own, and participate in providing quality education for, and promoting the rights of, vulnerable children. It currently has more than sixty Associate Members.

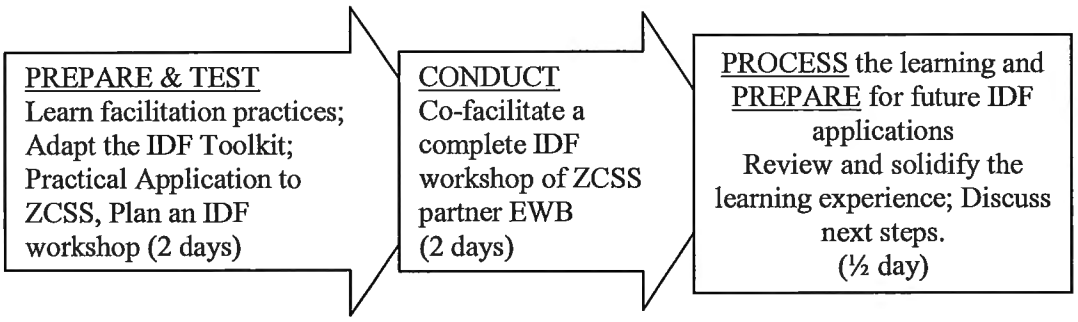
ZCSS was nominated by USAID/Zambia to participate in CAP's Global Core Initiative (GCI) in Advocacy. ZCSS's training in advocacy is complemented by CAP's institutional improvement support. This document reports on the IDF facilitators' training. ZCSS has determined that, to fulfill its mission, it must build its members' capacity. Using the IDF, the trained facilitators will render Associate Members more effective and sustainable, thereby improving Zambia's community schools.

Process

The IDF facilitator training was achieved in three major phases (see Figure 1). So that ZCSS could do future IDF implementations, all technical staff (over three-quarters of entire staff) attended the PREPARE and TEST phase. The remaining participants (facilitator candidates)

came from ZCSS Associate Members and represented veritable "customer viewpoints". For this reason, the combined group chose ZCSS as the "test" case.

Figure 1: ZCSS IDF Workshop Process



This decision complicated the work: ZCSS is a network, not an NGO; it provides services to a nationwide system of community schools and the intermediary NGOs that run them. For ZCSS, participants needed the network IDF. However, since the subsequent Associate Members' assessments required the NGO IDF, participants customized both. ZCSS facilitator-trainees used the revised NGO IDF to guide EWB through the assessment process from 16-17 August.

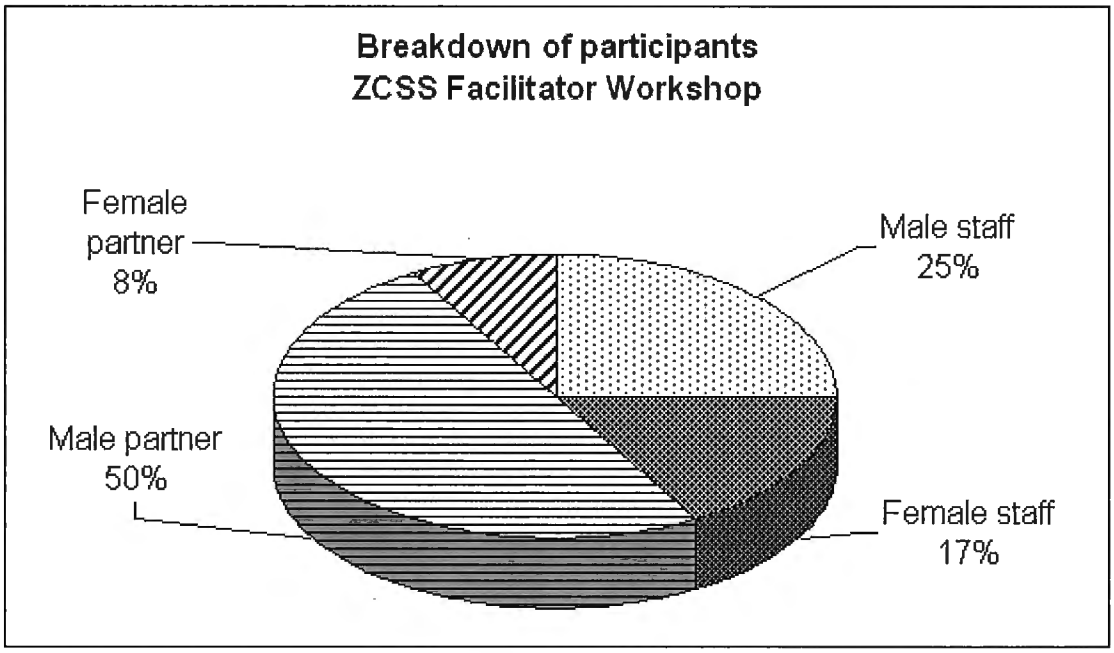
Given that the twelve participants were essentially a ZCSS staff quorum, complemented by direct stakeholders, the IDF "test" scores are certainly valid. Nevertheless, the scores might have been more accurate had ZCSS Board and administrative staff participated. The participants included seven facilitator-trainees from ZCSS Associate Member organizations, as follows:

Name	Organization	Certified as IDF Facilitator
1. Fidelis Haambote	ZCSS – Executive Director	Y
2. Wezi Nkana	ZCSS – Programme Officer	
3. Helen Chipepo	ZCSS – Programme Officer	
4. Bart Palmaers	ZCCS – VVOB	
5. Andre Irabishohoje	ZCSS – VVOB	
6. Osward Hachitema	Chainda World Vision	Y
7. Isaac Lungu	PETUZ (Teachers Union)	Y
8. Enias Jere	PAF	Y
9. Justin Musonda	Scope OVC	
10. Robert M'tonga	ZANEC	Y
11. Robert Sihubwa	Christian Alliance for Children in Zambia	
12. Joyce Kabaso	ROCS (Synod HQ)	Y

Each of the facilitator candidates had previous experience in community school programs, although their experience in facilitation and institutional development varied. Because of home office demands, only five of those invited were able to complete the full training (four and a half days, beginning 12 August). The CAP consultant distributed the agenda and draft IDF

documents and reviewed the IDF assessment process. In two days, the group customized the NGO and Network IDFs (*Appendices AI and AII*), examined how to facilitate an IDF workshop, and assigned responsibilities for the "training case" workshop with EWB from 16-17 August.

Figure 2: Breakdown of ZCSS IDF Workshop Participants



The facilitator training modeled the subsequent IDF workshops. The group reviewed, scored, and modified each IDF "row", assessing ZCSS's progress on the development continuum. They then completed an IDSC (*Appendix BI*) and IDP (*Appendix CI*) to learn how to average and chart IDF results and created a blank NGO IDCS (*Appendix BII*) and IDP (*Appendix CII*) Finally, using ZCSS's assessment, the CAP consultant demonstrated how to analyze, prioritize, and translate these results into an Institutional Improvement Plan (*Appendix DI*).

After reviewing the "weighting" of the IDF scores, based on the priority assigned to each characteristic on the IDSC, the group decided that it was unnecessary to apply the weighted score, at least during this first set of NGO assessments. Consequently, the IDSCs adapted for this application did not include weighting, although the formulas for "balanced weighting[1]" have been incorporated in the appendices for future use.

During the second phase of the facilitator training, the trainees conducted an actual IDF NGO workshop for EWB (See Figure 3 for the workshop agenda and Figure 4 for a graph of IDF

[1] The weighting formulas of both IDCSs included in the appendices allow users to weight the aspects of each IDF element with more than one row, e.g. Financial Management, which must be averaged to derive an IDP score. ZCSS modified the weighting formulas so that the weighted scores will not exceed the highest or lowest raw scores of any particular characteristic. Therefore the resulting weighted scores can be represented on the IDP.

results; a brief summary of EWB's improvement plan is provided in Figure 6). The final phase of the facilitator training was completed by mid-day 18 August, when the local facilitators analyzed and evaluated their performance, refined their understanding of facilitating the IDF tools, and discussed the eventual implementation of IDF to ZCSS members.

Figure 3: EWB IDF Workshop Agenda

TRAINING CASE – EWB IDF Workshop Agenda

August 16 & 17, 2004, Lusaka Zambia

Day One – August 16

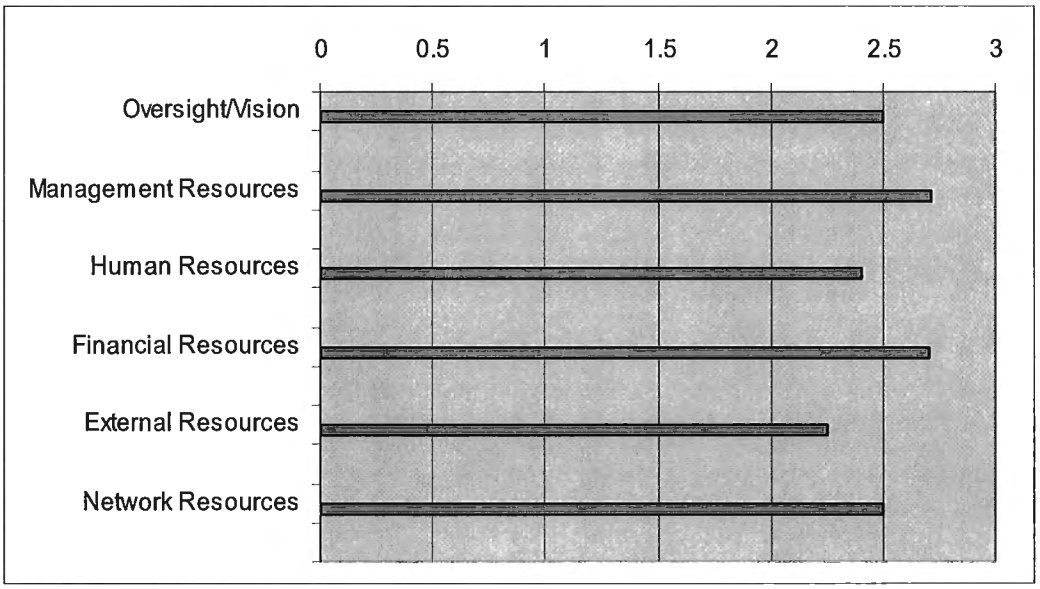
Hour *Session*

9:30 .....Opening comments and participant introductions.....Fidelis
10:00 ....Presentation of the IDF (using the PowerPoint presentation), with participant questions. Clarify desired outcomes and the assessment process .....Drew
10:30 ....Work through Oversight/Vision .....Robert M
11:00 ....Coffee break
11:30 ....Work through Management Resources (leadership style.) .....Enias
11:45 ....Continue with Management Resources (planning) .....Joyce
12:15 ....Continue with Management Resources (participatory management) .....Osward
12:45 ....Continue with Management Resources (management systems) .....Isaac
13:30 ....Lunch break
14:15 ....Continue with Management Resources (monitoring and evaluation) .....Isaac
15:10 ....Work through Human Resources.....Joyce
15:30 ....Coffee break
15:45 ....Begin work on Financial Resources.....Osward
17:00 ....Recap for Day Two – end of day.....Drew

Day Two – August 17

9:00 .....Reflections on the tool and process.....Drew
9:30 .....Complete through Financial Resources .....Osward
11:15 ....Coffee break
11:45 ....Work through External Resources .....Isaac
13:30 ...Lunch break .....IDSC & IPD printing: Drew
14:30 ....Review Institutional Development Profile and, based on final IDSC calculations, facilitate discussion of strengths and weaknesses and prioritization of needs.....Osward & Enias
15:30 ....Develop Institutional Improvement Plan (identify activities leading to desired organizational changes) .....Isaac
16:15 ....Recap major conclusions and evaluate workshop .....Fidelis
16:30 ....Coffee break and end of workshop

Figure 4: ZCSS Institutional Development Plan, Summary by Resource Area



Assessment Results

The IDF assessment judged that ZCSS had:

- Good planning capability, although long planning cycle sometimes impacts implementation; planning has a high degree of external participation.
- Adequate staff skills to meet the challenges of service delivery.
- Active membership.
- An excellent level of shared leadership. In recent years staff have assumed a high degree of responsibility, despite turnover in the Executive Director and program staff.
- A new organizational structure that will greatly improve quality control over ZCSS services to members and community schools as well as enhance autonomy in program management. The structure includes a revamped board and program coordinators placed in the provinces to supplement local MoE officials.
- Good relations with central and local governments, particularly MoE, which lately have been further standardized through the continued operationalization of the MoA with ZCSS.

Improvement Plan

After analyzing the weaker scores and studying its IDCS to identify any associations among them, ZCSS identified four priorities and specific actions:

- **New Organizational Structure**: As described above, ZCSS has outlined a new structure to expand technical management and monitoring capability by placing staff in the field. A plan was accepted at the Annual General Meeting in August 2004 but needs to be operationalized, which will include arranging funding, recruitment, training of staff, etc.

- **Continue to Implement Improved Internal Financial Controls**: Participants thought that the financial management score was somewhat inflated because ZCSS had fared very well in "audits" and "reports." However, the IDF assessment recognized that ZCSS needs to continue to give attention to financial management and effective reporting of progress; this improvement is essential to building and maintaining the confidence of donors, members, and beneficiaries. ZCSS has made specific changes to redress weaknesses in financial management – i.e. accepting an external experts' recommendation to segregate financial authorities and signatures on accounts (ZCSS has only a few staff with fiscal authority).

- **Improve Advocacy for Community Schools in Zambia**: ZCSS's Mission Statement clearly supports engagement in advocacy, but its mandate to provide services (school books, materials, teacher training) competes with advocacy initiatives. Beneficiaries tend to value most concrete service delivery, and ZCSS's ability to advance an advocacy agenda at times is restrained by its necessarily close relationship with the MoA. Prior to this assessment, ZCSS had already organized a ZCSS Associate Members meeting for mid-September to discuss the need for advocacy and to identify specific issues.

  The IDF assessment also revealed that ZCSS staff did not know who should be responsible for advocacy. Currently, technical managers hold considerable responsibility for service delivery; the responsibility for everything else falls on the already swamped Executive Director. The IDF assessment stated that future advocacy actions need to be carefully planned and more systematically monitored – including assigning specific responsibilities to specific staff.

- **Improve Data Management System to Support Monitoring of Service Delivery**: As stated by a ZCSS staff member, "The evolution of ZCSS did not anticipate the flowering of community schools". The incredibly rapid expansion of Zambia's community schools since the inception of ZCSS has surpassed its established systems to monitor the provided services. The further from Lusaka, the harder it is to determine whether program results are consistent with intended services. ZCSS has relied on district MoE personnel for managing its field operations, which will be addressed by the structural changes described above. Fortunately, the need to redesign and expand data collection and management activities was already on ZCSS's "radar screen", although the group developed an extensive action plan during the workshop (see Figure 5).

Once the trainees had completed their "trial" workshop, they immediately facilitated an IDF assessment for EWB, one of their Associate Members (see Figure 3 for Workshop Agenda). A key element of this workshop's success was the Executive Director's careful preparation prior to the CAP consultant's arrival. In addition to identifying and selecting competent facilitator candidates, he arranged for EWB to undergo an IDF assessment as a "training case" for the facilitator-trainees; EWB proved to be an enthusiastic player. They assembled eleven participants for the two-day workshop, including their full staff of four persons and seven representatives of community schools supported by the institution. Logistical support was provided by ZCSS.

Figure 5: ZCSS's action plan to redesign and expand data collection and management

Objective: Develop a school and services data management systems to serve ZCSS planning and monitoring		
Activities	*Resources needed*	*Responsible*
1. Assessment of current systems to identify gaps	NA	Tech. Staff
2. Improvement of current database	Consultant input	TBD
3. Setting up an update system for data	TBD	TBD
4. Upgrade computer systems	TBD	TBD
5. Train staff in system operations and maintenance	TBD	TBD

EWB's mission is "to educate children so they understand they are loved by God and their fellow man, precious in their community and vital to the future of the nation." EWB provides access to education for boys and girls who would not normally receive it. They equip classrooms with supplies and occasionally construct schools; they also host regular teacher training workshops and produce teacher manuals. EWB is a semi-autonomous NGO with ties to Canadian-based Education Without Boundaries (www.EducationWithoutBoundaries.org), from which they receive most of their funding. However, the Zambian office has demonstrated experience in developing local sponsorship, including projects funded locally by other international PVOs.

After ZCSS facilitators overviewed the IDF process, EWB began working through the Zambian NGO IDF. With the local facilitators, the group reviewed each IDF "row", modified it to suit their circumstances and vision for the future, and assessed their progress on the development continuum. The resulting EWB IDF is included in *Appendix AIII*. The facilitator team used the computer to record and project adaptations and scores for each row, as well as all necessary comments, in a separate IDCS (*Appendix BIII*). On the afternoon of Day Two, the results were presented graphically in an IDP (*Appendix CII*). The final EBP IDF matrix, IDCS, and IDP were distributed to participants to facilitate their determination of priority improvement areas.

The group focused on the rows of institutional capacity which the IDP indicated had not surpassed the "consolidation phase" (scores between 2 and 3). The twelve corresponding rows represented potential areas of need, which EWB prioritized along five gradations ranging from "Makes or Breaks the Organization" to "Not significant at this time". The following four priorities emerged as those areas which require immediate improvement; a few had already been anticipated, though not yet discussed among all staff members. The detailed Improvement Plan is included in *Appendix DII*; the objectives follow:

Objective 1: Establish a EWB staff performance appraisal system.
Objective 2: Improve EWB's service delivery monitoring system.
Objective 3: Establish a staff training plan.
Objective 4: Develop local resource mobilization (to reduce financial vulnerability).

The very lowest scores (Board and Leadership Style[2]) were not identified as priorities. At the workshop's outset, staff noted that reformulating their Board would be a priority improvement. EWB's Executive Director, in particular, would like to delegate some of the responsibilities for policy development, fund-raising, and advocacy. However, in the course of their self-assessment, Objective 2 (Improve EWB's service delivery monitoring system) was considerably higher in importance for immediate survival: it unified several weaknesses identified in the assessment, notably, "monitoring and evaluation" (needs to become more systematic), "service delivery" (monitoring is sometimes absent) and "giving and getting constituency feedback" (formal channels tend to be lacking). However, EWB had so far managed policy and constituency issues independently, and the immediate inception of a Board could complicate service consolidation. This is an excellent example of a case in which the lowest IDF score does not necessarily indicate the highest improvement priority.

Note that this ZCSS-sponsored IDF assessment was only one of up to sixty similar assessments that may be conducted by the ZCSS facilitators in the next few months. Once the Associate Members have completed their self-assessments and drafted their own improvement plans, the ZCSS team can assemble a combined Institutional Strengthening Plan that identifies common areas of need. This analysis may generate a request for technical assistance from CAP.

Capacity to Conduct Follow-on IDF Assessment

The CAP consultant evaluated the facilitator training process, the results of which follow. The results were exceptional. The three lower scores, for questions 4, 6 and 7, reflect some reluctance to replicate the assessment solo. The expectation is that two facilitators and a member of ZCSS's technical staff will conduct future ZCSS IDF assessments, so there should be little concern for the quality of future assessments. At the end of the session, facilitator certificates were produced and distributed to each of the facilitators present.

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool for your work?	5.00
2. How useful to you think the IDF assessments will be for strengthening Georgian NGOs?	5.00
3. How do you rate the MSI facilitator's ability to explain and communicate clearly?	5.00
4. How do you rate the MSI facilitator's knowledge of institutional strengthening?	4.67
5. How do you rate the MSI facilitator's facilitation technique and skills?	5.00
6. How clearly do you now understand NGO's institutional strengthening needs?	4.67
7. How confident are you in your ability to conduct the IDF assessment without the assistance of an MSI facilitator?	4.67
8. To what extent do you believe that using the IDF will result in institutional improvements in local NGOs?	5.00
Overall average rating of 3 respondents:	4.88

[2] EWB only had a "leadership style" score of 1 because, with no board, they averaged their staff leadership style of 2 with the board score of 0.

Next Steps

The following summarizes steps for disseminating the IDF to ZCSS Associate Members:

1. **Integrate the IDF into ZCSS Annual Work Plans**: Launching this new capacity needs to be consistent with established work plan practices and procedures. ZCSS will be begin to develop its 2005 program of activities in November 2004. Including IDF dissemination in will integrate this new capacity in the suite of services that the Secretariat offers its members and so help mitigate added costs. Logically, the IDF assessments would proceed incrementally; Associate Members will be included in the planning and hosting.

   Integrating this new service into the ZCSS Annual Work Plan is key to funding any added implementation costs. In Zambia, facilitators will expect to receive a daily honorarium, even though none is an independent consultant. Even in countries where "donor dependence mentality" is less prevalent, the cost of staff transport and lodging represents a valid added cost. In the case of ZCSS, the potential target audience of Associate Members – each needing several days of facilitation support – represents a significant added operational cost.

2. **Building Realistic Expectations:** Inevitably, assisting Associate Members in assessing their weaknesses and improvement needs risks building the expectation that ZCSS will provide (and finance) every plan. Accordingly, ZCSS will start with member NGOs who exhibit the greatest degree of initiative and can best serve as examples of self-reliance. Small network organizations (like ZCSS) lead best when they support member initiatives. The identification of cost-sharing principles in conducting the assessments and arranging for any follow-on TA for Associate Members will increase their commitment to capitalizing on their investments.

3. **ZCSS Management:** For the assessments to be effective, ZCSS staff will need to organize activities and ensure that the data is centrally maintained. Without a system of confidential record keeping, the Secretariat will not be able to ensure assessment quality, judge the effectiveness of its TA and training, or enable Associate Members to access their results when misplaced. Since ZCSS staff are already over-worked, it will take time to determine who can best shoulder this responsibility. "Shared responsibility is most often no responsibility"; therefore, ZCSS will need to consider whether the assessments can be more appropriately integrated into "M&E" or "Training and Member Development".

   ZCSS also will need to assess facilitator availability and commitment. ZCSS did well in choosing internal facilitator candidates, but, as a result, it will sometimes end up competing with its members for their staff. Without that competition, the facilitator training would have generated twice as many certified facilitators. Two recommendations follow this observation: 1) in the course of work planning, ZCSS will need to get written commitment from the respective NGOs to "contribute" the necessary staff time; and 2) ZCSS should instigate a system of training additional facilitators by identifying two or three "trainees" who would accompany the IDF facilitators in two assessments before attempting to co-facilitate workshops on their own.

4. **Ensure that Associate Members Reapply the IDF Annually or Semi-annually**: The IDF is most powerful when organizations regularly consult their results and assess their progress. Some Associate Members will be able to do this independently; others will not. If only a few complete a second assessment, they can claim "bragging rights" for their documented improvements. A few such examples will be key to disseminating the IDF.

5. **Modify the IDF Tools and Workshop Design**: The EWB workshop indicated some modifications that ZCSS and the facilitators should consider:
    a. Articulating the difference between an "assessment" and "training" in all future communications with interested Associate Members and participants. EWB was clearly confused about the workshop's purpose and desired outcomes. It would be wise to add a slide to the IDF PowerPoint presentation delineating this distinction and the potential relationship between the two.
    b. Translating the IDF into the local language. Difficulties with English obviously complicated the assessment; multi-lingual versions will make it accessible to a broader group of potential participants.
    c. Increasing the duration of the IDF workshop. Half of the participants did not consider two days adequate, but the question of duration is often a dilemma: groups would take on a longer time commitment like three days, but still conclude it was too short. Certainly the size of the group, and their level of education, are significant to determining how much time is needed for the IDF assessment.

Workshop Rating

The evaluations of the EWB IDF workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the IDF tool?	4.80
2. How useful to you was the assessment of your network's institutional capacity?	4.50
3. How do you rate the facilitator's ability to explain and communicate clearly?	4.30
4. How do you rate the facilitator's knowledge of institutional strengthening?	4.30
5. How do you rate the facilitator's facilitation technique and skills?	4.20
6. How clearly do you now understand your network's institutional strengthening needs?	4.30
7. How confident are you in your ability to repeat the IDF assessment without assistance of an outside facilitator?	3.70
8. To what extent do you believe that using the IDF will result in an institutional improvement in your organization?	4.50
Overall average rating out of 10 respondents	4.33

Nine respondents wrote comments on their evaluation forms. Five recommended that the workshop be longer, suggesting three to five days; two cited that they needed more time to understand the tool. One asked that the "document could be printed using simple language for a layman. It was quite difficult to understand the questions." Another expressed the wish that the workshop had used energizers or ice breakers. Another asked for handouts on critical issues like advocacy and M&E systems, as if the workshop had been intended to be training rather than an assessment. Finally, one simply concluded, "We need to improve in our activities"; we hope the IDF assessment helped them do so.

Appendix AI: ZCSS Institutional Development Framework (IDF)

ZCSS VERSION Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Oversight/Vision					
Aspect **Board**	**Component** Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development.	Board members' skills do not match with growing needs of organization.	Board's skills match needs of the developing organization.	Board members are catlyst for long-term development of organization.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to education.	Mission Statement exists, but is not focused. Diverse set of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with activities. However, staff are not uniformly capable of articulating the Mission Statement and people outside organization may not identify it with the organization.	Clear Mission Statement. It can be articulated by Board and staff and is consistent with activities. Outsiders identify the same mission with the organization.
Autonomy		ZCSS is the implementing agent of one donor.	ZCSS is able to respond to the Joint Steering Committee and the Board simultaneously.	ZCSS is able to obtain funding to support its program, in consultation with the Board and the Joint Steering Committee.	In addition to managerial and financial autonomy, organization is able to successfully advocate, on behalf of its consitutencies, to government, donors, and private sector.

ZCSS VERSION Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
MANAGEMENT RESOURCES					
Aspect **Leadership Style**	**Component** Board	All leadership emanates from the founding members.	Leadership comes from founding members and other Board members.	Vision increasingly comes from Board as Board members improve involvement.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by Executive Director.	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly work as a team.	Organization would continue to perform despite a change of current Executive Director or Chairperson of the Board.
Planning	Mission/ Overview	Planning is predominately ad hoc and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Executive Director, and Board driven.	The participation of staff in planning is widened with contributions to decision making.	Constituents provide information for planning but excluded in decision making.	Constituent representatives and staff contribute to planning decisions along with Exec. Dir./Board.
	Resource Implications	Objectives set without assessment of resource requirements (human & financial), nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.

ZCSS VERSION Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Executive Director with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members.	Management decisions increasingly delegated to managers/staff, as appropriate.	Management decisions systematically delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to Executive Director from the Board and little or no feedback.	Management decisions determined by the Board or Executive Director but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Communications are open and inter-hierarchical. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all necessary, personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalised, or, if formalized, not followed.	Administrative procedures increasingly formalised and followed but no operating manual exists.	Internal administrative manual in place as a document available to all in a file, but not used as an operational instrument.	Administrative manual is accessible and updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Monitoring and Evaluation	Integration into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluations are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision-making.

ZCSS VERSION Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
	Getting Constituency Feedback	No feedback from Associate Members and community schools	Informal channels for Associate Member and community school feedback	Formal mechanisms exist for Associate Members and community schools feedback but only via surveys and evaluations. Women and marginalized groups not included.	Continuous feedback and input from Associate Members and community schools where women and marginalized groups are clearly involved.
	Giving Constituency Feedback	No feedback provided to Associate Members and community schools on program performance	Informal channels exist for giving feedback to Associate Member and community school on program performance	Formal mechanisms exist providing feedback to for Associate Members and community schools on program performance. Women and marginalized groups not included	Continuous feedback and input provided to Associate Members and community schools where women and marginalized groups are clearly involved

ZCSS VERSION Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff experts are recognized for excellence and may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is *ad hoc* and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with ZCSS mission.	Professional development is considered part of overall development of ZCSS. It is supported by a ZCSS professional development plan.
Training	Little, or no, training provided.	Training is significant, but is *ad hoc* in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of ZCSS professional development plans.
Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development not yet a norm in ZCSS.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Performance appraisal system includes employees setting objective and knowing what is expected of them.

ZCSS VERSION Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Financial Resources					
Aspects **Financial Management**	**Components** Planning	*Ad hoc* operational budgets in existance – financial management is lacking	Budgets are set but are not realistic. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis. Awareness of overall annual financial condition emerges.	Financial planning is based on a multi-year "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. ZCSS managers do not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. ZCSS often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as projects become more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular and appropriate frequency.

ZCSS VERSION Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding. Total funding particially covers operational costs.	No single source provides more than 40% of funding. Total funding covers operational costs.
	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessful.	Local resource mobilization pursued on an *ad hoc*, basis.	Local resource mobilization strategy is operational.	Local resource mobilization strategy is operational. 10% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is available to cover project activities, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.

ZCSS VERSION Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
EXTERNAL RESOURCES					
Aspect **Public Relations**	**Component** Public Recognition	ZCSS little known outside the range of its donors and direct beneficiaries.	ZCSS is known in its own community, but does little to promote its activities to general public and key decision-makers.	ZCSS has contact with key decision makers and has developed some lines of communication with public.	ZCSS and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	ZCSS makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	ZCSS begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	ZCSS able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	ZCSS uses its established media relationships for frequent and effective public communication. A media strategy exists and attempts are made, through social marketing and other means, to both make the organization known and to foster a broader public awareness in support of its Mission.
Aspect **Advocacy**	**Component** Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.

ZCSS VERSION		CRITERIA FOR EACH PROGRESSIVE STAGE			
Resources		Founding	Developing	Expanding/ Consolidating	Sustaining
	Use of Research and Information	ZCSS does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	ZCSS opportunistically produces and disseminates information to educate and advocate on behalf of constituents, and is aware of the impact or reception of such information. At this point number of advocacy issues is limited to one.	ZCSS systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	ZCSS has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials on advocacy issues. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	ZCSS does not utilize constituents in planning or executing advocacy campaigns.	ZCSS contacts one or more constituencies in setting priorities and executing advocacy plans, as seems appropriate.	ZCSS systematically engages all appropriate constituencies in setting advocacy priorities and in executing advocacy plans, including technical analysis. ZCSS able to mobilize constituencies for advocacy campaigns and is responsive to their advocacy priorities.	ZCSS has helped constituents to organize themselves and mobilize others, which they now do without the assistance of ZCSS.
Ability to work with government		Relations are friendly. Collaboration is frequent, usually on informal level.	Collaboration is becoming formalized through MOU. Relations are productive, but still not as equal partners, i.e., ZCSS not involved in planning and monitoring	Formal and informal mechanisms exist for collaboration and are often used. Inclusion of ZCSS in planning and monitoring	Relations have reached level of partnership. Partnership follow-though on their mutual agreements.

ZCSS VERSION Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
NETWORK RESOURCES				
Constituency Orientation	ZCSS operates in centralized manner with little connection to Associate Member and community schools	ZCSS serves Associate Member and community schools based on assessments, but without their active involvement.	Constituency input sought for key decisions. ZCSS and its efforts viewed by Associate Members and community schools as service provided to them.	Associate Member and community schools interests are integrated into ZCSS's policies and practices.
Cooperative Planning and Implementation	ZCSS involves its Associate Members and community schools only as recipients of the ZCSS's program.	ZCSS draws on its Associate Member and community schools leaders for advice and mobilization of their constituencies.	Associate Members and community schools participate in ZCSS planning, implementation and evaluation events.	Associate Members and community schools contribute cash, material, labour, and management to create and maintain project results.
Service Delivery	Service delivery to ZCSS Associate Members and community schools is supply-driven, often responding to the specifications of donors.	Type, quantity and quality of services delivered to its Associate Members and community schools are at the initiative of ZCSS. Little monitoring of service quality is undertaken. Beneficiary input into product design or quality review is *ad hoc*, if at all.	ZCSS makes consistent effort to obtain beneficiary input into determining the appropriate type, quantity and quality of services. Associate Member and community school attitudes and perceptions are accessed to provide feedback into how to improve services.	ZCSS is committed to ongoing process of continuous quality improvement of services provided to beneficiaries. Services are tailored in response to articulated beneficiary preferences and quality is continually monitored through beneficiary feedback. Service delivery improvements are made based on this data.
Active Membership	ZCSS is a "membership" coordinating organisation, but has few members enrolled, relative to the number in its potential target group, given its mission. Of those enrolled, few are active.	ZCSS has a reasonable number of members enrolled (relative to their target group). However, fewer than half are current in fees payment, most are not active participants in organizational matters, and many do not identify with the organization and its mission. A quorum is always obtained for Annual General Meetings.	More than half of members are current in fees payments and increasingly identify with the organization and its mission. They increasingly avail themselves of services provided by ZCSS, but rarely contribute time or energy to maintenance and promotion of the organization.	Most members are current in dues payments, are active in organizational issues, identify strongly with ZCSS 's mission. In addition to availing themselves of services of ZCSS (such as training) a significant number of members provide real thrust to the organization.

Appendix AII: Zambia NGO Institutional Development Framework (IDF)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Oversight/Vision					
Aspect	**Component**				
Board	Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness.	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support organization with lobbying and linking with other organizations.
	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development.	Board members' skills do not match with growing needs of organization.	Board's skills match needs of the developing organization.	Board members are catlyst for long-term development of organization.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to education.	Mission Statement exists, but is not focused. Diverse set of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with activities. However, staff are not uniformly capable of articulating the Mission Statement and people outside organization may not identify it with the organization.	Clear Mission Statement. It can be articulated by Board and staff and is consistent with activities. Outsiders identify the same mission with the organization.
Autonomy		Organization is the implementing agent of one donor.	Organization is able to respond to more than one donor and the organization's Board.	Organization is able to obtain funding to support <u>its</u> program, in consultation with the Board.	In addition to managerial and financial autonomy, organization is able to successfully advocate, on behalf of its consitutency(ies), to government, donors, and private sector.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Management Resources					
Aspect	**Component**				
Leadership Style	Board	All leadership emanates from the founding members.	Leadership comes from founding members and one or two Board members.	Vision increasingly comes from Board as Board members improve involvement.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by Executive Director.	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to organization. Staff and Executive Director increasingly work as a team	Organization would continue to perform despite a change of current Executive Director or Chairperson of the Board.
Planning	Mission/ Overview	Planning is predominately ad hoc and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Executive Director, and Board driven.	The participation of staff in planning is widened with contributions to decision making.	Constituents provide information for planning but excluded in decision making.	Constituent representatives and staff contribute to planning decisions along with Exec. Dir./Board.
	Resource Implications	Objectives set without assessment of resource requirements (human & financial), nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Participatory Management	Appropriate Delegation	Decisions handed down to organization from Executive Director with little or no feedback.	Most management decisions taken by Executive Director and Board. Some input from one or two staff members.	Management decisions increasingly delegated to managers/staff, as appropriate.	Management decisions systematically delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to Executive Director from the Board and little or no feedback.	Management decisions determined by the Board or Executive Director but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Communications are open and inter-hierarchical. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all necessary, personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalised, or, if formalized, not followed.	Administrative procedures increasingly formalised and followed but no operating manual exists.	Internal administrative manual in place as a document available to all in a file, but not used as an operational instrument.	Administrative manual is accessible and updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Service Delivery		Service delivery to NGO's target community or schools is supply-driven, often responding to the specifications of donors.	Type, quantity and quality of services delivered to its communities or schools are at the initiative of the NGO. Little monitoring of service quality is undertaken. Customer input into product design or quality review is ad hoc, if at all.	NGO makes consistent effort to obtain beneficiary input into determining the appropriate type, quantity and quality of services. Beneficiary attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	NGO is committed to ongoing process of continuous quality improvement of services provided to beneficiaries. Services are tailored in response to articulated beneficiary preferences and quality is continually monitored through beneficiary feedback. Service delivery improvements are made based on this data.
Community Participation		Associate Member considers its constituency only as recipients of the community school program.	Associate Member draws on its community leaders for advice and mobilization of the community members.	Community members participate in planning, implementation and evaluation of Associate Member programs.	Community contributes cash, material, labour, and management to create and maintain project results.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Monitoring and Evaluation	Integration into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluations are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision-making.
	Getting Constituency Feedback	No feedback from beneficairies	Informal channels for beneficairy feedback.	Formal mechanisms exist for beneficairy feedback but only via surveys and evaluations. Women and marginalized groups not included.	Continuous feedback and input from beneficairy where women and marginalized groups are clearly involved.
	Getting Constituency Feedback	No feedback from beneficairies	Informal channels for beneficairy feedback.	Formal mechanisms exist for beneficairy feedback but only via surveys and evaluations. Women and marginalized groups not included.	Continuous feedback and input from beneficairy where women and marginalized groups are clearly involved.

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence and may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is ad hoc and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with NGO mission.	Professional development is considered part of overall development of NGO. It is supported by individual career development plans.
Training	Little, or no, training provided.	Training is significant, but is ad hoc in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development not yet a norm in the organization.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Performance appraisal system includes employees setting objective and knowing what is expected of them

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Financial Resources					
Aspects **Financial Management**	**Components** Planning	Ad hoc operational budgets in existance – financial management is lacking	Budgets are set but are not realistic. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis. Awareness of overall annual financial condition emerges.	Financial planning is based on a multi-year "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as projects become more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.
	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessful.	Local resource mobilization pursued on an ad hoc, basis.	Local resource mobilization strategy is operational	Local resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is available to cover project activities, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
EXTERNAL RESOURCES					
Aspect	**Component**				
Public Relations	Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Organization begins to seek out media exposure. Usually based on publicising specific compartmentalised project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists and attempts are made, through social marketing and other means, to both make the organization known and to foster a broader public awareness in support of its Mission.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Aspect	**Component**				
Advocacy	Strategic Approach	Advocacy is not pursued by the organization.	Advocacy occurs, but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic. Organization applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and constituency power/interests are used on selected issues, but may not be reveiwed based on experience.	Organization holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and constituent issues. Organization uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	Organization does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	Organization opportunistically produces and disseminates information to educate and advocate on behalf of constituents, and is aware of the impact or reception of such information. At this point number of advocacy issues is limited to one.	Organization systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	Organization has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials on advocacy issues. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing Constituents	Organization does not utilize constituents in planning or executing advocacy campaigns.	Organization contacts one or more constituencies in setting priorities and executing advocacy plans, as seems appropriate.	Organization systematically engages all appropriate constituencies in setting advocacy priorities and in executing advocacy plans, including technical analysis. Organization able to mobilize constituencies for advocacy campaigns and is responsive to their advocacy priorities.	Organization has helped constituents to organize themselves and mobilize others, which they now do without the assistance of the organization.
Constituency Orientation		Organization operates in centralized manner with little connection to consituency.	Organization serves constituency based on perceptions/assessment, but without active constituency involvement.	Constituency input sought for key decisions. Organization and its efforts viewed by constituency as service provided to constituency.	Constituency interests integrated into organization's policies and practices.

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Ability to work with central and local government	Viewed as "us" versus "them". Little regular communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners.
Ability to work with other NGOs.	Organization does not have experience working with other NGOs. Not known or trusted by NGO community.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements only.	Organization works with international or local NGOs, and participates in NGO networks and coalitions. Networks and coalitions are based on constituency needs.	Organization plays leadership role in promoting NGO coalitions based on constituencies' interests. Capable of helping to resolve NGO-NGO or NGO Govt conflict and of affecting policy on behalf of constituency

Appendix AIII: EWB Institutional Development Framework (IDF)

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Oversight/Vision					
Aspect	**Component**				
Board	Active Board	Board is formally constituted, but not yet an active force.	Board becoming active. One or two members contribute and/or pursue resources.	Some momentum on Board. Committees have been formed, but still – overall – few members are active. Moderate resource levels raised by Board.	Significant resources raised by Board. Most members of Board play are sufficiently active.
	Board's Role	Roles of Board members and the relationship of Board members to the Executive Director are unclear.	Board members understand their role and how to relate to Executive Director. But, interpersonal or organizational constraints may reduce effectiveness	Board members work in close cooperation with Executive Director and Board members formulate policies and strategic plan for development.	Board Members support EWB with lobbying and linking with other organizations.
	Members Advance Organization	Board selected based on initial enthusiasm of founding of EWB, not necessarily on its long-term development.	Board members' skills do not match with growing needs of EWB.	Board's skills match needs of the developing EWB.	Board members are catlyst for long-term development of EWB.
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to education.	Mission Statement exists, but is not focused. Diverse set of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with activities. However, staff are not uniformly capable of articulating the Mission Statement and people outside EWB may not identify it with EWB.	Clear Mission Statement. It can be articulated by staff and is consistent with activities. Outsiders identify the same mission with the EWB.
Autonomy		EWB is the implementing agent of one donor.	EWB is able to respond to more than one donor.	EWB is able to obtain funding to support <u>its</u> program	In addition to managerial and financial autonomy, EWB is able to successfully advocate, on behalf of its consitutencies, to government, donors, and private sector.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Management Resources					
Aspect	**Component**				
Leadership Style	Board	All leadership emanates from the EWB Executive Director.	Leadership comes from the Executive Director and one or two Board members.	Vision increasingly comes from Board as Board members improve involvement.	Virtually all Board members contribute to leadership and development of the organization.
	Staff Teamwork	Staff provide technical input only. Decisions taken by Executive Director.	One or two staff provide organizational impetus, in addition to Executive Director.	Staff increasingly provide vital drive to EWB. Staff and Executive Director increasingly work as a team.	EWB would continue to perform despite a change of current Executive Director or Chairperson of the Board.
Planning	Mission/ Overview	Planning is predominately ad hoc and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, Executive Director driven.	The participation of staff in planning is widened with contributions to decision making.	Constituents provide information for planning but excluded in decision making.	Constituent representatives and staff contribute to planning decisions along with Executive Director and Board.
	Resource Implications	Objectives set without assessment of resource requirements (human & financial), nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	EWB does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff.	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from	Most management decisions taken by Executive Director. Some input	Management decisions increasingly delegated to	Management decisions systematically delegated to

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
		Executive Director with little or no feedback.	from one or two staff members.	managers / staff / board, as appropriate.	appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to Executive Director from the Board and little or no feedback.	Management decisions determined by the Executive Director but other staff not included in process.	Decision-making is increasingly operationalised to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Communication Flow	Intra-staff communications mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Communications are open and inter-hierarchical. Formal and informal channels established and utilized.	EWB periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all necessary, personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalised, or, if formalized, not followed.	Administrative procedures increasingly formalised and followed but no operating manual exists.	Internal administrative manual in place as a document available to all in a file, but not used as an operational instrument.	Administrative manual is accessible and updated, as needed. Considered an operational instrument. People quote it or use it when discussing procedures.
Service Delivery		Service delivery to target community schools is supply-driven, often responding to the specifications of donors.	Type, quantity and quality of services delivered to its community schools are at the initiative of EWB. Little monitoring of service quality is undertaken. Community school input into service delivery or quality review is ad hoc, if at all.	EWB makes consistent effort to obtain beneficiary input into determining the appropriate type, quantity and quality of services. Beneficiary attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	EWB is committed to ongoing process of continuous quality improvement of services provided to beneficiaries. Services are tailored in response to articulated beneficiary preferences and quality is continually monitored through beneficiary feedback. Service delivery improvements

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
					are made based on this data.
Community Participation		EWB considers its constituency only as recipients of the community school program.	EWB draws on its Parent Community School Committee and staff for advice and mobilization of the community members.	Parent Community School Committee participates in planning, implementation and evaluation of EWB programs.	Community contributes cash, material, labour, and management to create and maintain project results.
Monitoring and Evaluation	Integration into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluations are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; M&E still isolated management function	Ongoing M&E system functioning and data analysis are integrated into decision-making.
	Getting community Feedback	No feedback from beneficairies	Informal channels for beneficairy feedback.	Formal mechanisms exist for beneficairy feedback but only via surveys and evaluations. Women and marginalized groups not included.	Continuous feedback and input from beneficairy where women and marginalized groups are clearly involved.
	Giving community Feedback	No feedback provided to Parent Community School Committee on program performance	Informal channels exist for giving feedback to Parent Community School Committee on program performance	Formal mechanisms exist providing feedback to for Parent Community School Committee on program performance.	Continuous feedback and input provided to Parent Community School Committee where women and marginalized groups are clearly involved

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/ Consolidating	Sustaining
Human Resources				
Skills	Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for key skills areas, such as accounting and fundraising. Some gaps remain.	All key skills areas are covered with staff and external experts offers help to other organisations	All skills areas are covered and staff/external experts are recognized for excellence and may even provide expertise and assistance to outside organizations.
Strategy	Human resource development is ad hoc and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with EWB mission.	Professional development is considered part of overall development of EWB. It is supported by individual career development plans.
Training	Little, or no, training provided.	Training is significant, but is ad hoc in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring	Little or no coaching or counselling, provided.	Some coaching and counselling provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development not yet a norm in the organization.	Internal professional support considered important part of each staff person's job.
Motivation	Little or no recognition of employee performance. Staff "burn-out" is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Performance appraisal system includes employees setting objectives and knowing what is expected of them

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Financial Resources					
Aspects	**Components**				
Financial Management	Planning	Ad hoc operational budgets in existance – financial management is lacking	Budgets are set but are not realistic. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis. Awareness of overall annual financial condition emerges.	Financial planning is based on a multi-year "master" organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal financial controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as projects become more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the targeted communities.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.
	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing. All funds are separated, but occassional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 85% or more from one source.	No single source of funding provides more than 75% of funding.	No single source provides more than 55% of funding.
	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessful.	Local resource mobilization pursued on an ad hoc basis.	Local resource mobilization strategy is operational	Local resource mobilization strategy is operational. 25% of annual expenditures generated from local resources.
Financial Viablity		Project funding is inadequate to cover immediate project activities and is dependent on local opportunities.	Funding is available to cover project activities, consistent with the Mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with Mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
External Resources					
Aspect	**Component**				
Public Relations	Public Recognition	EWB little known outside the range of its donors and direct beneficiaries.	EWB is known in its own community, but does little to promote its activities to general public and key decision-makers (MOE).	EWB has contact with key decision makers and has developed some lines of communication with public.	EWB and its work is well known to public and policy makers. Able to engage the decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.
	Media Strategy	EWB makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	EWB begins to seek out media exposure. Usually based on publicising specific compartmentalised project events.	EWB able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	EWB uses its established media relationships for frequent and effective public communication. A media strategy exists and attempts are made, through social marketing and other means, to both make the organization known and to foster a broader public awareness in support of its Mission.

Resources		Criteria For Each Progressive Stage			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Aspect	**Component**				
Advocacy	Strategic Approach	Advocacy is not pursued by the EWB.	Advocacy occurs, but is opportunistic and sporadic. It is coordinated but not yet strategic.	Advocacy becomes strategic. EWB applies stakeholder analysis and power environment analysis to help in developing issue-specific advocacy strategies. Formal advocacy plans – which take into account political space, stakeholder interests – and Communities power/interests are used on selected issues, but may not be reveiwed based on experience.	EWB holds regular advocacy strategic planning sessions, which include on-going re-assessment of its advocacy, mission and goals and which incorporate understanding of relevant stakeholder, power, and Communities issues. EWB uses its plan to guide its actions through the use of advocacy work plans.
	Use of Research and Information	EWB does not proactively produce information for public consumption in advocacy campaigns, other than responding to specific inquiries.	EWB opportunistically produces and disseminates information to educate and advocate on behalf of Communities, and is aware of the impact or reception of such information.	EWB systematically integrates information dissemination into its advocacy campaigns. Quality of information disseminated is perceived as first rate.	EWB has established itself as a credible information source on issues within its area of interest. It has a reputation among outsiders who actively seek the organization's information materials on advocacy issues. Information dissemination is fully integrated into advocacy strategic and work plans.
	Mobilizing consituency.	EWB does not utilize consituencies in planning or executing advocacy campaigns.	EWB contacts one or more consituencies in setting priorities and executing advocacy plans, as seems appropriate.	EWB systematically engages all appropriate consituencies in setting advocacy priorities and in executing advocacy plans, including technical analysis. EWB able to mobilize consituencies for advocacy campaigns and is responsive to their advocacy priorities.	EWB has helped consituencies to organize themselves and mobilize others, which they now do without the assistance of the organization.
Constituency Orientation		EWB operates in centralized manner with little connection to consituency.	EWB serves constituency based on perceptions/assessment, but without active constituency involvement.	Constituency input sought for key decisions. EWB and its efforts viewed by constituency as service provided to constituency.	Constituency interests integrated into EWB's policies and practices.
Ability to work with central and local government		Viewed as "us" versus "them". Little regular	Relations are friendly. Collaboration occasionally occurs	Collaboration is frequent, usually on informal level. Relations are	Formal and informal mechanisms exist for

Resources	Criteria For Each Progressive Stage			
	Founding	Developing	Expanding/ Consolidating	Sustaining
	communication. Tension is frequent between government and organization.	on specific tasks and projects.	friendly, but still not as equal partners.	collaboration and are often used. Relations are as equal partners.
Ability to work with other NGOs.	EWB does not have experience working with other NGOs. Not known or trusted by NGO community.	EWB increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements only.	EWB plays leadership role to promote NGO coalitions and networks.	EWB works with international or local NGOs, and participates in NGO networks and coalitions. Networks and coalitions are based on constituency needs.

Appendix BI: ZCSS Institutional Development Calculation Sheet (IDCS)

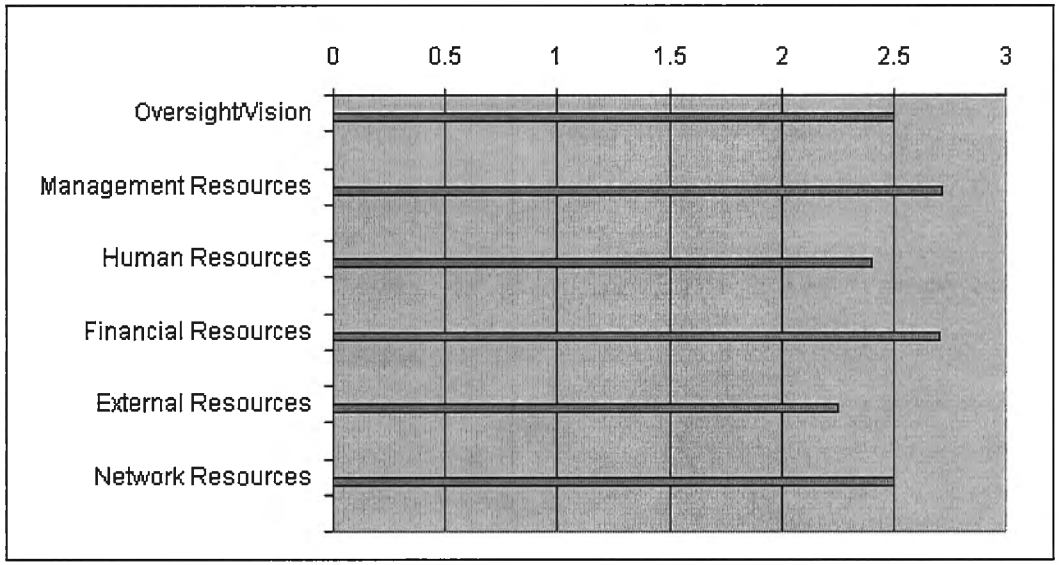
		Aug-04			INSERT DATE			
Resource Aspect	**Key Components**	Raw Score	Weight	Adj. Score	Raw Score	Adj. Score	Change Over Time	**Comments**
Board	Board's Role	1.00	1	1.00	0.00	0.00	-100%	Fundamental lack of clarify of the roles between Board and Exec. Dir. ZCSS in the process of reformulating the board. Skills level among board members vary - some members dominate.
	Active Board	3.00	1	3.00	0.00	0.00	-300%	Many members are active but in their own direction. Reduced # of committees and these taskforces are working.
	Members Advance Org.	2.00	1	2.00	0.00	0.00	-200%	Looking for new Board members with expertise in: policy formulation (a lawyer?), resource mobilization, monitoring skills and organizational development
		2.00	**1.00**	**2.00**	**0.00**	**0.00**	-200%	
Mission		3.00	NA	3.00		0.00	-300%	Issue of difference between ZCSS's contribution and GRZ/MOE not always understood by constituency
		3.00		**3.00**	**0.00**	**0.00**	-300%	
Autonomy	Autonomy	2.50	NA	2.50		0.00	-250%	ZCSS has programmatic autonomy but limited by the financial decision-makers whom are not the Board - so its program development in limited
		2.50		**2.50**	**0.00**	**0.00**	-250%	
Leadership Style	Board	3.00	1	3.00		0.00	-300%	Board membership is still being revised to increase active participation
	Staff Teamwork	4.00	1	4.00		0.00	-400%	Staff have grown to develop high degree of shared leadership and responsibility even in the light of staff turnover.
		3.50	**1.00**	**3.50**	**0.00**	**0.00**	-350%	
Planning	Mission/Overview	4.00	1	4.00		0.00	-400%	Technical quality and development of the plans are items of consideration.
	Participation	3.00	1	3.00		0.00	-300%	With the implementation of current structures
	Resource Implications	2.00	1	2.00		0.00	-200%	Certain planned objectives (MOU, teacher pay) have not realistically considered external factors. Planning cycle is so long such that implementation time is impacted.
	Work Plan as Tool	3.00	1	3.00		0.00	-300%	Workplans are still too static
		3.00	1	**3.00**	**0.00**	**0.00**	-300%	
Participatory Management	Appropriate Delegation	3.00	1	3.00		0.00	-300%	Delegation to the appropriate level but not yet sustainable
	Transparent Decision-	2.50	1	2.50		0.00	-250%	Decisions where the Board has particular interest in less

	making							participatory and routine, operational decision are very transparent
	Communication Flow	3.00	1	3.00		0.00	-300%	Need to formalize some of the communication flow, I.e, distribution of management meeting notes
		2.83	1	**2.83**	**0.00**	**0.00**	-283%	
Management Systems	Personnel Systems	3.00	1	3.00		0.00	-300%	Recruitment now follows formal procedures. Have job descriptions and conditions of service - still need implementation
	File Systems	2.00	1	2.00		0.00	-200%	Database exists, Manual file system is not maintained.
	Administrative Procedures	2.50	1	2.50		0.00	-250%	Conditions of service not an operational instrument. Not all admin procedures are documented
		2.50	1	**2.50**	**0.00**	**0.00**	-250%	
M&E Systems	Integration into Decisions	2.50	1	2.50		0.00	-250%	Don't always use evaluation data for decision-making
	Getting Constituency Feedback	3.00	1	3.00		0.00	-300%	Formal systems in place; could be more systematic
	Giving Constituency Feedback	2.50	1	2.50		0.00	-250%	Not regular and mostly in Lusaka
		2.67	1	**2.67**	**0.00**	**0.00**	-267%	
Human Resources	Skills	3.00	1	3.00		0.00	-300%	No important skill gaps present
	Strategy	2.00	1	2.00		0.00	-200%	Training supports general but no formal plan
	Training	2.00	1	2.00		0.00	-200%	Ad hoc - Senior managers have had some training
	Mentoring	3.00	1	3.00		0.00	-300%	Not yet a norm
	Motivation	2.00	1	2.00		0.00	-200%	Formal appraisal system is in the works
		2.40	1	**2.40**	**0.00**	**0.00**	-240%	
Financial Management	Planning	2.50	1	2.50		0.00	-250%	Budget not always realistic - are moving to integrate operational and activity budgets
	Control	2.00	1	2.00		0.00	-200%	Need to implement segregation of duties and signing authorities
	Reporting	3.00	1	3.00		0.00	-300%	OK
	Audits	4.00	1	4.00		0.00	-400%	Great
		2.88	1	2.88		0.00	-288%	
Financial Vulnerability	Funding Diversity	2.50	1	2.50		0.00	-250%	Good on covering operational cost, poorer on diversity of sources, need to look at sustainability
	Local Resource Mobilization	2.00	1	2.00		0.00	-200%	Not sure what percentage target should be at level 4
		2.25	1	**2.25**	**0.00**	**0.00**	-225%	
Financial Viability	Financial viability	3.00	NA	3.00		0.00	-3	Heading to longer term strategy

		3.00		**3.00**	**0.00**	**0.00**	-300%	
Public Relations	Public Recognition	3.00	1	3.00		0.00	-300%	Although there are still some doubts about ZSCC's capacity. Could be better know at community level
	Media Strategy	2.50	1	2.50		0.00	-250%	Only activity related - not strategic
		2.75	1	**2.75**	**0.00**	**0.00**	-275%	
Advocacy	Strategic Approach	2.00	1	2.00		0.00	-200%	Sporadic and not coordinated with Associate Members
	Use of Research/Info	1.00	1	1.00		0.00	-100%	Is in the learning process
	Mobilizing Constituents	1.50	1	1.50		0.00	-150%	Associate members not included in advocacy planning - meeting planned to lay out advocacy policy and strategy
		1.50	1	**1.50**	**0.00**	**0.00**	-150%	
Ability to work with central and local gov't		2.50	NA	2.50		0.00	-3	Implementation of MOU will help
		2.50		**2.50**	**0.00**	**0.00**	-250%	
Constituency Orientation		2.50	NA	2.50		0.00	-3	Works well in Lusaka, less well in the provinces
		2.50		**2.50**	**0.00**	**0.00**	-250%	
Cooperative Planning and Implementation		2.50	NA	2.50		0.00	-3	Comm. School contribution is very high (level 4) but participation in planning, implementation and evaluation needs to be more systematic
		2.50		**2.50**	**0.00**	**0.00**	-250%	
Service Delivery		2.00	NA	2.00		0.00	-2	Worse case = Occasionally accept to dump services in response to donor imperatives (level 1). Best case = Good needs assessment and design with some feedback (level 3)
		2.00		**2.00**	**0.00**	**0.00**	-200%	
Active Membership		3.00	NA	3.00		0.00	-3	Identification with ZCSS is increasing
Total Placement		**3.00**		**3.00**	**0.00**	**0.00**	-300%	
		43.28		**43.28**	**0.00**	**0.00**	**-43.28**	
Average Placement		2.27763			0		2.2776316	

Summary of Average Placement Change, by Resource

Oversight/Vision	2.50	0.00
Management Resources	2.71	0.00
Human Resources	2.40	0.00
Financial Resources	2.71	0.00
External Resources	2.25	0.00
Network Resources	2.50	0.00



Appendix BII: ZCSS NGO Institutional Development Calculation Sheet (IDCS)

Organization: _____ **Date:** _____

		INSERT DATE ONE			INSERT DATE			
Resource Aspect	**Key Components**	Raw Score	Weight	Adj. Score	Raw Score	Adj. Score	Change Over Time	**Comments**
Board	Board's Role		1	0.00		0.00	0%	
	Active Board		1	0.00		0.00	0%	
	Members Advance Org.		1	0.00		0.00	0%	
		0.00	1	**0.00**	**0.00**	**0.00**	0%	
Mission			NA	0.00		0.00	0	
		0.00		**0.00**	**0.00**	**0.00**	0%	
Autonomy			NA	0.00		0.00	0	
		0.00		**0.00**	**0.00**	**0.00**	0%	
Leadership Style	Board		1	0.00		0.00	0%	
	Staff Teamwork		1	0.00		0.00	0%	
		0.00	**1.00**	**0.00**	**0.00**	**0.00**	0%	
Planning	Mission/Overview		1	0.00		0.00	0%	
	Participation		1	0.00		0.00	0%	
	Resource Implications		1	0.00		0.00	0%	
	Work Plan as Tool		1	0.00		0.00	0%	
		0.00	1	**0.00**	**0.00**	**0.00**	0%	
Participatory Management	Appropriate Delegation		1	0.00		0.00	0%	
	Transparent Decision-making		1	0.00		0.00	0%	
	Staff Participation		1	0.00		0.00	0%	
	Communication Flow		1	0.00		0.00	0%	
		0.00	1	**0.00**	**0.00**	**0.00**	0%	

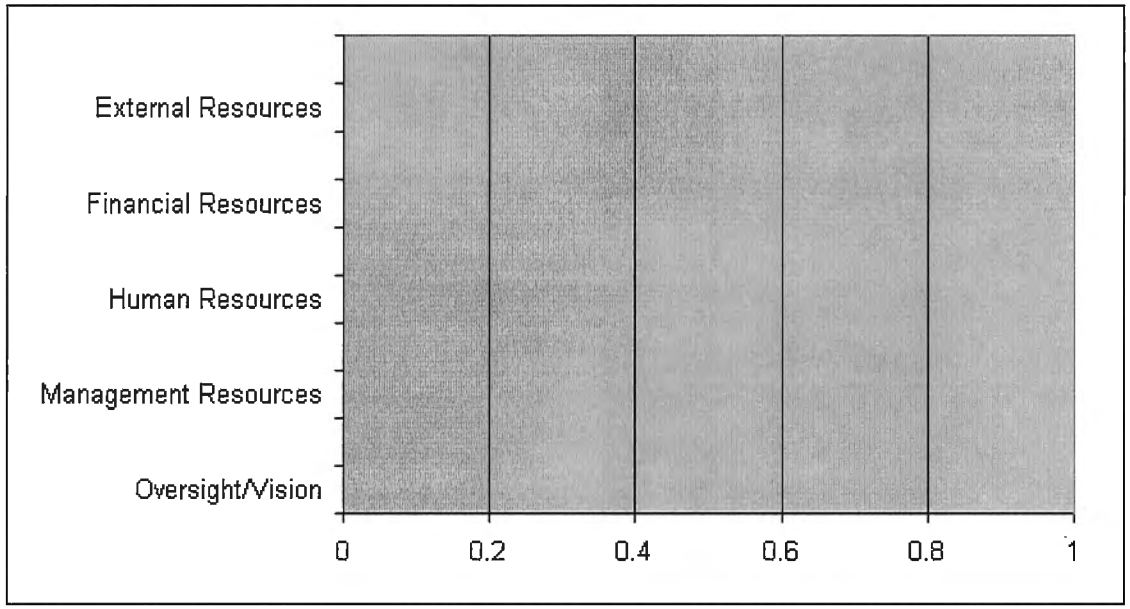
Management Systems	Personnel Systems		1	0.00		0.00	0%	
	File Systems		1	0.00		0.00	0%	
	Administrative Procedures		1	0.00		0.00	0%	
		0.00	1	**0.00**	**0.00**	**0.00**	0%	
Service Delivery			NA	0.00		0.00	0	
		0.00		**0.00**	**0.00**	**0.00**	0%	
Constituent Participation			NA	0.00		0.00	0	
		0.00		**0.00**	**0.00**	**0.00**	0%	
M&E Systems	Integration into Decisions		1	0.00		0.00	0%	
	Getting Constituency Feedback		1	0.00		0.00	0%	
	Giving Constituency Feedback		1	0.00		0.00	0%	
		0.00	1	**0.00**	**0.00**	**0.00**	0%	
Human Resources	Skills		1	0.00		0.00	0%	
	Strategy		1	0.00		0.00	0%	
	Training		1	0.00		0.00	0%	
	Mentoring		1	0.00		0.00	0%	
	Motivation		1	0.00		0.00	0%	
		0.00	1	**0.00**	**0.00**	**0.00**	0%	
Financial Management	Planning		1	0.00		0.00	0%	
	Control		1	0.00		0.00	0%	
	Reporting		1	0.00		0.00	0%	
	Audits		1	0.00		0.00	0%	
	Separation of Accounts		1	0.00		0.00	0%	
		0.00	1	**0.00**	**0.00**	**0.00**	0%	
Financial Vulnerability	Funding Diversity		1	0.00		0.00	0%	
	Local Resource Mobilization		1	0.00		0.00	0%	

		0.00	1	**0.00**	**0.00**	**0.00**	0%	
Financial Viability			NA	0.00		0.00	0	
		0.00		**0.00**	**0.00**	**0.00**	0%	
Public Relations	Public Recognition		1	0.00		0.00	0%	
	Media Strategy		1	0.00		0.00	0%	
		0.00	1	**0.00**	**0.00**	**0.00**	0%	
Advocacy	Strategic Approach		1	0.00		0.00	0%	
	Use of Research/Info		1	0.00		0.00	0%	
	Mobilizing Constituents		10	0.00		0.00	0%	
		0.00	4	**0.00**	**0.00**	**0.00**	0%	
Constituency Orientation			NA	0.00		0.00	0	
		0.00		**0.00**	**0.00**	**0.00**	0%	
Ability to work with central and local gov't			NA	0.00		0.00	0	
		0.00		**0.00**	**0.00**	**0.00**	0%	
Ability to work with other NGOs			NA	0.00		0.00	0	
		0.00		**0.00**	**0.00**	**0.00**	0%	
Total Placement		**0.00**		**0.00**	**0.00**	**0.00**	0%	

Average Placement	0	0	0	0	0%

Summary of Average Placement Change, by Resource

Oversight/Vision	0.00	0.00
Management Resources	0.00	0.00
Human Resources	0.00	0.00
Financial Resources	0.00	0.00
External Resources	0.00	0.00



Appendix BIII: EWB Institutional Development Calculation Sheet (IDCS)

Resource Aspect	Key Components	Raw Score	Comments
Board	Active Board	0.00	Role of board member is lobby for EWB and link up other organizations, e.g. banks, churches
	Board's Role	0.00	Desire to form a Board. Have idea of candidates. Looking for a maximum of five members. ED will be ex-officio member of board.
	Members Advance Org.	0.00	Needed board member skills are: lawyer
		0.00	
Mission		4.00	Through workshops staff has developed clear vision of EWB's mission. The work of teachers has effectively spread the word about EWB. Are known for our system of supplying books & materials.
		4.00	
Autonomy	Autonomy	3.00	Has been successful in obtaining funding due to individual sponsors & ZCSS. Sponsorship program is working well. HQ in Canada coordinates the fund-raising.
		3.00	
Leadership Style	Board	0.00	New board not formed yet. Will be 100% Zambian
	Staff Teamwork	2.00	Leadership is centralized in a few people.
		1.00	
Planning	Mission/Overview	2.00	Planning is short-term (6 months). Not developed a strategic plan as of yet
	Participation	3.00	EWB works with community representatives in Comm. Schools and they do the work-planning. Teachers make requests for assistance. EWB make the final decision of activities.
	Resource Implications	3.00	Short-term plans are reviewed. No long-term plan yet.
	Work Plan as Tool	4.00	Very good
		3.00	
Participatory Management	Appropriate Delegation	2.00	Will need to delegate fund-raising to board.
	Transparent Decision-making	3.00	OK - some decision making is shared
	Communication Flow	3.00	EWB doesn't review communication channels as such but on a individual basis
		2.67	
Management Systems	Personnel Systems	4.00	Formal systems exist. Decisions are based on right procedures of employing staff
	File Systems	3.00	Gaps exist in the filing system.
	Administrative Procedures	2.00	No operating manual exist

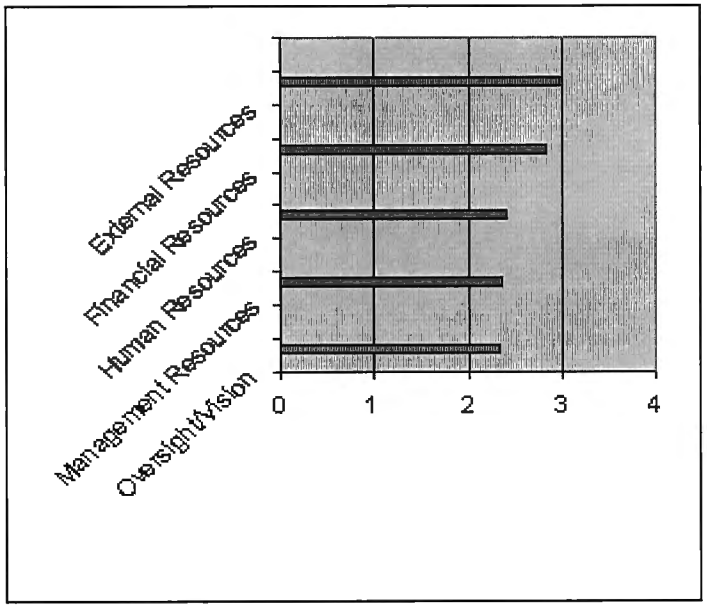
		3.00	
Service Delivery	Service Delivery	2.00	Type of service initiated by EWB. Sometimes monitoring of service not done.
		2.00	
Constituent Participation	Constituent Participation	2.00	The community does not participate in the evaluation. EWB needs to improve on community participation in evaluation
		2.00	
M&E Systems	Integration into Decisions	2.50	Occasionally done by outsiders and staff. Need to be systematic
	Getting Constituency Feedback	4.00	focus on vulnerable groups
	Giving Constituency Feedback	2.00	formal channels are lacking
		2.83	
Human Resources	Skills	3.00	They have qualified staff and have offered service to other organizations
	Strategy	2.00	The trainings are short only
	Training	3.00	The trainings are not fully systematic.
	Mentoring	2.00	There is some coaching is done.
	Motivation	2.00	No formal system in place, need for improvement.
		2.40	
Financial Management	Planning	3.00	There is need to work on the annual budget.
	Control	3.00	Financial procedures are systematic but not fully documented
	Reporting	3.00	Reports are clear, timely and available but need data system.
	Audits	3.00	Audit period varies in response to donors
	Separation of Accounts	3.00	Occasional cross-project financing occurs to deal with shortfall
		3.00	
Financial Vulnerability	Funding Diversity	2.00	Some diversification has happened (CARE)
	Local Resource Mobilization	3.00	Contributions are operational but not tracked
		2.50	
Financial Viability	Financial viability	3.00	Some of our projects are short-term but medium term funding exists.
		3.00	
Public Relations	Public Recognition	4.00	some members of the public recognizes especially target areas
	Media Strategy	2.50	Media exposure is not frequent, but not yet strategic.
		3.25	

Advocacy	Strategic Approach	2.00	done but not systematic
	Use of Research/Info	2.00	done but need for more advocacy strategies
	Mobilizing Constituents	1.00	need to work towards improvement
		1.67	
Constituency Orientation	Constituency Orientation	4.00	Constituency interest integrated
		4.00	
Ability to work with central and local gov't	Ability to work with central and local gov't	2.00	Collaboration should be more frequent
		2.00	
Ability to work with other NGOs		4.00	Promotes NGO coalitions and networks.
		4.00	
Total Placement		**49.32**	

Average Placement 2.59561

Summary of Average Placement Change, by Resource

Oversight/Vision	2.33
Management Resources	2.36
Human Resources	2.40
Financial Resources	2.83
External Resources	2.98



Appendix CI: ZCSS Institutional Development Profile (IDP)

	Start-Up	Development	Expansion/ Consolidation	Sustainable
Capabilities				
Oversight/Vision				
Board				
Mission				
Autonomy				
Management Resources				
Leadership Style				
Planning				
Participatory Management				
Management Systems				
Constituency Participation				
M&E Systems				
Human Resources				
Skills				
Strategy				
Training				
Mentoring				
Motivation				

Financial Resources
Financial Management
Financial Vulnerability
Financial Viability
External Resources
Public Relations
Advocacy
Ability to Work with Central & Local Gov't
Network Resources
Constituency Orientation
Cooperative Planning and Implementatio n
Service Delivery
Active Membership

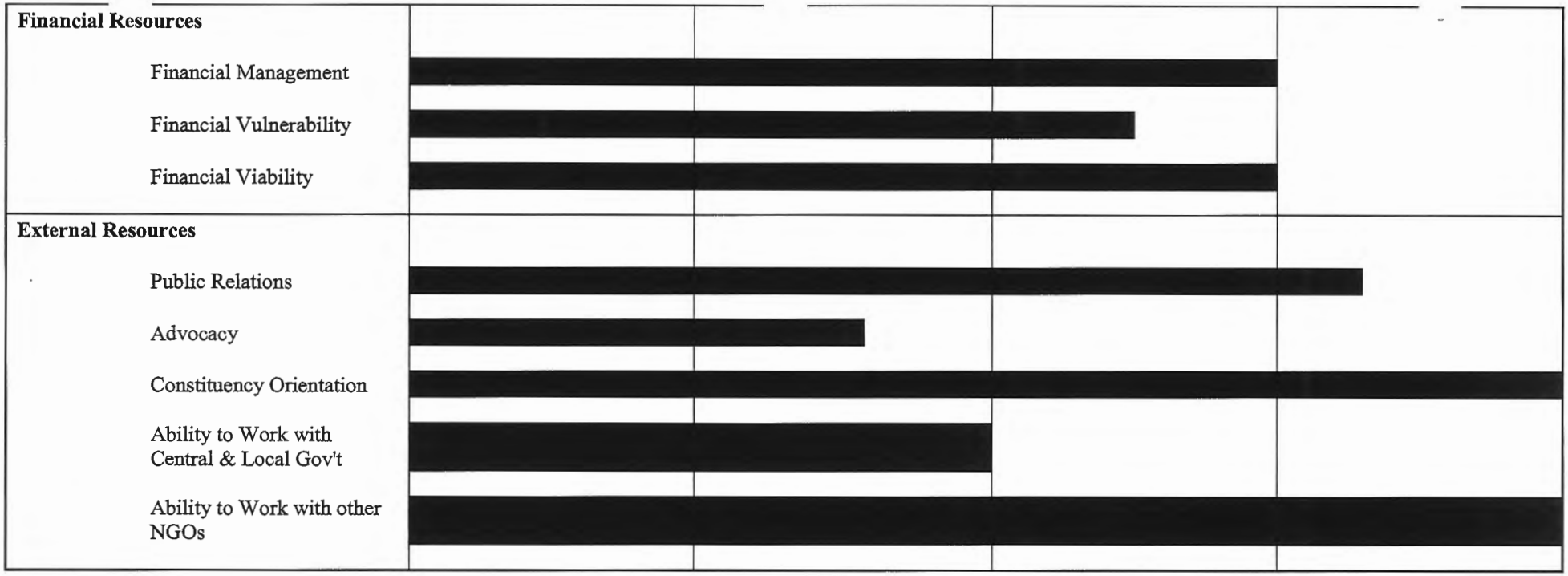
Appendix CII: ZCSS NGO Institutional Development Profile (IDP)

Insert Organization's Name				
Institutional Development Profile				
	Start-Up	**Development**	**Expansion/ Consolidation**	**Sustainable**
Capabilities	1	2	3	4
Oversight/Vision Board Mission Autonomy				
Management Resources Leadership Style Planning Participatory Management Management Systems Service Delivery Constituency Participation M&E Systems				
Human Resources Skills Strategy Training				

Mentoring Motivation				
Financial Resources Financial Management Financial Vulnerability Financial Viability				
External Resources Public Relations Advocacy Constituency Orientation Ability to Work with Central & Local Gov't Ability to Work with other NGOs				

Appendix CIII: EWB Institutional Development Profile (IDP)

	Start-Up	Development	Expansion/ Consolidation	Sustainable
Capabilities				
Oversight/Vision				
Board	X			
Mission				
Autonomy				
Management Resources				
Leadership Style				
Planning				
Participatory Management				
Management Systems				
Service delivery				
Constituency Participation				
M&E Systems				
Human Resources				
Skills				
Strategy				
Training				
Mentoring				
Motivation				



Legend:

Baseline: as of Aug 2004

Mid-Course: as of Feb 2005

Post-Grant: as of ____

Appendix DI: ZCSS Institutional Improvement Plan

ZCSS conducted an institutional self-assessment from 7-20 August 2004. Using the IDF toolkit, staff from the USAID-funded Capable Partners Program (CAP) facilitated the process. The results are summarized in the attached report. ZCSS analyzed the results to prioritize areas for focused improvement as follows:

1. Implement new Organizational Structure.
2. Continue to Implement Improved Internal Financial Controls.
3. Improve Advocacy for Community Schools in Zambia.
4. Improve the Data Management System to Support Monitoring of Service Delivery.

The facilitator workshop participants included seven facilitator-trainees from seven ZCSS Associate Member organizations, as follows:

Name	Organization	Certified as IDF Facilitator
13. Fidelis Haambote	ZCSS – Executive Director	Y
14. Wezi Nkana	ZCSS – Programme Officer	
15. Helen Chipepo	ZCSS – Programme Officer	
16. Bart Palmaers	ZCCS – VVOB	
17. Andre Irabishohoje	ZCSS – VVOB	
18. Osward Hachitema	Chainda World Vision	Y
19. Isaac Lungu	PETUZ (Teachers Union)	Y
20. Enias Jere	PAF	Y
21. Justin Musonda	Scope OVC	
22. Robert M'tonga	ZANEC	Y
23. Robert Sihubwa	Christian Alliance for Children in Zambia	
24. Joyce Kabaso	ROCS (Synod HQ)	Y

Planned Improvement Activities

Objective 1: Implement New Organizational Structure			
Activities	Resources needed	Sources	Completion date
ZCSS has outlined a new structure to expand technical management and monitoring capability by placing staff in the field. A plan was accepted at the Annual General Meeting in August 2004 but needs to be operationalized, which will include a series of steps: arranging funding, recruitment, training of staff, etc.			

Objective 2: Continue to Implement Improved Internal Financial Controls			
Activities	Resources needed	Sources	Completion date
Participants thought that the financial management score was somewhat inflated because ZCSS had fared very well in "audits" and "reports." However, the IDF assessment recognized that ZCSS needs to continue to			

give attention to financial management and effective reporting of progress; this improvement is essential to building and maintaining the confidence of donors, members, and beneficiaries. ZCSS has made specific changes to redress weaknesses in financial management – i.e. accepting an external experts' recommendation to segregate financial authorities and signatures on accounts (ZCSS has only a few staff with fiscal authority).			

Objective 3: Improve Advocacy for Community Schools in Zambia			
Activities	Resources needed	Sources	Completion date
ZCSS's Mission Statement clearly supports engagement in advocacy, but its mandate to provide services (school books, materials, teacher training) competes with advocacy initiatives. ZCSS's beneficiaries tend to value foremost the more concrete service delivery. In addition, ZCSS's ability to advance an advocacy agenda at times is restrained by its necessarily close relationship with the Ministry of Education. Prior to this assessment, ZCSS had already organized a ZCSS Associate Members meeting for mid-September to discuss the need for advocacy and to identify specific priority issues. The IDF assessment also revealed that ZCSS staff member did not know who should be responsible for advocacy. Currently technical managers hold considerable management responsibility for service delivery; the responsibility for everything else falls on the already swamped Executive Director. The IDF assessment stated that future advocacy actions need to be carefully planned and more systematically monitored – part of the plan would need to assign specific responsibilities to specific staff.			

Objective 4: Improve the Data Management System to Support Monitoring of Service Delivery			
Activities	Resources needed	Sources	Completion date
As stated by a ZCSS staff member, "The evolution of ZCSS did not anticipate the flowering of community schools". The incredibly rapid expansion of community schools in Zambia since the inception of ZCSS has surpassed its established systems to monitor the provided services. The further from Lusaka, the harder it is to determine whether program results are consistent with intended services. ZCSS has relied on district MoE personnel for managing its field operations, a tendency that will be addressed in the structural changes described above. Fortunately, the need to redesign and expand data collection and management activities was already on ZCSS's "radar screen", though the group developed an extensive action plan during the workshop (see Figure 5).			

Appendix DII: EWB Institutional Improvement Plan

Objective 1: Establish a EWB staff performance appraisal system.
Indicator of completion: Every staff member has a completed performance appraisal (annually).

Activities	Resources needed	Sources	Person Responsible	Completion date
1.1 Update staff files.	NA	NA	CEO	Dec 2004
1.2 Conduct monitoring visits.	TBA	TBA	Proj. Coor.	TBA
1.3 Develop an appraisal form.	TBA	TBA	TBA	TBA
1.4 Prepare appraisal report and pass to employee.	TBA	TBA	TBA	TBA

Objective 2: Improve EWB's service delivery monitoring system.

Indicators of completion:

A. Percentage of EWB sponsored activities monitored within six weeks of funding (measures more systematic monitoring).
B. Percentage of EWB sponsored activities where more feedback on project monitoring is provided to host PCSC (Parent Community School Committee).
C. Percentage of EWB sponsored activities where members of the communities participate to the monitoring.

Activities	Resources needed	Sources	Person Responsible	Completion date
2.1 Develop monitoring tools.				

Objective 3: Establish a staff training plan

Activities	Resources needed	Sources	Person Responsible	Completion date
3.1 Organize a training needs assessment				