

MODULE 3: APPENDIX

THE NGO CAPACITY PROFILE

HISTORY OF THE NGO CAPACITY PROFILE

Several versions of this useful organizational development tool have emerged to assist NGOs in assessing their capacity and formulating strategies for strengthening their organizations. The current Peace Corps version has its origins in the “NGO Characteristics Assessment for Recommended Development” (NGO CARD), designed and tested with the cooperation of more than 200 NGOs in Slovakia in 1996–97 by the Foundation for a Civil Society. In the summer of 1997, Peace Corps/Slovakia acquired for the Peace Corps worldwide the rights to use, modify, and translate the NGO CARD into local languages. With modified or translated versions, the Foundation for a Civil Society should be given credit for developing the NGO CARD.

Peace Corps/Slovakia used the NGO CARD as the centerpiece of its 1997 Pre-Service Training (PST) technical training for business and environmental Volunteers who were assigned to NGOs. The staff concluded it is important to include community entry, interviewing and listening, facilitation, and presentation training to enable Volunteers to use the tool

effectively. Like any tool, users become proficient only as they have opportunities to practice. A Volunteer’s understanding of the nature of NGOs and how they function locally is enhanced through discussions of the role of NGOs in a civil society and information on the local NGO environment.

In the spring of 1998, the NGO CARD was introduced to Peace Corps staff at two NGO workshops, one in Romania and one in Thailand. The staff was enthusiastic about the CARD’s potential and advised simplifying the tool to make it more user-friendly. In early 1999, a program specialist in the Center for Field Assistance and Applied Research simplified the CARD and disseminated it to Peace Corps posts worldwide. In March of 2000, the name was changed to better reflect the purpose of the tool; it is now called the NGO Capacity Profile.

The NGO Capacity Profile reflects the Peace Corps’ commitment to using asset- and capacity-building approaches in its development efforts.

Use of this organizational tool is now more straightforward. The first column contains questions to ask concerning the six functional systems of an

NGO: programs, governance, management, human resources, financial resources, and external relations. The remaining three columns list the typical responses given at each capacity level: limited capacity, growing capacity, and high level of capacity. These responses can be used to gauge the level at which the organization is operating and to guide the development workers and NGO stakeholders in determining which areas need to be strengthened to reach a higher level of capacity.

USING THE NGO CAPACITY PROFILE

Use the NGO Capacity Profile participatively and appreciatively to identify the NGO's strengths and help establish a vision of what an NGO can be. The NGO Capacity Profile is more effective when it is translated into the local language. The profile provides a picture of where the organization is and can help those working with the NGO (board members, staff, donors, clients, and development workers) decide which functional areas need to be strengthened and how to go about strengthening them.

When gathering information on an NGO, it is best to have only a copy of the questions column so participants are not influenced by typical answers at each capacity level. Once you have gathered the information, you can analyze the responses and compare them with the typical responses at each capacity level.

Following are some of the ways the NGO Capacity Profile has been used by Peace Corps staff, Volunteers, and their NGO community partners.

The NGO Capacity Profile:

- Assists programming staff during site development in determining the types of tasks a Volunteer might perform at an NGO.
- Is used as a training outline for Volunteers who are working with NGOs in their primary or community outreach projects.
- Serves as a language/communications tool when the Counterpart has a local translation and the Volunteer has an English version.
- Helps the Volunteer identify areas where his or her skills can be used to build the NGO's capacity.
- Provides a picture of how a well-run NGO operates by looking at the "Indicators of an NGO With a High Level of Capacity."
- Suggests to Volunteers and their NGO colleagues items that should be included in the organization's operating and/or strategic plan(s).
- Provides a mechanism to determine baseline data and indicators for monitoring and evaluation.
- Demonstrates to donors and potential donors the capabilities of the NGO.

1. PROGRAMS

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>To what extent do the NGO’s programs reflect the real needs of the community or constituency it serves?</p> <p>Who is involved in designing, implementing, and monitoring program activities?</p> <p>How do NGO programs advocate for constituents as well as provide program services to them?</p> <p>Is there a demand for expansion of the NGO’s programs?</p>	<p>Program development is largely donor driven.</p> <p>The founder(s) designs, implements, and monitors program activities.</p> <p>The NGO views constituents as worthy, but passive, beneficiaries of the services, not as potential partners.</p> <p>The demand for the NGO’s programs has not been determined.</p>	<p>Programs are developed within an overall strategic plan.</p> <p>Constituents’ role is usually as recipient. Certain influential members of the constituency may be consulted and/or invited to participate in some programming discussions.</p> <p>Demand for the NGO’s programs is increasing.</p> <p>There is some awareness of the need for legislative and/or institutional changes and support for constituents.</p>	<p>Constituents are recognized as partners and regularly involved in comprehensive program design, implementation, and evaluation.</p> <p>Lessons learned are applied to future programming activities.</p> <p>Full-scale advocacy and lobbying functions are in place.</p> <p>NGO strives for continuous quality improvement of programs.</p> <p>NGO’s services are often requested by constituents.</p>

TECHNICAL SECTOR EXPERTISE

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>What are the technical strengths of the NGO’s programs?</p> <p>Does the NGO have access to technical sector experience when required?</p> <p>How well is the NGO performing technically in comparison with similar NGOs?</p>	<p>NGO has a limited track record in the sector and area of service delivery but has some good ideas for meeting the needs of target constituencies.</p>	<p>NGO is recognized as having significant experience in sector and contributing to sector growth.</p> <p>Improved targeting of clients and redefined service/technical package.</p> <p>NGO has ability to access additional sector expertise when required.</p>	<p>NGO is able to adapt programs to changing needs of constituency and to extend service delivery to additional constituencies.</p> <p>NGO is recognized for sector expertise and asked to consult on similar projects.</p>

PROGRAM EVALUATION/ASSESSMENT

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO With a High Level of Capacity
<p>What changes in people’s lives occurred as a result of the NGO’s programs?</p> <p>How is the NGO’s impact and performance measured?</p> <p>What information has been gathered to verify that the NGO’s programs are meeting the community’s/ client’s needs?</p> <p>How is the NGO performing in comparison with other NGOs?</p> <p>How cost-effective are the benefits of the NGO’s programs?</p>	<p>The NGO has not determined impact indicators or established baseline measurements.</p> <p>Members of the NGO can recount stories of how individuals have been helped by the NGO’s programs.</p>	<p>The NGO is aware of the value of evaluating its programs and is exploring how to measure impact.</p> <p>Program objectives may or may not be measurable; they may be tangible or intangible.</p> <p>The NGO can determine cost per client served.</p>	<p>Measurable indicators of success and impact have been determined for each program goal.</p> <p>Studies are done that provide baseline measures, and these data are regularly confirmed and used.</p> <p>Monitoring and evaluation system are in place; conducted by staff on regular basis.</p> <p>Cost-benefit data are maintained. Trends are analyzed and used in decision making.</p> <p>NGO shares lessons learned and programming evaluation practices with other NGOs.</p>

2. GOVERNANCE
BOARD OF DIRECTORS

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>How does the board provide overall policy direction for the NGO?</p> <p>How does the board provide oversight of the NGO's management?</p> <p>How does the board provide fundraising leadership?</p> <p>How does the board assist with public relations activities?</p> <p>How often does the board meet?</p> <p>What is the expertise and experience of board members?</p> <p>How are board members selected?</p>	<p>Board members are identified.</p> <p>Board does not yet differentiate between oversight and management roles.</p> <p>Board is not active in influencing public opinion or legislators, or raising funds for the NGO.</p> <p>Board meetings are infrequent or irregular.</p> <p>The NGO's constituency is not represented on the board.</p> <p>Board members are founders or selected by founders.</p>	<p>Board membership is stable or improving.</p> <p>Board differentiates between board's role and that of NGO's management.</p> <p>Board is aware of responsibilities to provide oversight.</p> <p>Board is beginning to influence public opinion and/or legislators, fundraise, and perform public relations activities.</p> <p>Board membership represents some community diversity.</p>	<p>Board composition includes leaders in the field of the organization's mission as well as those capable of providing policy direction, fundraising, public relations, and lobbying.</p> <p>Board has mechanisms in place for obtaining appropriate input from constituency, for monitoring organizational planning, and functioning in relation to mission.</p> <p>Board terms are defined.</p> <p>Procedures are in place for selecting and orienting new board members.</p>

VISION/MISSION

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO With a High Level of Capacity
<p>Does the NGO mission statement accurately reflect its vision/mission?</p> <p>Was the vision/mission determined through a participatory process?</p> <p>Is it possible for the NGO to realize its mission?</p> <p>How do the NGO's programs help achieve the stated mission?</p>	<p>The vision/mission is generally understood by the NGO's founder(s).</p> <p>Staff may perform functions that support the mission, but there is no systematic design of job functions based on the mission.</p> <p>There may be activities conducted by the members of the NGO that seem unrelated to the mission.</p>	<p>The mission is clear to board and staff; strategies, goals, and objectives are based on the mission.</p> <p>Operational planning is conducted by management and linked to vision/mission but without staff or constituents' input.</p> <p>Projects that do not relate to NGO's mission are sometimes undertaken to secure funding.</p>	<p>The mission is clear to board, staff, constituents, and interested parties outside the NGO.</p> <p>Operating plan grows out of the mission and translates into a set of clear program objectives supported by a realistic budget.</p>

LEADERSHIP

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>Who takes leadership responsibility in the NGO?</p>	<p>Within the NGO there are one or a few dynamic individual(s) controlling most functions.</p>	<p>Most decisions are made by the board and management, with some input from select staff.</p>	<p>Board and management have clear understanding of their leadership roles and actively encourage new members to take on leadership roles.</p> <p>Staff is routinely involved in policy development and not just consulted on occasion.</p> <p>Constituents are encouraged to become involved in leadership roles.</p>

3. MANAGEMENT
INFORMATION MANAGEMENT

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO With a High Level of Capacity
<p>How does the NGO gather, disseminate, save, and retrieve client, program, and financial information?</p> <p>How is collected information used for planning and decision making?</p>	<p>No organized system(s) exists for the collection, analysis, or dissemination of data in the NGO.</p> <p>Information is usually collected randomly and manually.</p>	<p>A rudimentary electronic database system to manage information (MIS) is in place.</p> <p>MIS is used primarily for word processing and bookkeeping; some staff understand database capability.</p> <p>There is no mechanism for integrating MIS-generated information into the NGO's planning process.</p>	<p>MIS operation and data are integrated into operational planning and decision making.</p> <p>There is improved project planning based on analysis of information provided through the system.</p> <p>MIS information is readily available to staff management and board.</p> <p>The NGO learns from MIS information and shares these learnings with stakeholders and other NGOs.</p>

PLANNING

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>Does the NGO have a long-term strategic plan?</p> <p>Does the NGO do short-term operational planning?</p> <p>How are staff and constituents involved in the planning process?</p> <p>Are all plans directed toward achievement of the NGO's mission?</p>	<p>Planning is ad hoc with limited participation from staff and constituents.</p> <p>Decisions and plans are made without reference to the mission or the agreed-on strategies to achieve the mission.</p> <p>Staff is responsible for plan implementation, and clients are not involved in planning.</p> <p>No assessment of needed resources is included in planning.</p>	<p>There may be some input from staff and constituents but they are not involved in decision making.</p> <p>Annual operating plans are developed and reviewed throughout the year primarily by management but without connection to review of previous year or analysis of resource availability.</p>	<p>NGO's leadership conducts short-term strategic planning.</p> <p>The board decides on program priorities and the use of available resources.</p> <p>Each NGO program has an annual operating plan that reflects the mission and is developed with staff and constituent input.</p> <p>There is a regular review of long-term plans based on previous achievements.</p>

COMMUNICATION

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>How often are staff meetings held? Do staff meetings have an agenda? Are minutes taken at staff meetings and available for future reference?</p>	<p>Meetings are irregular and dominated by interests of a few. There is no predetermined agenda at staff meetings, and staff often does not reach concrete conclusions. Staff provides technical input only and is not involved in or informed of decisions. No systematic procedure for recording or storage of minutes of staff meetings.</p>	<p>Staff knows how to participate in meetings and is aware of how decisions are made. Mechanisms exist for vertical and horizontal communication. A meeting agenda and minute record keeping are standard operating procedures.</p>	<p>Staff is increasingly able to shape the way they participate in decision making. Communications are open and transparent. Client and other stakeholder input is included at staff meetings when appropriate.</p>

PERSONNEL MANAGEMENT

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>Does the organizational chart show the most significant units or functions of the NGO?</p> <p>Is work organized individually or by teams?</p> <p>Are job tasks and job descriptions consistent with the mission of the NGO?</p> <p>Is there a written employee manual?</p> <p>Is hiring a systematic, open process?</p> <p>Are salaries based on performance and market value of the jobs?</p>	<p>Supervisors organize work. There is little understanding of the necessity to organize work beyond issuing directives.</p> <p>Focus is on individual achievement; there is little understanding of need (or what it means) to work as a team.</p> <p>Hiring is based more on personal connections than applicant's job skills.</p> <p>Some essential tasks are not carried out because they are not assigned or because the tasks are beyond the expertise of the staff.</p>	<p>Organizational chart exists to explain relationships of work units.</p> <p>There is recognition of the need to create a collaborative work environment.</p> <p>Work plans are developed but not coordinated across positions, functions, or expertise.</p> <p>Staff is able to make suggestions about how their own work should be organized.</p> <p>Basic personnel administration systems exist, but informal employment practices persist.</p>	<p>There is a formal mechanism in place for inter-team links and intra-team planning, coordination, and work review.</p> <p>Teams are self-directed in that they organize their own work around clear understanding of the organization's mission and the team's role in achieving the mission.</p> <p>Volunteers and constituents are included as active participants in the NGO's work plan.</p> <p style="text-align: right;">Continued</p>

PERSONNEL MANAGEMENT, continued

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO With a High Level of Capacity
	<p>Salaries are not determined on the basis of the market value of the work done or performance of individuals.</p>	<p>Salary and benefit reward system rewards staff according to job title, not work performed.</p> <p>Salaries are not necessarily competitive with those in market.</p>	<p>All personnel systems are formalized and understood by staff, and staff members opinions are part of policies and procedures. Written employment practices are used and reviewed so they support the NGO's mission, strategies, and policies.</p> <p>Hiring procedures are transparent.</p>

4. HUMAN RESOURCES

STAFF

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO With a High Level of Capacity
<p>Are staff members motivated and committed to the mission of the NGO?</p> <p>Do staff members have the skills and competencies required to support the achievement of the NGO's mission?</p> <p>What are the training opportunities for staff to develop job-related skills?</p> <p>Are staff members assigned and promoted according to performance?</p>	<p>Staff consists of founders and/or unpaid volunteers.</p> <p>Staff is motivated and committed, but may lack knowledge and skills to implement appropriate programs to achieve the NGO's mission.</p> <p>Staff development opportunities are not yet available.</p> <p>No system in place for performance evaluation.</p>	<p>Some gaps exist between job skills required and of existing staff.</p> <p>Staff morale is sometimes affected by lack of clarity of their jobs or too much work for available staff.</p> <p>Performance evaluations are ad hoc, mostly when problems surface.</p>	<p>Skill areas are competently covered and capacity exists to contract out for other skills as needed.</p> <p>Interpersonal skills and group training are provided as needed.</p> <p>Staff have opportunities to contribute to the organization to the fullest extent of their abilities.</p> <p>Staff performance evaluation done on a regular basis; evaluation criteria are understood by the staff.</p> <p>Staff morale is high.</p>

CONSTITUENCY/CLIENTS

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO With a High Level of Capacity
<p>Are constituents seen as human resources of the NGO?</p> <p>Does the composition of the board and staff reflect constituency?</p> <p>Are constituents treated equally and fairly?</p> <p>Is the NGO's constituency growing?</p>	<p>Links with constituency are weak.</p> <p>Staff and board do not represent constituents on the basis of ethnicity, gender, income, religious, or stakeholder interest.</p>	<p>There is a well-defined community base and constituency.</p> <p>There is understanding and interest among some board members, management, and staff as to the value and need for representation of constituents, but no policy in place.</p> <p>NGO serves existing constituents but does not actively seek new constituents.</p>	<p>Composition of board and staff reflects gender, ethnic, and religious diversity of constituents.</p> <p>There are regular surveys of constituency needs with results integrated into planning process.</p> <p>NGO welcomes and seeks out new constituents.</p>

VOLUNTEERS

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>How do volunteers assist the NGO? Do volunteers have structured tasks? How are volunteers mobilized and trained? Is volunteer help regular and consistent? How are volunteers thanked for their service?</p>	<p>No, or only a few, volunteers are providing services. NGO staff members are unpaid volunteers due to insufficient planning and fundraising.</p>	<p>Volunteers are mobilized for specific programs/projects. Management identifies the difference between staff and volunteer duties and activities. The number of volunteers involved with the NGO is increasing.</p>	<p>High integration of volunteers with paid staff. Volunteers are integrated into the planning and evaluation process of the organization. Training programs are in place for volunteers. Volunteers are recognized and thanked for individual and collective achievements.</p>

5. FINANCIAL RESOURCES

ACCOUNTING

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO with a High Level of Capacity
<p>Is the accounting system automated?</p> <p>Do accounting records meet donor's and government financial reporting requirements?</p> <p>Are there procedures for reporting and recording in-kind contributions?</p> <p>Has NGO ever had an audit?</p> <p>Does NGO reconcile cash accounts on a regular basis?</p> <p>How often are financial statements furnished to the NGO's board of directors?</p>	<p>Accounting tracks only increases and decreases in cash.</p> <p>Financial procedures and reports are incomplete and difficult to understand.</p> <p>Internal reconciliation of bank accounts with cash is done only when there appears to be a problem.</p> <p>The NGO has not yet undergone an external accounting review or audit.</p>	<p>A system of accounts including assets, liabilities, fund balance, revenues and expenses is developed and operational.</p> <p>Financial reports are usually timely but still incomplete and with errors and tend to present an optimistic versus realistic picture.</p> <p>Internal reconciliation of cash is done more often.</p> <p>Even though NGO recognizes the value of independent audits or external financial reviews, they rarely have them done except to meet donor's requirements.</p>	<p>Financial systems and reports provide reliable current information.</p> <p>Reports are always timely and trusted, and feed back into financial planning process.</p> <p>Internal monthly or quarterly reconciliation of bank statements and accounting records are done.</p> <p>Independent audits or external financial reviews are performed with regular and appropriate frequency.</p> <p>The board of directors receives summary financial reports at every regular board meeting.</p>

BUDGETING

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>Does the NGO have a regular budget-planning process?</p> <p>Do financial controls prevent expenditures in excess of budget?</p> <p>Are budgets constructed to facilitate cost-benefit analysis?</p> <p>Do budgets show actual costs when known?</p>	<p>Budgets are inadequate and infrequent; if they are produced it's because donors require them.</p> <p>Using budgets as a management tool is not understood, and the reliability of the projections is questionable.</p>	<p>Budgets are developed for project activities, but projects often go over or under budget by more than 20 percent.</p> <p>The executive director and/or accountant are the only staff members who know and understand budget information and do not delegate responsibility.</p> <p>Donors do not get notice of budget adjustments.</p>	<p>Budgets are an integral part of project management and are adjusted to reflect project implementation results.</p> <p>Budgeting is integrated with annual operating plan.</p> <p>Project staff members are responsible for preparation, justification, and management of project budgets.</p> <p>Donors are notified when budget adjustments are needed.</p>

FINANCIAL MANAGEMENT

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>Are reliable cash flow projections in place to facilitate financial planning?</p> <p>Are payroll, petty cash, and basic supply costs paid on time?</p> <p>Are restricted donors' funds placed in separate bank accounts?</p> <p>What internal controls are in place to prevent theft or misappropriation of cash and other assets?</p> <p>Are funds not currently needed invested to earn a return on the money?</p>	<p>NGO meets its expenses but not in a timely manner.</p> <p>Designated project funds and operating funds are not separated in the accounting system or in bank accounts.</p> <p>Cash flow projections, if done, tend to be inaccurate.</p>	<p>NGO meets its expenses in a timely manner.</p> <p>Accurate cash flow projections assist management in making cash management decisions.</p> <p>Account categories exist and project funds are separated, but some temporary project cross-financing may occur.</p> <p>Funds not currently needed are regularly deposited in a bank account for safekeeping.</p>	<p>NGO is expanding its programs and projects, and pays the increased costs in a timely manner.</p> <p>Adequate controls exist to avoid cross-project financing.</p> <p>The NGO uses an impressed petty cash fund to track small expenditures, requires two authorized signatures on checks, and uses a voucher system to record inflows and outflows of cash.</p> <p>The value of insurance to protect assets is recognized and purchased when available and cost-effective.</p> <p>Funds not currently needed are prudently invested to earn interest.</p>

FUNDING BASE

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>What are the existing sources of the NGO's funding?</p> <p>What is the long-term plan for developing financial resources?</p> <p>What alternative sources of funding might be available for the NGO?</p> <p>What percentage of costs are covered by constituents?</p> <p>Does any one source provide more than 40 percent of the NGO's funding?</p>	<p>Funds are solicited for one short-term project and only from one source.</p> <p>Local fundraising for any income is untried and/or unsuccessful.</p> <p>Project funding is insufficient to meet plans or provide services.</p> <p>Constituents are not seen as an income source.</p>	<p>NGO's funding is from two or more sources with no one exceeding 60 percent.</p> <p>There is a developing awareness of local resources, but few resources are actually mobilized.</p> <p>Funding is available for short-term projects, and medium-term funding strategies exist within a funding plan.</p> <p>NGO is beginning to develop constituent support. Fee-for-service and other cost recovery programs are built into service delivery process.</p>	<p>NGO has funding from three or more sources with no source providing more than 40 percent.</p> <p>A long-term funding plan exists that results in the NGO's self-sufficiency.</p> <p>All projects have funding plans, and current funds meet project needs.</p> <p>Basic program delivery can continue even if there is a funding shortfall.</p> <p>Constituent support is evident from their willingness to pay for some services as well as their use of the NGO's services.</p>

6. EXTERNAL RELATIONS

PUBLIC RELATIONS

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO With a High Level of Capacity
<p>To what extent is the NGO known to the public?</p> <p>What materials does the NGO have that describe its mission, programs, and achievements?</p> <p>Does the NGO make use of mass media to disseminate information about itself and its achievements?</p>	<p>NGO is little known outside of its direct collaborators.</p> <p>There is no clear image of the NGO articulated and presented to the public.</p> <p>There are no documents or prepared statements available that provide information about the NGO.</p>	<p>NGO is known in its own community, but does little to promote its activities with the general public and government.</p> <p>There is understanding that public relations are a function of NGOs but little understanding of how to implement public relations.</p> <p>The NGO has an annual report.</p>	<p>NGO mission, programs, accomplishments are clear and are documented.</p> <p>NGO's work is well known to public and policy makers and used to attract support when necessary.</p> <p>A public relations plan is implemented.</p>

LOCAL COLLABORATION/SUPPORT

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>How effective is the NGO in assessing local financial, human, and other resources?</p> <p>How does the NGO make an effort to engage local citizens as volunteers or individual donors?</p> <p>How active is the NGO in seeking support from local businesses—donations, gifts-in-kind, and volunteers?</p>	<p>NGO sometimes views the private sector (businesses) with suspicion and distrust.</p> <p>NGO does not seek human or other resources, technical expertise, or advocacy support from the private sector.</p> <p>The NGO has a limited relationship with local citizens.</p>	<p>Community residents begin to support NGO through volunteerism.</p> <p>NGO seeks technical assistance from private sector and government sources.</p> <p>NGO seeks support from service agencies in the private and public sectors.</p>	<p>Local agencies assist NGO in obtaining and sustaining project results.</p> <p>Staff member serves as development officer and knows the private and public sector donor opportunities.</p> <p>Private sector and NGO cooperation is the norm, and the NGO is a full community partner.</p> <p>Individuals from the private and public sector are recruited to serve on board.</p>

NGO COOPERATION

Questions to Ask About Service Delivery	Indicators of an NGO With Limited Capacity	Indicators of an NGO With Growing Capacity	Indicators of an NGO With a High Level of Capacity
<p>Does the NGO cooperate or partner with other local NGOs?</p> <p>Has the NGO established relationships with other national NGOs?</p> <p>Has the NGO established relationships with other international NGOs or development groups?</p>	<p>Organization does not have experience working with other NGOs—local, national, or international.</p> <p>NGO does not try to plan or deliver services in collaboration with other NGOs or see the value of partnering.</p>	<p>Organization is increasingly known and trusted by the NGO community but has little experience collaborating with other NGOs.</p> <p>NGO tries to work with other NGOs to plan services, but mostly on an ad hoc basis.</p>	<p>NGO takes the lead in promoting project coalitions and in sponsoring and participating in a formal NGO association.</p> <p>NGO is fully integrated into NGO community, which develops and supports formal group advocacy mechanisms.</p>

GOVERNMENT COOPERATION

<p>Questions to Ask About Service Delivery</p>	<p>Indicators of an NGO With Limited Capacity</p>	<p>Indicators of an NGO With Growing Capacity</p>	<p>Indicators of an NGO With a High Level of Capacity</p>
<p>What is the relationship between the NGO and the local government?</p> <p>What is the relationship between the NGO and the national government?</p>	<p>Relationship with government is based on a “we-they” perception.</p> <p>NGO cooperates little with government working in the same programming sector or geographic area.</p> <p>NGO has little understanding of its advocacy or public policy role.</p>	<p>NGO cooperates occasionally with different groups in specific areas of activity.</p> <p>Some understanding that the NGO can influence public policy, but efforts in advocacy are ad hoc, short-term, and not sustainable.</p>	<p>NGO performs specific project or sectoral collaboration or contacts for government.</p> <p>NGO provides input into policy process on issues related to its program areas and sector expertise.</p> <p>Through public contact, NGO is seen as an advocate in its area of expertise.</p>