

OA Tool 6 : Burke Litwin Model

The “Burke-Litwin model” has been developed to examine organisational change and performance. It provides a link between an assessment of the wider institutional context and the nature and process of change within an organisation. It makes the following key points:

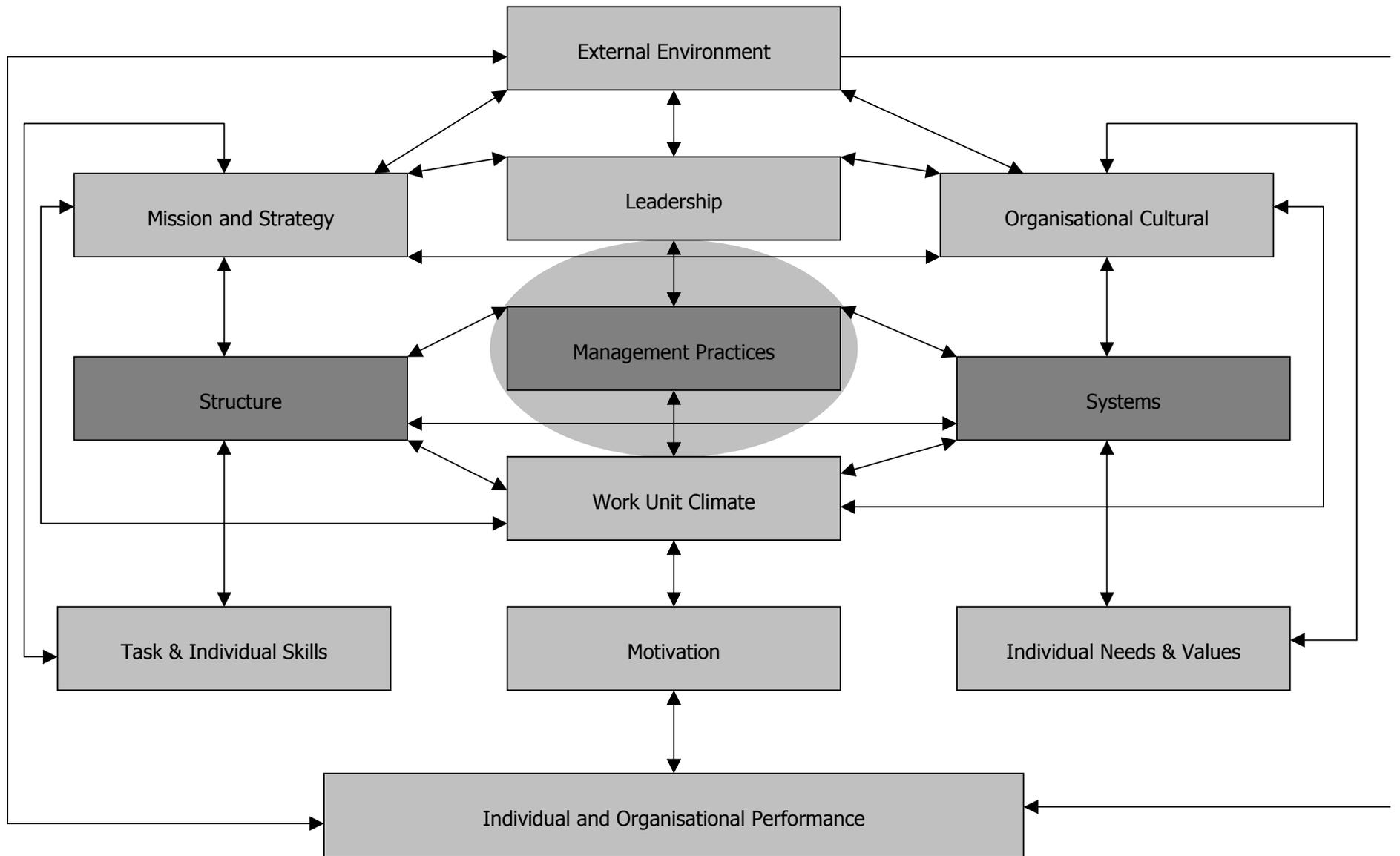
- The external environment is the most powerful driver for organisational change
- Changes in the external environment lead to significant changes within an organisation – its mission and strategy, its organisational culture and its leadership.
- Changes in these key factors lead to other changes within an organisation – changes to structure, systems and management practices. These are more operational factors and changes in them may or may not have an organisation-wide impact
- Together these changes affect motivation, which in turn impacts on individual and organisational performance
- The model describes 12 organisational variables (incorporating the 7 variables of the 7-S model) and the relationships between them. Each of the variables interact and a change in any one of them can eventually impact on the others. This is useful in explaining not only how organisations perform, but also how they can be changed.

How do I use it?

- Gather data on relevant boxes based on desk research and interviews with key stakeholders throughout the organisation
- Summarise findings in a report for senior staff. This report can then be used as a basis for identifying which boxes relate to which executives and managers, and can be useful in helping them understand the complex performance and change issues they are trying to manage
- Key questions to include are summarised in the table below.

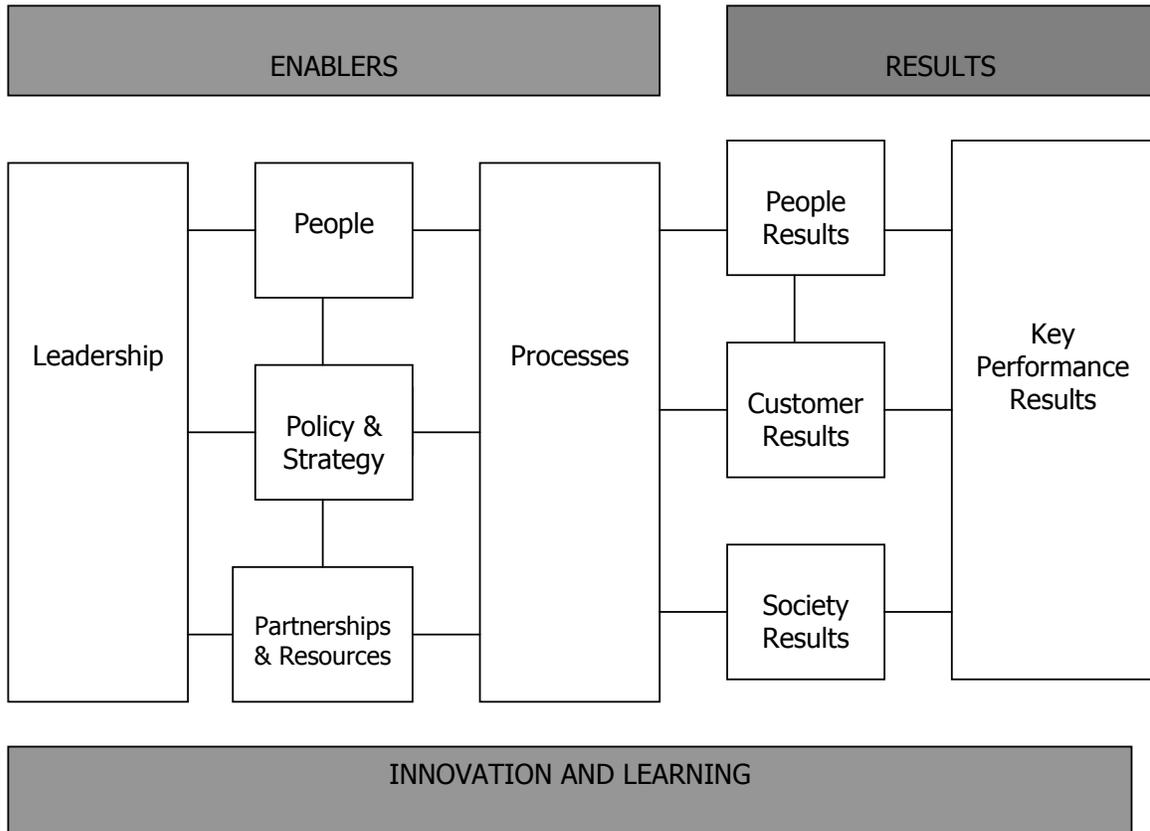
Dimensions of Model	Key Questions
1. External Environment	What are the key external drivers? How are these likely to impact on the organisation? Does the organisation recognise these?
2. Mission and Strategy	What do top management see as the organisation’s mission and strategy? Is there a clear vision and mission statement? What are employees’ perceptions of these?
3. Leadership	Who provides overall direction for the organisation? Who are the role models? What is the style of leadership? What are the perspectives of employees?
4. Organisational Culture	What are the overt and covert rules, values, customs and principles that guide organisational behaviour?
5. Structure	How are functions and people arranged in specific areas and levels of responsibility? What are the key decision-making, communication and control relationships?
6. Systems	What are the organisation’s policies and procedures, including systems for reward and performance appraisal, management information, HR and resource planning, etc?

7. Management Practices	How do managers use human and material resources to carry out the organisation's strategy? What is their style of management and how do they relate to subordinates?
8. Work Unit Climate	What are the collective impressions, expectations and feelings of staff? What is the nature of relationship with work unit colleagues and those in other work units?
9. Task and Individual Skills	What are the task requirements and individual skills/abilities/knowledge needed for task effectiveness? How appropriate is the organisation's "job-person" match?
10. Individual Needs and Values	What do staff value in their work? What are the psychological factors that would enrich their jobs and increase job satisfaction?
11. Motivation	Do staff feel motivated to take the action necessary to achieve the organisation's strategy? Of factors 1-10, which seem to be impacting most on motivation?
12. Individual and Organisational Performance	What is the level of performance in terms of productivity, customer satisfaction, quality, etc? Which factors are critical for motivation and therefore performance?



OA Tool 7 : EFQM Excellence Model

The European Foundation for Quality Management (EFQM) Excellence Model provides a framework for assessing the aspects of performance which make an organisation successful. The version of the model shown below is designed specifically for public and voluntary sector organisations.



For each of the nine central boxes there is:

- a definition
- a set of sub-criteria which pose specific questions to be considered in an assessment
- a list of possible areas to address to improve performance under each sub-criterion

The self analysis chart below offers an opportunity for an organisation to calculate and consider its performance using the model.

Organisational Self Analysis Chart

Starting with Leadership, read all the statements and choose and circle the number you feel best reflects the situation within your organisation. Multiply the number you have chosen by the factor shown and enter your score in the Total box. Repeat the exercise for the other eight criteria and total your scores to produce a grand total.

Score	Leadership	Policy and strategy	People management
1	Management act as individuals in taking and communicating decisions. They promote the need to develop and improve the organisation and to set targets	Partial business plans exist – only concentrating on financial targets. Plans are not widely communicated or visibly championed by top team	Training is seen as a cost and people are employed to do a job
2			
3	Management act as a team, ensure two-way open communication, become involved in improvement groups. They agree plans and set priorities.	Business plans encompass competition data e.g. customer satisfaction measures. Key points are communicated; individuals understand and accept responsibility	The management team recognises that success comes from employees. Skills training is encouraged and training plans are agreed and aligned to company goals,
4			
5	Managers develop and support improvement teams and make time available for them to work. They check progress and recognise involvement; they say "thank you".	Strategic direction – vision, mission objectives etc. are communicated to all stakeholders. A new culture is being developed. Resources made available for continuous improvement	Delegation of responsibility to people at appropriate levels takes place. Appraisal schemes match the aspirations of the people and organisation.
6			
7	Managers are willing to "let go" and empower people to become involved in improvement teams between department and with customers and suppliers	Strategic direction understood by all stakeholders. Visibility championed by top team. Key success indicators (e.g. meeting customer needs) are reviewed at all levels in the organisation	Employees are allowed to implement improvement activity without reference to management. A climate conducive to personal development and continuous improvements exists.
8			
9	All managers are active inside and outside the organisation in promoting improvement activity. Continuous improvement is the culture and business philosophy	Strategic direction visibility achieved. People's success recognised by leaders at all levels. Innovation and continuous improvement is the culture throughout the organisation.	Staff morale is high and exceeds the competitive benchmark. The full potential of all people is being realised to achieve the strategic direction.
10	Are you REALLY this good?		
	FACTOR	FACTOR	FACTOR
	<div style="border: 1px solid black; padding: 5px; width: 80px; margin: 0 auto;">X 10 =</div>	<div style="border: 1px solid black; padding: 5px; width: 80px; margin: 0 auto;">X 8 =</div>	<div style="border: 1px solid black; padding: 5px; width: 80px; margin: 0 auto;">X 9 =</div>
	TOTAL <input style="width: 60px; height: 25px;" type="text"/>	TOTAL <input style="width: 60px; height: 25px;" type="text"/>	TOTAL <input style="width: 60px; height: 25px;" type="text"/>

Score	Resources	Processes	Customer satisfaction
1	Resource management tends to be directed solely at financial areas. Decisions on stock and materials are taken using hunches and 'gut' feelings. Information is 'kept in people's heads'.	Few procedures exist apart from financial controls. Everyone does their best and firefighting is the norm. Changes are made to fix problems as and when appropriate.	Customer satisfaction only considered in terms of external complaints. Complaints are dealt with when they arise with little attempt to find or correct the cause.
2			
3	Information available – often talked about or over-analysed but rarely used to improve. Cash and working capital are seen by all to be important. Stock controls in place	Procedures have been written and imposed. A bureaucratic system exists with little chance for improvement. Non conformances are seen as "bad". Systems purpose not clear to operators	Customer satisfaction measures are available for surveys. This data is used to set performance standards and staff have been trained in customer service.
4			
5	Decisions are made on the basis of information. Stock is related to customer requirements. Process improvements and evaluation of new technology takes place. Planning systems are in use	Critical process are owned and there is support to monitor and improve them. Ownership is assigned to management who review corrective action etc.	The need to meet agreed customer needs is reflected within the core strategic plans. A customer care policy exists and is widely published.
6			
7	All areas of waste are measured and form part of the improvement plan. Data is gathered to form an accurate view of competitors and used in business planning. Financial plans meet stakeholders needs	Meeting customer needs is seen as the purpose of the system. Procedure and operating standards are owned by the operators, managers and suppliers. Processes are being controlled.	Continuous research exists to identify and meet individual customer needs. This research is fully integrated into business planning, improvement and innovation processes.
8			
9	All the companies' resources are deployed to meet agreed policies and strategies. Benchmarking against the 'best in class' is a key resource improvement driver.	System ensures all stakeholders' needs are met by existing and new products and services. Customers find it easy to do business. Continuous feedback causes improvement and innovation.	Customer commitment is being delivered by all processes and relationships. Improvement and innovation exceed customers' expectations and the competitive edge is being increased.
10	Are you REALLY this good?		
	FACTOR <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">X 9 =</div> TOTAL <input style="width: 50px; height: 20px;" type="text"/>	FACTOR <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">X 14 =</div> TOTAL <input style="width: 50px; height: 20px;" type="text"/>	FACTOR <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">X 20 =</div> TOTAL <input style="width: 50px; height: 20px;" type="text"/>

Score	People satisfaction	Impact on policy	Business results
1	Disputes and grievances are resolved as and when they arise. Absenteeism and/or staff turnover are high. Morale at times is poor and management tend of concentrate on themselves.	Environmental and social obligations seen as costly and a threat to competitiveness. Damage limitation exercises are used to counter 'problems'. Community work limited to individuals.	The financial results are available and some non-financial indicators published. They are seen as management data by the majority of staff.
2			
3	People's views are sought through surveys. Staff are consulted on improvement but grievances are dealt with by "personnel". Health and safety are treated seriously.	Environmental and social requirements are dealt with to conform fully with legal requirements. Policy documents and internal standards have been written.	Systems exist to monitor and display financial and non-financial indicators. They are communicated to staff and improvement targets indicated.
4			
5	Two way internal discussions take place and some form of appraisal process is used for joint improvement targets. Communication and feedback on a broad range of issues happens – morale is good.	Strategic quality planning incorporates environmental and social obligations. Responsibility is allocated to senior managers. Environmental audits take place. Keen practitioners are encourages.	Indicators are used to measure process and output and available for improvement teams. Trends are monitored and used to set targets. Supplier quality is measured and shared.
6			
7	Business changes that may adversely affect staff are jointly worked on. Data available to show that all employees feel responsible for both their jobs and improving the organisation's capability.	Data shows the organisation "betters" legal requirements. Encouragement is given for employees to become involved in supporting local community activities. Public aware of environmental strategy.	Benchmarking is used to compare results with industry and "best in class" trends. Differences between targets and results are always published and available on request.
8			
9	Benchmarking against other organisations shows employee satisfaction is high and has an improving trend. Two way appraisal is taken as "the norm".	Data is gathered and views sought from local society and employees, and is used in business planning. The organisation has received formal recognition of environmental performance.	The organisation performance exceeds external benchmarks and stakeholders are proud to be associated with us. A commitment by all to improve our business continually is our culture.
10	Are you REALLY this good?		
	FACTOR <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">X 9 =</div> TOTAL <input style="width: 50px; height: 20px;" type="text"/>	FACTOR <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">X 6 =</div> TOTAL <input style="width: 50px; height: 20px;" type="text"/>	FACTOR <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">X 15 =</div> TOTAL <input style="width: 50px; height: 20px;" type="text"/>
GRANT TOTAL <input style="width: 100px; height: 25px; border: 2px solid black;" type="text"/>			

OA Tool 8 : Capacity Assessment Guide

The assessment guide below might be useful in helping you as a facilitator, identify appropriate questions or to reflect upon information already collected to identify gaps in your knowledge. It is not intended that you work systematically through the list.

CAPABILITY		INDICATORS
1.	ORGANISATIONAL FOUNDATIONS	<ul style="list-style-type: none"> • Organisation vision, mission and strategy are clearly defined, consistent and shared among staff. • Strategy links core programmes with organisational capacities and environmental realities, to promote sustainable change. Key programmes include: <ul style="list-style-type: none"> • _____ • _____ • _____ • Strategy and programmes address fundamental societal values and issues (e.g. disaster relief, gender) • Legal form and organisational policies (e.g. governance, personnel, financial) make organisation accountable to and legitimate within larger society.
2.	ORGANISATIONAL RESOURCES	<p>PHYSICAL AND INFORMATION RESOURCES</p> <ul style="list-style-type: none"> • Physical space/facilities are adequate to tasks • Needed equipment and materials are available • Information (technical, social political) for programme performance is available. <p>FINANCIAL RESOURCES</p> <ul style="list-style-type: none"> • Funds are available for planned activities • Financial data are up-to-date and accurate • Effective financial management and accounting systems are in place • Financial systems are transparent to key constituents. <p>HUMAN RESOURCES</p> <ul style="list-style-type: none"> • Staff skills and numbers are adequate to do work • Compensation is adequate and equitable • Staff have relevant development plans and opportunities • Recruitment, reward and promotion systems encourage good performance and staff morale.
3.	ORGANISATIONAL CAPACITIES	<p>LEADERSHIP</p> <ul style="list-style-type: none"> • Leaders articulate and communicate core values and visions • External constituents respect organisational leadership • Leaders involve staff in organisational planning and decision-making • Leaders set good example for staff. <p>ORGANISATION AND MANAGEMENT</p> <ul style="list-style-type: none"> • Organisation structures and systems divide and co-ordinate work effectively • Vertical and horizontal communications are clear and understood • Delegation of authority enables responsible staff participation • Organisation uses staff differences in skills and perspectives constructively <p>LEARNING</p> <ul style="list-style-type: none"> • Organisation fosters individual and team problem-solving • Organisation makes systematic effort to learn from its experience and problems • Organisation translates learning into innovative action.
4.	CORE TASK IMPLEMENTATION	<ul style="list-style-type: none"> • Core tasks are clearly understood and accepted • Staff and staff teams work and learn together well • Staff are held accountable to clear performance standards • Monitoring and evaluation provides feedback used for performance improvement and organisational learning
5.	BENEFITS AND IMPACTS	<ul style="list-style-type: none"> • Programmes reach planned and measurable performance objectives/targets • Intended beneficiaries perceive and value benefits • Programmes build sustainable local capacities and resources rather than dependency • Programmes validate or elaborate organisation's strategy and theory of development • Unintended consequences are recognised and dealt with effectively

6.	EXTERNAL RELATIONS	<ul style="list-style-type: none">• Organisation creates and maintains stable relationships with donors• Government agencies respect and are influenced by organisation's work• Organisation build alliances with and learns from other NGOs• Larger publics perceive organisation's work as valuable• Organisation can construct alliances across sectors to solve development problems.
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OA Tool 9 : Organisation Effectiveness Questionnaire

These questions can be used to identify appropriate areas of investigation or gaps in information so far acquired. They represent an elaboration of the Capacity Assessment Guide included in this Manual.

PURPOSE AND STRATEGY	
1.	Does the organisation have a clearly-defined purpose to which staff and Board are committed?
2.	Does it have a well developed and realistic strategy to achieve its purpose? Has it, for example, taken into account: the organisation's capacity to deliver the programmes; the availability of the necessary resources; the needs and wishes of the target groups; and various "environmental" factors (government policy, the political and economic situation, climate, and so on)? Does the organisation engage in strategic planning - who is involved?
ORGANISATIONAL CULTURE	
3.	Do the Board and staff have the same values concerning both the purpose and the way that the organisation operates? How are these values expressed?
CONTROL AND ACCOUNTABILITY	
4.	Does the Board really control the organisation? What power does the Executive Director, the staff, target groups, or donors have over the decision-making process? Is this power appropriate in the long term?
5.	Are there good relations between the Board and the staff? Does the Board receive adequate information to be able to take realistic decisions?
6.	Is the organisation accountable to its various interest groups; target groups, local communities, government, donors and staff? Does it have a clear policy on accountability? Is this policy implemented?
PRODUCTS, PROGRAMMES AND SERVICES	
7.	Do the target groups participate in the planning, management and evaluation of the programmes?
8.	Are the programmes effective and appropriate? Do they meet the priority needs of the target groups? Are they sustainable in the long term? Do the programmes have a long-term impact on the local community and/or country?
9.	Does the organisation have the ability to adapt the programmes (and the strategy) to changing situations and needs?
10.	Does the organisation have the ability to develop and/or expand the programmes without over-extending itself?

11.	Does it have the staff with the relevant skills and experience for each programme (sectoral skills, facilitation skills, experience with target groups, etc.)?
	A LEARNING ORGANISATION
12.	Does the organisation have the ability to think critically about itself? Does it have the ability to learn from its successes and failures? What evidence is there of this?
	GROWTH AND CHANGE
13.	Has the organisation grown significantly in recent years? What is the attitude of the staff to change? How has it coped with the change?
14.	Has the organisation diversified recently? Did it over-extend itself? Did the staff have the relevant capacity before diversification? Was the diversification planned or was it forced on the organisation?
	RESOURCES IN GENERAL
15.	Does the organisation have adequate resources to carry out its activities? If not, does it have a realistic plan for obtaining the resources?
16.	Is there a plan for distributing the resources? Are they, in fact, distributed efficiently and fairly? Is there a system for resolving conflict over resources?
	FINANCIAL RESOURCES
17.	Does the organisation have several sources of funding? If it is dependent on grants, does it have plans to generate income in alternative ways?
18.	Does the organisation have to spend an unreasonable proportion of its time on obtaining financial resources (and on satisfying donor reporting demands)? Do donors unduly influence the organisation's strategy and programmes?
19.	Is there a difference between what the organisation says it does and what it actually does? Is there adequate communication between the fund-raising and the operational departments?
20.	If the organisation does not have sufficient funding, how does it cope with inadequate funding?
21.	If the organisation is offered more funding than it immediately needs, is it pressurised into expanding or diversifying without planning or possibly without having the necessary capacity?
	HUMAN RESOURCES
22.	Is there an adequate number of staff with the required skills to carry out the programmes and to run the organisation?
23.	Is there an adequate system for recruiting and firing staff? Do political, family or personal ties unduly influence this process?

24.	Does the organisation have the ability to resolve conflict among the staff, or between outside groups and the organisation?
25.	Is there a formal or informal training programme for the staff? Are different individual needs acknowledged in this programme?
26.	Is there a high turnover of staff? Does the organisation have the appropriate incentives for motivating and retaining staff?
27.	Is there an adequate personnel system for administering staff, ensuring equitable treatment, resolving grievances, and so on?
COMMUNICATION	
28.	Does the organisation have an effective system for circulating information to all concerned? Are there aspects of the organisation's activities that are kept unnecessarily secret?
29.	Is there a spirit of open communication within the organisation? Do people work as a team or as individuals? Are office doors kept closed as much as possible? Does the staff get together over coffee and/or lunch? Are there social occasions?
30.	Is conflict managed or ignored? How is conflict resolved between: Board and staff; volunteers and professionals; headquarters and field staff?
31.	Is communication two-way? In other words are staff acknowledged as important sources of operational AND strategic information
LEADERSHIP	
32.	Is the leadership style(s) used by the directors and/or senior staff appropriate to the organisation, its purpose and values? Do staff resent the way that they are managed?
33.	Are responsibilities delegated to the appropriate staff? Does the delegation work?
34.	Is the organisation dominated by the original Founder? If so, does s/he control (or try to control) every aspect of the organisation and to resist change?
35.	Are there any possible successors to the current director?
36.	Does the staff feel that they can speak openly?
PROBLEM-SOLVING AND DECISION-MAKING	
37.	Does the organisation have a system (and do the staff have the skills) for identifying problems, analysing options and then taking the relevant decisions?
38.	Is the staff involved in the decision-making process? Are they consulted about issues before the decisions are taken? Do they feel that their opinions are considered?
PLANNING, MONITORING AND EVALUATION	

39.	Are there well-established systems for planning, monitoring (controlling) and evaluation? Does the staff have the necessary skills? Are the systems actually used? What are the staff's attitudes to planning and evaluation?
40.	What happens to the results of the evaluation? Are they gathering dust or are the recommendations put into practice? Are they used in the planning process?
STRUCTURE AND SYSTEMS	
41.	Does the organisation have a structure (and administrative systems) that is appropriate to its functions? Is the structure over-complicated for the size of the organisation or, for that matter, so simple that it is almost non-existent?
42.	Does the staff have clear job descriptions? Do they know what authority they have, what results they are expected to achieve and how they will be assessed?
43.	Does the organisation have adequate systems and administrative procedures?
FINANCIAL MANAGEMENT	
44.	Does the organisation have an adequate financial management system (and skills)? Are the budgets realistic? Do the financial controls work? Does the programme staff have a reasonably accurate picture of the financial situation of the various projects and activities?
45.	Is the organisation technically bankrupt? Has it pre-financed projects that have not been guaranteed by donors? Has it commitments (for example, staff salaries or even projects) that are greater than its reserves?
46.	Are project funds clearly separated? Is there any danger that temporary credits in one project account could be used to finance (however temporarily) another project - especially where local and foreign currencies are separated?
47.	How does the organisation deal with cash-flow difficulties? Does it have any reserves?
CROSS-CULTURAL ISSUES	
48.	Are there any cross-cultural issues affecting the organisation. If so, how does the organisation deal with them?
EXTERNAL LINKAGES	
49.	Does the organisation have good relations with government (national and local)? Does its strategy take the government's plans into account?
50.	Has the organisation established links with other organisations working in the same sector or geographical area, or with the same target groups? Is its basic attitude one of collaboration or of competition?
51.	Does the organisation have good relations with the local communities? Can it mobilise participation in its programmes?

OA Tool 10 : Discussion Orientated Self Assessment (DOSA)

This wide-ranging questionnaire requires internal facilitation. It can be adapted or reduced to suit the needs of the organisation being assessed. It is particularly effective when 'broken down' into smaller parts and for this reason, each new section of the questionnaire is started on a new page. This should assist with photocopying.

DOSA has been designed for a variety of purposes:

- to serve as a diagnostic tool to determine the specific changes needed to strengthen an NGO development
- establish an existing baseline for capacity building
- monitor progress towards organisational development objectives
- serve as a means to educate staff about the components and attributes of an effective NGO
- create a strong and shared commitment to change within an NGO.

Discussion Oriented Organisational Self-Assessment (DOSA)

Date of self-assessment:

Facilitator:

Other self-assessment team members:

I. Human Resource Management

Discussion:						
a) What and when was our most recent staff training? Who participated?						
b) How often over the last 12 months have we held joint staff training events?						
1	We provide adequate joint staff training for successful implementation of our programme	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:						
a) For our three most recent staff training events, what evidence is there that they strengthened staff capacity and performance?						
b) To what extent were the areas of improved staff capacity relevant to our human resource needs?						

c) To what degree did these training events prepare staff to respond to our strategic objectives?

2	Our staff training directly contributes to the achievement of our organisation's objectives	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:
a) What are three primary, activities that we undertake to achieve our mission?

b) To what extent does staff, as a group, have the necessary skills to carry out these functions?

c) How many staff are in our organisation? To what extent is the number of employees carrying out these functions appropriate with work demands?

		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
3	We have the appropriate staff skills to achieve our mission	1	2	3	4	5
4	We have the appropriate staff numbers to achieve our mission	1	2	3	4	5

Discussion:

a) Over the last 12 months, to what degree have the personnel and management practices noted below influenced the performance of new recruits and old employees?

b) Give examples of instances in which the practices listed below either contributed to or detracted from employee performance.

The following systems or practices contribute to good performance by our employees:		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
5	Recruitment	1	2	3	4	5
6	Compensation (Salary and benefits)	1	2	3	4	5
7	Personnel evaluation	1	2	3	4	5
8	Promotion (Professional advancement)	1	2	3	4	5
9	Grievance and conflict resolution policy	1	2	3	4	5
10	Work place environment	1	2	3	4	5
11	Lines of authority and responsibility	1	2	3	4	5
12	Job description	1	2	3	4	5
13	Leadership practices	1	2	3	4	5

Discussion:

a) Over the last 12 months, to what extent have we experienced loss of competent staff?

b) What factors contributed to this loss?

c) For the same time period, what examples do we have of practices listed below that directly contributed to retention of competent staff?

		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
14	Our organisational culture (leadership style and management practices) encourages staff retention and continuity and stability	1	2	3	4	5
15	Commitment and feeling of ownership encourage staff continuity and stability in our organisation	1	2	3	4	5

Discussion:						
a) List three key ways in which staff are supervised						
b) To what degree did these practices improve the supervisee's ability to meet organisational expectations?						
		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
16	Supervisory practices enhance our staff's capacity to meet the organisation's objectives					
		1	2	3	4	5

II. Finance Resource Management

Discussion:

a) What are our practices and procedures/systems for account keeping

b) What are the difficulties we encounter?

		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
17	We have appropriate accounting systems in place which provide adequate financial control	1	2	3	4	5
18	Our financial transaction provides adequate transparency and accountability	1	2	3	4	5
19	Internal and external financial reviews provide confidence among staff and other stakeholders including donors	1	2	3	4	5

Discussion:
 a) What are our organisational objectives this financial year and to what extent are these reflected in our current budget?

b) What *specific features* of this year's budgeting process facilitated consideration of mission and programme priorities?

20	The budgeting process leads us to allocate funds in a way that closely reflects our organisational priorities	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:
 a) How accurate were last year's financial projections?

b) How timely is the distribution of financial reports?

c) Do we have contingency measures currently in place if projected revenue fails to materialise?						
		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
21	Our financial management practices lead to accurate financial projections	1	2	3	4	5
22	We regularly modify our programme expenditures based on findings presented in our internal financial reports	1	2	3	4	5

Discussion:

a) List three recent procurements (goods or services)

b) Did procurement follow written procedures?

c) What was the impact of these procedures on costs?

23	Our procurement practices contribute to the effective use of recourses	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

a) Over the past year, what problems, if any, have we had regarding delayed transfer of funds to the field or our partner organisations if any?

b) What mechanisms are in place to ensure that money flows to our partner organisations in a timely manner?						
c) How effective are these mechanisms?						
24	Our cash management procedures lead to the timely disbursement of funds	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
Discussion:						
a) When was the last time we reviewed the level of reserves in relation to our annual operating budget?						
b) For how many months could we maintain our current level of operations if we were solely dependent on the reserves we have on hand?						
c) What concrete measures are we currently taking to enhance our reserves?						

25	We take concrete steps to build our reserve fund	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

III. Service Delivery

Discussion:

a) List three representative projects in our current programme portfolio together with key stakeholders in these projects? Who are our stakeholders?

b) For the three projects identified, what are some concrete examples of stakeholder involvement in each of the processes listed below?

Stakeholder in our programmes are engaged in:		Never	Seldom	Occasionally	Frequently	Always
26	Assessing needs	1	2	3	4	5
27	Designing projects	1	2	3	4	5

28	Implementing projects	1	2	3	4	5
29	Monitoring projects	1	2	3	4	5
30	Assessing their impact	1	2	3	4	5

Discussion:

a) For the three projects identified in the preceding question, to what degree are *traditionally under represented* stakeholders (e.g. rural poor, women, ethnic minorities) engaged in the tasks listed below?

Traditionally under-represented stakeholders are engaged in:		Never	Seldom	Occasionally	Frequently	Always
31	Assessing needs	1	2	3	4	5
32	Designing projects	1	2	3	4	5
33	Implementing projects	1	2	3	4	5
34	Monitoring projects	1	2	3	4	5
35	Assessing their impact	1	2	3	4	5

Discussion:

a) For the same three representative projects, what impact indicators are we using to track progress towards meeting project objectives?

b) To what extent does the evidence that we have in hand suggest that we are achieving intended impact?

c) To what extent does the evidence that we have in hand suggest that we are enhancing the capacity of local organisations?

Our projects:		Never	Seldom	Occasionally	Frequently	Always
36	Routinely use result-based indicators to monitor progress in achieving objectives	1	2	3	4	5
37	Are routinely monitored through internal evaluations	1	2	3	4	5
38	Achieve intended impact as captured through internal and external evaluation	1	2	3	4	5
39	Enhance local/village organisational capacity as captured through evaluation	1	2	3	4	5

Discussion:
 a) For the same three representative projects, to what degree have we addressed each of the sustainability issues listed below?

b) To which kinds of sustainability (environmental, economic, political, social, cultural) do we pay most attention?

c) Least attention?						
Throughout the project cycle (design, implementation, monitoring and impact assessment) we give adequate attention to:		Never	Seldom	Occasionally	Frequently	Always
40	Environmental sustainability (how project activities impact on the quality of water, air and soil, and biodiversity)	1	2	3	4	5
41	Economic sustainability (how recurrent costs associated with project activities will be met)	1	2	3	4	5
42	Political sustainability (how project-supported innovations will be accommodated within the framework of existing laws, policies and political institutions)	1	2	3	4	5
43	Institutional sustainability (how the long-term viability of institutions created through project activities will be maintained)	1	2	3	4	5
44	Cultural sustainability (how project-supported innovations fit within the framework of existing norms, values, roles and practices)	1	2	3	4	5
Discussion:						
a) With respect to the same three projects, how have we delivered technical support to the field?						

b) To what degree has this technical support to the field been timely and appropriate?

c) What discernible impact has this technical support had on meeting project objectives?

45	The quality of technical support for our field-based activities contributes to achievement of project objectives	Never	Seldom	Occasionally	Frequently	Always
		1	2	3	4	5

IV. External Relations

Discussion:

a) Over the last 12 months, what kinds of information about our work have we shared with our members (if any), users and the general public?

b) In the context of all the information we present to our members, users and the general public, what relative priority have we assigned to information about our impact?

c) How effectively do we demonstrate the impact of our work to group members and the general public?

We routinely share information on our progress in achieving our mission through our communications with:		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
48	Constituency/Membership	1	2	3	4	5
49	Users/Beneficiaries	1	2	3	4	5
50	General public	1	2	3	4	5

Discussion:						
a) Over the last 12 months, to what kinds of donors (e.g. bilateral, major foundations, corporations) have we submitted narrative and financial reports?						
b) To what degree have these reports increased donor confidence in our work?						
		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
51	Timely financial reports contribute to donor confidence in our programmes	1	2	3	4	5
52	Timely narrative reports contribute to donor confidence in our programmes	1	2	3	4	5
Discussion:						
a) Over the past 12 months, what has been the frequency and nature of our organisational contacts with policy makers?						
b) To what degree are these contacts part of an ongoing communication strategy?						
53	We regularly engage relevant policy makers and institutions in dialogue related to our mission	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

a) Over the past 12 months, what specific linkages have we established or maintained with the private business sector?

b) During the same period, to what degree have we offered companies the opportunity to assume a role other than that of donor?

54	We forge innovative linkages with the private business sector	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

a) What concrete measures have we taken over the last 12 months to diversify our funding?

b) How effective have these measures been?

c) To what degree is our organisational viability dependent upon the continued support of just a few large donors?

55	We take active measures to diversify our financial support	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:
a) Who are our current donors?

b) Do we have fewer or more than last year?

b) Who funded us last year and who stopped funding?

The following categories of donors are increasingly interested to fund our organisation		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
56	Private individuals	1	2	3	4	5
57	Bi-laterals	1	2	3	4	5
58	Public Sector/Government	1	2	3	4	5
59	Multilaterals	1	2	3	4	5
60	Others	1	2	3	4	5
Discussion:						
a) How do we develop project proposals for donors? Who participates and how?						
b) To what extent do our funding proposals influence the donor?						
		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
61	Proposal development process builds donor confidence	1	2	3	4	5
62	Proposals draw adequate funds for accomplishing planned activities	1	2	3	4	5
Discussion:						
a) Over the past 12 months, what feedback on our performance have we gathered from donors, members, users or the general public?						

b) What are some concrete examples of changes we have made on the basis of this feedback?						
63	We routinely use feedback to improve performance	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

V. Organisational Learning

Discussion:

a) What information has flowed between senior management at Headquarters and non-supervisory staff (including field staff) over the *past month*? Typically, who initiated these communications?

b) Is the prevailing flow of information top-down or bottom-up? Is information exchanged horizontally, e.g. between field offices?

c) Typically, to what degree did recipients perceive this information to be useful?

Information flows freely:		Never	Seldom	Occasionally	Frequently	Always
64	Across Headquarters units and functions	1	2	3	4	5
65	To and from field offices	1	2	3	4	5

Discussion:

a) Over the last 12 months, what have been our organisational priorities? What information was available to us as we worked through these issues?

b) To what degree was the information useful in achieving our organisational objectives?

c) How typical are these examples of informational resources within our organisation in terms of content and timeliness?

		Never	Seldom	Occasionally	Frequently	Always
66	Available information is accurate	1	2	3	4	5
67	Available information is relevant	1	2	3	4	5
68	Available information is timely	1	2	3	4	5

Discussion:
 a) Over the last 12 months, what data (qualitative and quantitative) have we routinely analysed and reviewed:

b) List some examples of how this data analysis has influenced our practice

c) To what extent does data analysis and review contribute to our organisational learning?

		Never	Seldom	Occasionally	Frequently	Always
69	We routinely collect and analyse data related to programme priorities	1	2	3	4	5
70	We modify our practices based on findings generated through data collection and analysis	1	2	3	4	5
Discussion:						
a) Over the past 12 months, what are some difficult organisational challenges that we have faced?						
b) To what degree have we used teamwork to resolve these issues?						
71	We use teamwork effectively to achieve our organisation objectives	Never	Seldom	Occasionally	Frequently	Always
		1	2	3	4	5
Discussion:						
a) Over the last 12 months, what are three examples of staff participation (including field staff) in planning and decision making?						
b) In each of these instances, how broad-based was this staff participation?						

c) In each of these instances, how influential was this participation in the overall decision-making process?

		Never	Seldom	Occasionally	Frequently	Always
72	Our leadership encourages staff participation in planning and decision-making	1	2	3	4	5
73	Staff views are reflected in organisational planning and decision-making	1	2	3	4	5

Discussion:

a) To what degree did meetings over the last month lead to progress in achieving organisational objectives?

b) To what degree did these meetings promote organisational learning?

c) What are some specific examples of learning that emerged from these meetings?

74	Our staff meetings directly contribute to organisational learning and mission achievement	Never	Seldom	Occasionally	Frequently	Always
		1	2	3	4	5

VI. Strategic Management

Discussion:						
a) Over the last 12 months, in what strategic planning activities has our organisation engaged?						
b) What conclusions about our external environment did we draw as a result of these activities?						
c) What changes did we make in our operations to reflect and enhance understanding of the environment in which we operate?						
		Never	Seldom	Occasionally	Frequently	Always
75	We use strategic planning to examine ourselves in relation to our external environment	1	2	3	4	5
76	We modify our strategic objectives based on findings generated through strategic planning exercise	1	2	3	4	5

Discussion:

a) List three important activities, programme and non-programme, that we have initiated over the last 12 months

b) To what extent do these activities reflect our strategic and operating plans?

		Never	Seldom	Occasionally	Frequently	Always
77	Our activities are developed and implemented in ways that are in line with our strategic and operation plans	1	2	3	4	5
78	We routinely track progress in achieving our strategic objectives	1	2	3	4	5

Discussion:

a) With respect to each of the areas listed below, what are some representative actions that our board has taken in the last 12 months?

b) What has been the discernible impact of these actions on our organisation?

Our Board has contributed competently in carrying out such functions as:		Never	Seldom	Occasionally	Frequently	Always
79	Fund raising	1	2	3	4	5
80	Public relations	1	2	3	4	5
81	Advocacy	1	2	3	4	5
82	Financial oversight	1	2	3	4	5
83	Policy definition	1	2	3	4	5
84	Strategic direction setting	1	2	3	4	5
85	Representation to key constituencies	1	2	3	4	5

Discussion:
 a) What are the most important programme and non-programme decisions that our Board, Senior Management frontline staff (non-supervisory positions) and field staff have made in the last 12 months?

Board

Senior Management

Frontline Staff

Field Staff

b) To what degree have these decisions meshed with our mission, goals and philosophy?						
c) What factors contribute to this degree of "fit" between decisions taken and organisation values?						
Our organisation's visions, mission and strategies are understood and well articulated by:		Never	Seldom	Occasionally	Frequently	Always
86	Frontline workers	1	2	3	4	5
87	Senior staff	1	2	3	4	5
88	Field staff	1	2	3	4	5
89	Board members	1	2	3	4	5