

**ANNEX 4**

**INSTITUTIONAL DEVELOPMENT FRAMEWORK/PROGRAMME PERFORMANCE FRAMEWORK (IDF/PPF)—DRAFTS**

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
<b>OVERSIGHT/VISION</b>					
<b>Aspect</b>  <b>Board</b>	<b>Component</b>  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.	Board members assist organization through access to key people and to other organizations.	Board members provide policy direction for action and overall programming.
	Active Board	Board is formally constituted, but not yet active partner.	Board becoming active partner. Contributes and pursues resources.	Board provides some leadership and committees formed, but only some active members.	Significant funds raised by Board and many members of Board play active role.
	Advancing 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 catalyst for long-term development of organization.
<b>Mission</b>		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.
<b>Autonomy</b>		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 constituency(ies), to government, donors, and private sector.

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<b>MANAGEMENT RESOURCES</b>					
<b><i>Aspect</i></b> <b>Leadership Style</b>	<b><i>Component</i></b> 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.	All Board members contribute to leadership and development of the organization.
	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.	Organization would survive without current Executive Director or Chairperson of the Board.
<b>Planning</b>	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 beneficiaries excluded from decision making.	Constituents and staff contribute to planning decisions along with Exec. Dir./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.
<b>Participatory Management</b>	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 project managers.	Management decisions delegated to appropriate level of the organization.

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	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 operationalised 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 fragmented.	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.
<b>Management Systems</b>	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.	Administrative manual in place, although not up to date or considered the arbiter of procedures.	Administrative manual updated, as needed. Considered the arbiter of procedures.
<b>Service Delivery</b>		Service delivery to NGO customers is supply-driven, often responding to the specifications of donors.	Type, quantity and quality of services delivered to NGO customers is at the initiative of the organization. However, little monitoring of service quality is undertaken. Customer input into product design or quality review is <i>ad hoc</i> , if at all.	Organization makes consistent effort to obtain NGO customer input into determining the appropriate type, quantity and quality of services. NGO 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 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.

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<b>MANAGEMENT RESOURCES</b>					
<b>Constituency Participation</b>		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 its members.	Organization draws on its constituency(ies) leaders in planning, implementation and evaluation events.	Constituency (ies) participate fully in planning, implementation, and evaluation. Constituency (ies) contributing cash, material, labour, and management to create and maintain project results.
<b>Monitoring and Evaluation</b>	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. Women and marginalized groups not included.	Continuous feedback and input from constituency (ies) where women and marginalized groups are clearly involved.

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<b>HUMAN RESOURCES</b>				
<b><i>Skills</i></b>	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 provide expertise and assistance to outside organizations.
<b><i>Strategy</i></b>	Human resource development is <i>ad hoc</i> 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.
<b><i>Training</i></b>	Little, or no, training provided.	Training is significant, but is <i>ad hoc</i> 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.
<b><i>Mentoring</i></b>	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.
<b><i>Motivation</i></b>	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.

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<b>FINANCIAL RESOURCES</b>					
<b><u>Aspects</u> Financial Management</b>	<b><u>Components</u> Planning</b>	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 occasional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.

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<b>FINANCIAL RESOURCES (continued)</b>					
<b><i>Financial Vulnerability</i></b>	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 <i>ad hoc</i> , basis.	Local resource mobilization strategy is operational	Local resource mobilization strategy is operational. X% of annual expenditures generated from local resources.
<b><i>Financial Viability</i></b>		Project funding is scarce 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.

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<b>EXTERNAL RESOURCES</b>					
<b><i>Aspect</i></b> <b>Public Relations</b>	<b><i>Component</i></b> 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 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.
<b><i>Constituency Orientation</i></b>		Organization operates in centralized manner with little connection to constituency.	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.
<b><i>Ability to work with central and local government</i></b>		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.
<b><i>Ability to work with other NGOs.</i></b>		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

Possible IDF/PPF addition: Information Resources Management

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<b>INFORMATION RESOURCES</b>				
<b>Accessing</b>	Organization is in the process of identifying information needs and thinking through the equipment and skill needs.	Organization has identified information needs and has mobilized the resources necessary to fulfil them. Organization has begun to access needed information, and a select number of people understand how the information fits into the overall organizational goals.	Organization has a strategy for determining information needs and accessing information accordingly. Information is used for decision-making on a case-by-case basis.	Organization follows a strategy so that is effective and efficient in accessing the information that the organization needs, and the information is used in the work the organization does and in the decisions that need to be made.
<b>Disseminating</b>	Organization rarely disseminates information.	Organization disseminates specific information regularly.	Organization disseminates information to a wide variety of partners.	Organization has a strategy for disseminating information that includes wide variety of partners. It can easily respond to ad hoc requests, and has information on-hand for distribution.
<b>Creating/Publishing</b>	Organization does not have documented information of its own.	Organization has documented information of its own.	Organization is able to produce documented information as it identifies the need for such products. Products are supported by external funding such as grants.	Organization produces documented information regularly, responding to the needs of its partners. It is able to sell these products at least for cost.

## PROGRAMME PERFORMANCE FRAMEWORK

Resources	CRITERIA FOR EACH PROGRESSIVE STAGE			
	Founding	Developing	Expanding/ Consolidating	Sustaining
<b>BUILDING CITIZEN AWARENESS</b>				
<b>Creating materials</b>	Organization is able to retrieve materials on limited subjects that other organizations have developed and use them appropriately.	Organization develops its own materials on a number of subjects using others' resources as a guide, and it is aware of the differences among the various audiences it targets.	Organization develops its materials on a variety of topics and tailors them to the needs of all (or most) possible audiences. Organization occasionally shares its materials with other like organizations.	Organization has an established library of resources on the subjects in which it works appropriate to a wide variety of audiences, and refers to when creating new materials. Organization swaps content ideas and materials with other like organizations.
<b>Delivering materials</b>	Organization disseminates information of interest to a limited audience.	Organization uses more than one medium to disseminate timely information of interest to a diverse audience (regionally, SES, language, ethnic group).	Organization has partnerships with a number of information distributors that help it to disseminate timely, relevant information to a wide audience on a number of topics relevant to its mission.	Organization is known for distributing useful information in a timely manner on subjects that are of interest to its wide audiences and relevant to its mission. It is able to broker in-kind exchanges with information distributors for disseminating its programming.

## PROGRAMME PERFORMANCE FRAMEWORK

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<b>DOING ADVOCACY</b>				
<b>Retrieving information</b>	Organization is informed about the issue through several sources of information.	Organization is able to get information from a variety of reliable sources, including its constituents.	Organization is well connected to sources of information, and is able to poll its members on their opinions of issues. It shares information with like organizations.	Organization is well known for producing reliable information gathered from numerous sources, and it able to sell/swap this information with a variety of interested parties.
<b>Articulating the issue</b>	Organization is able to present its position on the issue to at least one decision-making entity.	Organization has a number of decision-making bodies that it targets with tailored messages. It is able to evaluate information from its sources and put together an informed position.	Organization has linkages with organizations that work with like issues, and has audience with a number of its target entities.	Organization, when it wants, partners with other like organizations to deliver messages to strategically chosen recipients.
<b>Representing a constituency</b>	Organization is able to claim representation of a specific group of people.	Organization is able to recruit new members of its constituency.	Organization has a large constituency that communicates with the organization and relies on it to represent their views/needs.	Organization is well-known among its constituents, and the constituents support the organization (financial, in-kind, and volunteering)
<b>Networking with international institutions</b>	Organization is able to cite what international organizations are doing on the issue, in its favour.	Organizations have relationships with a few international organizations that have issues in common.	Organization has a number of relationships with international organizations, and those external organizations rely on it to provide them with current country information on the issue.	Organization is generally known among international organizations, receives support from them, and is relied on for providing them with country information. In addition, the organization may be asked to be an interlocutor or representative for the international organizations.