

# The Forbes Funds' Nonprofit Needs Assessment v2: Summary of Responses for Sample Organization



THE FORBES FUNDS

## ORGANIZATION INFORMATION

Name of organization	Sample Organization
Number of full-time staff	5
Number of part-time Staff	15
Number of volunteers	500
Number of board members	10
Total annual expenses (from most recent fiscal year)	\$909,998
Age of organization (in years)	8
Approximate number of individuals directly served by your organization annually	1,500
Approximate number of individuals indirectly served by your organization annually	30,000
Tenure of current CEO/Executive Director (in years)	8
Website address (put N/A if you do not have a website)	www.sampleorganization.org
Zip code for your organizations' main office location	15222
Name of CEO/Executive Director	Jane Doe
Name of contact person	Jane Doe
Title of contact person	Executive Director
Phone number of contact person	555-555-5555
Email of contact person	JDoe@SampleOrg.org
Budget size	\$1,000,001 - 3,000,000
Mission statement	To Help Pittsburgh
Targeted Demographic	Pittsburgh Residents
Which system is your organization a part of serving?	Community Development
Geographics areas served	Pittsburgh - SouthSide/Hilltops; Allegheny County - South Boroughs; Allegheny County - East Boroughs, North Boroughs, South Boroughs, West Boroughs
Affiliations being considered	Collective impact collaboration, Shared staff, Shared space, Back office support
Benefits offered to employees	Healthcare, Dental, Pension/Retirement Plan, Education/Professional Development
Social Determinants of Health	Neighborhoods and built environments, Economic stability, Social and community context
UNSDGs (Top Five)	1, 4, 8, 11, 12
TFF current/past affiliations	GPNP, MAGs, EIR

## 1. LEADERSHIP CAPACITY

The CEO/ED is . . . **Female**

At least one board member is . . . **is female, is a person of color, identifies as someone who is living with a disability**

CEO/ED highest level of education: **Masters**

LEADERSHIP CAPACITY DIMENSION		RATING LEVELS* (1 THROUGH 4)	AVERAGE RATING FOR MANAGEMENT CAPACITY
1.01	Mission	2	<b>2.9</b>  *To see the description for your dimension rating levels refer to pages 4 - 6
1.02	Vision	1	
1.03	Overarching Goals	4	
1.04	Overarching Strategy	3	
1.05	Shared Beliefs & Values	3	
1.06	Board Composition & Commitment	3	
1.07	Board Governance	3	
1.08	Board Involvement & Support	3	
1.09	CEO/ED Experience & Standing	4	
1.10	CEO/ED Organizational Leadership / Effectiveness	3	
1.11	CEO/ED Analytical & Strategic Thinking	4	
1.12	CEO/ED Financial Judgment	3	
1.13	Board & CEO/ED Appreciation of Power Issues	2	
1.14	Community Presence & Standing	3	
1.15	Ability to Motivate & Mobilize Constituents	3	

## 2. ADAPTIVE CAPACITY

Does your organization have a current (w/in the last 3 - 5 years) strategic & operational plan? **Yes**

Does your organization have at least three months cash reserve? **Yes**

ADAPTIVE CAPACITY DIMENSION		RATING LEVELS* (1 THROUGH 4)	AVERAGE RATING FOR MANAGEMENT CAPACITY
2.01	Strategic Planning	3	<b>3.1</b>  *To see the description for your dimension rating levels refer to pages 6 - 8
2.02	Evaluation / Performance Measurement	4	
2.03	Evaluation & Organizational Learning	4	
2.04	Use of Research Data to Support Program Planning & Advocacy	3	
2.05	Program Growth & Replication	4	
2.06	New Program Development	3	
2.07	Monitoring of Program Landscape	3	
2.08	Assessment of External Environment & Community Needs	3	
2.09	Influencing of Policy-making	1	
2.10	Partnerships & Alliances	4	
2.11	Organizing	2	

### 3. MANAGEMENT CAPACITY

Turnover rate greater than 20% over the past year? **Yes**

Does your organization cross train staff? **No**

Succession plan for all executives? **Yes**

MANAGEMENT CAPACITY DIMENSION		RATING LEVELS* (1 THROUGH 4)	AVERAGE RATING FOR MANAGEMENT CAPACITY
3.01	Senior Management Team	4	<b>2.9</b>  *To see the description for your dimension rating levels refer to pages 8 - 11
3.02	Staff	4	
3.03	Dependence of Management Team & Staff on CEO/ED	4	
3.04	Shared References & Practices	3	
3.05	Goals / Performance Targets	4	
3.06	Program Relevance & Integration	3	
3.07	Funding Model	3	
3.08	Fund Development Planning	2	
3.09	Financial Planning / Budgeting	1	
3.10	Financial Operations Management	4	
3.11	Organizational Processes	1	
3.12	Decision Making Processes	3	
3.13	Knowledge Management	4	
3.14	Interfunctional Coordination & Communication	4	
3.15	Human Resources Planning	1	
3.16	Staffing Levels	3	
3.17	Recruiting, Development, & Retention of Management	2	
3.18	Recruiting, Development, & Retention of General Staff	3	
3.19	Volunteer Management	1	
3.20	Constituent Involvement	3	

### 4. ORGANIZATIONAL CAPACITY

Communication tools used regularly: **Brochures, Physical mailing, postcards or fliers, Annual report, Website, Electronic newsletter or eblasts**

Social media tools used regularly: **Facebook, Twitter, Instagram**

ORGANIZATIONAL CAPACITY DIMENSION		RATING LEVELS* (1 THROUGH 4)	AVERAGE RATING FOR ORGANIZATIONAL CAPACITY
4.01	Operational Planning	1	<b>2.5</b>  *To see the description for your dimension rating levels refer to pages 12 - 14
4.02	Skills, Abilities, & Commitment of Volunteers	2	
4.03	Fundraising	1	
4.04	Board Involvement & Participation in Fundraising	2	
4.05	Revenue Generation	1	
4.06	Communications Strategy	2	
4.07	Communications & Outreach	4	
4.08	Telephone & Fax	4	
4.09	Computers, Applications, Network, & Email	3	
4.10	Website	2	
4.11	Databases / Management Reporting Systems	3	
4.12	Buildings & Office Space	3	
4.13	Management of Legal & Liability Matters	4	

LEADERSHIP CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
1.01	Mission	No written mission or limited expression of the organization's reason for existence (lacks clarity or specificity); either held by very few in organization or rarely referenced	<b>Some expression of organization's reason for existence that reflects its values and purpose, but may lack clarity; held by some within organization and occasionally referenced</b>	Clear expression of organization's reason for existence which reflects its values and purpose; held by many within organization and often referenced	Clear expression of organization's reason for existence which describes an enduring reality that reflects its values and purpose; universally held within organization and frequently referenced
1.02	Vision	<b>No clear vision articulated; little shared understanding of what organization aspires to become or achieve beyond the stated mission</b>	Somewhat clear or specific understanding of what organization aspires to become or achieve; held by only a few, or "on the wall," but rarely used to direct actions or set priorities	Clear and specific understanding of what organization aspires to become or achieve; held by many within the organization and often used to direct actions and set priorities	Clear, specific, and compelling understanding of what organization aspires to become or achieve; universally held within organization and consistently used to direct actions and set priorities
1.03	Overarching Goals	Vision (if it exists) not explicitly translated into set of concrete goals, though there may be general (but inconsistent and imprecise) knowledge within organization of overarching goals and what it aims to achieve	Vision translated into a concrete set of goals; goals lack at least two of the following four attributes: clarity, boldness, associated measures, or time frame for measuring attainment; goals known by only a few, or only occasionally used to direct actions or set priorities	Vision translated into small set of concrete goals, but goals lack at most two of the following four attributes: clarity, boldness, associated measures, or time frame for measuring attainment; goals are known by many within organization and often used by them to direct actions and set priorities	<b>Vision translated into clear, bold set of (up to three) goals that organization aims to achieve, with specific time frames and concrete measures for each goal; goals are universally known within organization and consistently used to direct actions and set priorities</b>
1.04	Overarching Strategy	Strategy is either non-existent, unclear, or incoherent (largely a set of scattered initiatives); strategy has no influence over day-to-day behavior	Strategy exists but is either not clearly linked to mission, vision, and overarching goals, or lacks coherence, or is not easily actionable; strategy is not broadly known and has limited influence over day-to-day behavior	<b>Coherent strategy has been developed and is linked to mission and vision but is not fully ready to be acted upon; strategy is mostly known, and day-to-day behavior is partly driven by it</b>	Clear, coherent medium- to long-term strategy that is both actionable and linked to overall mission, vision, and overarching goals; strategy is universally known and consistently helps drive day-to-day behavior at all levels of the organization
1.05	Shared Beliefs & Values	No common set of basic beliefs and values (e.g., social, cultural, etc.) exists within organization	Common set of basic beliefs and values exists in some groups within organization, but is not shared broadly; beliefs and values are only partially aligned with organizational purpose and constituents' norms, or are rarely harnessed to produce impact	<b>Common set of basic beliefs and values held by many people within organization; helps provide a sense of connection to organization; beliefs and values are aligned with organizational purpose and constituents' norms, and are occasionally harnessed to produce impact</b>	Common set of basic beliefs and values exists and is widely shared within organization; helps provide a sense of connection to organization and a clear direction for behavior; beliefs and values embodied by leader but are also timeless and stable across leadership changes; beliefs and values clearly support organizational purpose, are in line with constituents' norms, and are consistently harnessed to produce impact
1.06	Board Composition & Commitment	Membership with limited diversity in fields of practice and expertise; drawn from a narrow spectrum of constituencies relevant to the organization; little or no relevant experience; commitment to organization's success, vision, and mission is unclear; meetings are sporadic and/or attendance is sometimes poor	Some diversity in fields of practice and expertise; membership represents a few different constituencies relevant to organization; some evidence of commitment to organization's success, vision, and mission; regular meetings are well-planned and attendance is adequate; occasional subcommittee meetings	<b>Good diversity in fields of practice and expertise; membership represents most constituencies relevant to the organization; solid evidence of commitment to organization's success, vision, and mission; regular, purposeful meetings are well-planned and attendance is consistently good; regular subcommittee meetings</b>	Membership with broad variety in fields of practice and expertise, and drawn from the full spectrum of constituencies relevant to the organization; includes functional and issue area expertise; proven track record of learning about the organization and addressing its issues; consistently demonstrated commitment to the organization's success, mission, and vision; regular, purposeful meetings are well-planned and attendance is consistently strong; regular meetings of focused subcommittees

LEADERSHIP CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
1.07	Board Governance	Roles of legal board, advisory board, and management are unclear; board rarely scrutinizes budgets, holds CEO/ED accountable, or operates according to formal procedures	Roles of legal board, advisory board, and management are clear; board functions according to by-laws, reviews budgets, and occasionally sets organizational direction and targets, but does not regularly review CEO/ED performance, monitor potential conflicts of interest, scrutinize audits, or review IRS and state filings	Roles of legal board, advisory board, and management are clear and function well; board reviews budgets, audits, IRS and state filings; size of board set for maximum effectiveness with formal nomination process; board co-defines performance targets and actively encourages CEO/ED to meet targets; annual review of CEO/ED's performance, but board not prepared to hire or fire CEO/ED	Legal board, advisory board, and management work well together from clear roles; board fully understands and fulfills fiduciary duties; size of board set for maximum effectiveness with rigorous nomination process; board actively defines performance targets and holds CEO/ED fully accountable; board empowered and prepared to hire or fire CEO/ED if necessary; board periodically evaluated
1.08	Board Involvement & Support	Provide little direction, support, and accountability to leadership; not fully informed about material and other major organizational matters; largely "feel-good" support	Provide occasional direction, support, and accountability to leadership; generally informed about all material matters in a timely manner; input and responses often solicited	Provide direction, support, and accountability to leadership; fully informed about all material matters; input and responses actively sought and valued; full participant in major decisions	Provide strong direction, support, and accountability to leadership and engaged as a strategic resource; communication between board and leadership reflects mutual respect, appreciation for roles and responsibilities, shared commitment, and valuing of collective wisdom
1.09	CEO/ED Experience & Standing	Narrow background and range of experiences; limited experience in nonprofit management; little evidence of innovative thinking; limited recognition among peer organizations	Background and range of experiences reflects some depth; some relevant experience in nonprofit management; some evidence of innovative thinking and understanding of the sector; occasional recognition among peer organizations	Broad background and range of experiences; significant experience in nonprofit management; clear evidence of innovative thinking; solid understanding of the sector; some recognition as a leader/shaper among peer organizations	Extraordinarily diverse background and experiences; extensive and varied experience in nonprofit management; exceptional evidence of innovative thinking and approaches; comprehensive and deep understanding of the sector; regularly recognized as a leader/shaper among peer organizations
1.10	CEO/ED Organizational Leadership/ Effectiveness	Some difficulty building trust and rapport with others; micromanages projects; shares little of own experiences as developmental/coaching tool; inconsistent attention to organizational vision	Responsive to opportunities from others to work together; generally confident in others' ability to be successful; shares own experience and expertise; visible commitment to organization and its vision	Actively and easily builds rapport and trust with others; effectively encourages others to succeed; shares relevant experience and expertise, yet gives others freedom to work their own way, try out new ideas, and grow; shows constant commitment to organization and its vision; inspires others around vision	Constantly establishing successful, win-win relationships with others, both within and outside the organization; delivers consistent, positive, and reinforcing messages to motivate people; finds or creates special opportunities to promote people's development; lives the organization's vision; compellingly articulates path to achieving vision that enables others to see where they are going
1.11	CEO/ED Analytical & Strategic Thinking	Somewhat uncomfortable with complexity and ambiguity; some ability to analyze strategies	Able to cope with some complexity and ambiguity; able to analyze and periodically generate strategies	Quickly assimilates complex information and able to distill to core issues; welcomes ambiguity and comfortable dealing with the unknown; develops robust strategies	Possesses keen and exceptional ability to synthesize complexity; makes informed decisions in ambiguous, uncertain situations; develops strategic alternatives and identifies associated rewards, risks, and actions
1.12	CEO/ED Financial Judgment	Difficulty considering financial implications of decisions; limited understanding of basic financial concepts	Draws appropriate conclusions after studying the facts; understands basic financial concepts; gives some consideration to financial impact of major decisions	Uses sound financial judgment; solid understanding of financial concepts; regularly considers financial impact of all decisions	Exceptional financial judgment; deep understanding of complex financial concepts; has keen, almost innate sense for financial impact of all decisions

LEADERSHIP CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
1.13	Board & CEO/ED Appreciation of Power Issues	No explicit attention given to power issues (e.g., of race and class)	Power issues occasionally acknowledged and discussed; policies and/or procedures developed on an ad hoc basis to address these issues	Power issues regularly acknowledged and discussed; basic policies and/or procedures exist to address these issues	Power issues regularly acknowledged and discussed; well-established policies and procedures exist to address these issues, and are routinely reviewed and revised
1.14	Community Presence & Standing	Community presence either not recognized or organization is generally not regarded as a player in the community; few members of the community (e.g., other nonprofit leaders, government representatives, and academics) engage with organization; community leaders rarely call on organization for its input on issues important to organization	Community presence somewhat recognized, and organization is generally regarded as a player in the community; some members of the community actively engage with organization; community leaders occasionally call on organization for its input on issues important to organization	Known within the community beyond just constituents/members; perceived as open and responsive to community needs; members of larger community (including some highly respected members) actively engage with organization; community leaders often call on organization for its input on issues important to organization	Widely known within the community, and perceived as actively engage with and extremely responsive to it; many members of the larger community (including many highly respected members) actively engage with organization; community leaders always call on organization for its input on issues important to organization
1.15	Ability to Motivate & Mobilize Constituents	Those with potential to be most affected by organization's work have limited knowledge of organization; organization meetings are sporadic and poorly attended; organization has difficulty motivating members into action	Those with potential to be most affected by organization's work have some knowledge of organization; meetings held regularly, but attendance varies widely; organization has ability to motivate a small core group of community members into action	Those with potential to be most affected by organization's work are knowledgeable and likely to be engaged with organization; meetings held regularly and are generally well-attended; organization has ability to motivate a segment of community members into action	Those with potential to be most affected by organization's work see organization as inspiring and motivating; they are excited to be involved; meetings held regularly and are routinely well-attended; organization has ability to motivate a broad range of community members into action
ADAPTIVE CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
2.01	Strategic Planning	Limited ability and tendency to develop strategic plan, either internally or via external assistance; if strategic plan exists, it is rarely or never referenced	Some ability and tendency to develop high-level strategic plan either internally or via external assistance; strategic plan sometimes directs management decisions	Ability and tendency to develop and refine concrete, realistic strategic plan; some internal expertise in strategic planning or access to relevant external assistance; strategic planning carried out on a near regular basis; strategic plan used to guide management decisions	Ability to develop and refine concrete, realistic, and detailed strategic plan; critical mass of internal expertise in strategic planning, or efficient use of external, sustainable, highly qualified resources; strategic planning exercise carried out regularly; strategic plan used extensively to guide management decisions
2.02	Evaluation / Performance Measurement	Very limited measurement and tracking of performance and progress; all or most evaluation based on anecdotal evidence; no external performance comparisons made; organization collects some data on program activities and outputs (e.g., number of children served), but has no measurement of outcomes (e.g., the extent to which the drop-out rate has been lowered)	Performance partially measured and progress partially tracked; some external performance comparisons made; organization regularly collects solid data on program activities and outputs, and has begun to measure outcomes	Performance measured and progress tracked in multiple ways on a regular basis; effective internal and external benchmarking occurs but may be confined to select areas; multiple indicators used in evaluation, with primary focus on outcomes; some attention paid to cultural appropriateness of evaluation process/methods; social impact measured, but longitudinal (long-term) or independent nature of evaluation is missing	Comprehensive, integrated system (e.g., balanced scorecard) used for measuring organization's performance and progress on continual basis; internal and external benchmarking part of the organizational culture and used by staff in target-setting and daily operations; clear and meaningful outcomes-based performance indicators exist in all areas; careful attention paid to cultural appropriateness of evaluation process/methods; measurement of social impact based on longitudinal studies with independent evaluation

ADAPTIVE CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
2.03	Evaluation & Organizational Learning	Performance data rarely used to improve program and organization; little experience with evaluation beyond capturing information to report to funders; information systems not in place	Performance data occasionally used by staff and board to improve organization; some staff time devoted to evaluation efforts, as required by funders, however staff and board do not typically see evaluation as integral to organization's work; information systems not in place	Learnings from performance data distributed throughout organization, and often used by staff and board to make adjustments and improvements; some staff time devoted to documenting organization's work; some information systems in place to support on-going evaluation	Systematic staff and board practices of making adjustments and improvements on basis of performance data; resources are devoted to thoroughly documenting organization's work and capturing the complete story of its impact; evaluation processes fully integrated into information systems
2.04	Use of Research Data to Support Program Planning & Advocacy	Sporadic use of data from outside sources to support proposals or program decisions; limited capacity to work with research data; little understanding of where to find useful data or how to assess its quality	Basic data from outside or internal sources used to support significant proposals and major advocacy; ability to read research reports and evaluate quality of data exists, but data is not relied upon as part of regular decision making; familiarity with one or two sources of data especially relevant to organization's work; little capacity to analyze raw data or present it in graphical, engaging ways	Familiarity with useful data sources in relevant issue areas; data used to support decisions, proposals, and advocacy; employs staff with research and data skills, although they may not conduct analysis full time; capacity to manipulate data from existing data sets, merge data sets, and make assessments about relevance and cultural appropriateness of findings for its community or clients; ability to present data from outside sources using charts, tables, and graphics	Respected by peers as both consumer and producer of data; dedicated research staff capable of working with complex data and making assessments about relevance and cultural appropriateness of findings for its community or clients; research regularly scanned for relevant data to support decisions, proposals, and advocacy; important organizational questions answered through research; ability to effectively present data using charts, tables, and graphics for a variety of audiences
2.05	Program Growth & Replication	No assessment of possibility of scaling up existing programs; no ability to scale up or replicate existing programs	Limited assessment of possibility of scaling up existing programs and, even when judged appropriate, action rarely taken; limited ability either to scale up or replicate existing programs	Occasional assessment of possibility of scaling up existing programs and, when judged appropriate, action occasionally taken; able to scale up or replicate existing programs	Frequent assessment of possibility of scaling up existing programs, and when judged appropriate, action consistently taken; efficiently and effectively able to grow existing programs to meet needs in local area or other geographies
2.06	New Program Development	No assessment of gaps in ability of current programs to meet recipient needs; limited ability to create new programs; new programs created only in response to funding availability	Limited assessment of gaps in ability of existing programs to meet recipient needs, with little or limited action taken; some ability to modify existing programs and create new programs	Occasional assessment of gaps in ability of existing programs to meet recipient needs, with some adjustments made; demonstrated ability to modify and fine-tune existing programs and create new programs	Continual assessment of gaps in ability of existing programs to meet recipient needs, with adjustments regularly made; ability and tendency to efficiently and effectively create new, innovative programs to meet needs in local area or other geographies; continuous pipeline of new ideas
2.07	Monitoring of Program Landscape	Minimal knowledge and understanding of other players as well as alternative and complementary models in program area	Basic knowledge of other players as well as alternative and complementary models in program area, but limited ability to adapt behavior based on acquired understanding	Solid knowledge of other players as well as alternative and complementary models in program area; good ability to adapt behavior based on acquired understanding and cultural appropriateness, but only carried out on occasion	Extensive knowledge of other players as well as alternative and complementary models in program area; refined ability and systematic tendency to adapt behavior based on acquired understanding and cultural appropriateness
2.08	Assessment of External Environment & Community Needs	Planning not supported by systematically collected information about community needs or external opportunities and threats; organization has very few connections to community members and opinion leaders that can provide information about evolving community needs	Information about community needs or external opportunities and threats used to inform planning, although collection is haphazard; organization has a few connections to community members and opinion leaders that can provide information about evolving community needs	Information about community needs and external opportunities and threats used to inform planning; organization has many connections to community members and opinion leaders with whom they communicate about evolving community needs	Clear, established systems regularly used to assess community needs and external opportunities and threats; information systematically collected and used to support and improve planning efforts; organization has numerous connections to community members and opinion leaders with whom they regularly communicate about evolving community needs

ADAPTIVE CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
2.09	Influencing of Policy-making	No ability or awareness of possibilities to influence policy making; never called on to participate in substantive policy discussions	Aware of possibilities to influence policy-making; some readiness and skill to participate in policy discussion, but rarely invited to substantive policy discussions	Fully aware of possibilities to influence policy-making; one of several organizations active in policy discussions at the local, state, and/or national level (as relevant and appropriate)	Proactively influences policy-making in a highly effective manner at the local, state, and/or national level (as relevant and appropriate); always ready for and often called on to participate in substantive policy discussions
2.10	Partnerships & Alliances	No partnerships or alliances with other for-profit, nonprofit, or public sector entities	Early stages of building relationships and collaborating with other for-profit, nonprofit, or public sector entities; if relations do exist, some may be precarious or not fully "win-win"	Some key relationships with a few types of relevant entities (e.g., for-profit, nonprofit, public sector) have been built and leveraged; action around common goals is generally short term	Strong, high-impact, relationships with variety of relevant entities (local, state, and federal government as well as for-profit, other nonprofit, and community agencies) have been built, leveraged, and maintained; relationships anchored in stable, long-term, mutually beneficial collaboration
2.11	Organizing	Advocacy work is focused only on short-term achievements; long-term strategy does not exist; campaign targets are sometimes vague; organizing tactics may not be those best suited to the constituency	Some understanding of the need to grow constituent capacity and social capital to tackle issues/problems; advocacy work generally promotes short-term gains rather than long-term capacity building; organizing tactics are engaged in without a detailed plan of how they will lead to long-term change	Broad understanding of the need to grow constituent capacity and social capital to tackle issues/problems; advocacy work is directed toward that end, but could be better aligned; a strategy for long-term change exists, with appropriate campaign targets and organizing tactics	Primary focus is on growing constituent capacity and social capital to tackle issues/problems; advocacy work is aligned with that focus; a carefully developed strategy for long-term change exists, with appropriate campaign targets and organizing tactics
MANAGEMENT CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
3.01	Senior Management Team	No or very limited prior experience in nonprofit or for-profit management; team drawn from a narrow range of backgrounds and experiences; limited track record of learning and personal development; energy and commitment is sometimes lacking	Some prior experience in nonprofit or for-profit management; team drawn from somewhat diverse backgrounds and experiences; decent track record of learning and personal development; energetic and committed	Significant prior experience in nonprofit or for-profit management; team drawn from diverse backgrounds and experiences, and bring a broad range of skills; good track record of learning and personal development; highly energetic and committed	Extensive and varied experience in nonprofit or for-profit management; team drawn from extraordinarily diverse backgrounds and experiences, and bring a broad range of outstanding capabilities; outstanding track record of learning and personal development; contagiously energetic and committed
3.02	Staff	Drawn from a narrow range of backgrounds and experiences; interest and abilities limited to present job; little ability to solve problems as they arise	Drawn from somewhat diverse backgrounds and experiences; good capabilities, including some ability to solve problems as they arise; many are interested in work beyond their current jobs and in the success of organization's mission	Drawn from diverse backgrounds and experiences and bring a broad range of skills; most are highly capable and committed to mission and strategy; eager to learn and develop, and assume increased responsibility	Drawn from extraordinarily diverse backgrounds and experiences, and bring broad range of skills; most are highly capable in multiple roles and committed to both mission, strategy, and continuous learning; eager and able to take on special projects and collaborate across divisional lines; frequent source of ideas and momentum for improvement and innovation
3.03	Dependence of Management Team & Staff on CEO/ED	Very strong dependence on CEO/ED; organization would cease to exist without his/her presence	High dependence on CEO/ED; organization would continue to exist without his/her presence, but likely in a very different form	Limited dependence on CEO/ED; organization would continue in similar way without his/her presence but areas such as fundraising or operations would likely suffer during transition period; no current member of management team could potentially take on CEO/ED role	Reliance but not dependence on CEO/ED; smooth transition to new leader could be expected; fundraising and operations likely to continue without major interruption; senior management team can fill in during transition time; several members of management team could potentially take on CEO/ED role



MANAGEMENT CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
3.04	Shared References & Practices	No significant common set of references and practices (e.g., rituals, unwritten rules, stories, heroes or role models, symbols, language, cultural practices or traditions of communities served, etc.) exists within organization	Common set of references and practices exists in some groups within organization, but is not shared broadly; only partially aligned with organizational purpose or only rarely harnessed to produce impact	Common set of references and practices exists, and is adopted by many people within organization; references and practices aligned with organizational purpose and occasionally harnessed to produce impact	Common set of references and practices exists, and is shared and adopted by all members of organization; references and practices consciously designed and used to support organizational purpose and regularly harnessed to produce impact
3.05	Goals Performance Targets	Targets are non-existent or few, vague or confusing, or either too easy or impossible to achieve; not clearly linked to overarching goals and strategy; targets largely unknown or ignored by staff	Realistic targets exist in some key areas, and are mostly aligned with overarching goals and strategy; may lack aggressiveness, be short-term, or lack milestones; targets are known and utilized by some staff	Realistic yet demanding targets exist in most areas, and are aligned with overarching goals and strategy; primarily quantifiable and focused on outcomes; typically multi-year targets, though may lack milestones; targets are known and utilized by most staff who use them to broadly guide work	Realistic yet demanding targets exist in all areas; targets are tightly linked to overarching goals and strategy, quantifiable, outcome-focused, have annual milestones, and are long-term in nature; all staff consistently utilize targets and work diligently to achieve them
3.06	Program Relevance & Integration	Core programs and services vaguely defined and lack clear alignment with mission and overarching goals; programs seem scattered and largely unrelated to each other	Most core programs and services well-defined and solidly linked with mission and overarching goals; program offerings may be somewhat scattered and not fully integrated into clear strategy	Core programs and services well-defined and aligned with mission and overarching goals; program offerings fit together well as part of clear strategy	All programs and services well-defined and fully aligned with mission, overarching goals, and constituency; program offerings are clearly linked to one another and to overall strategy; synergies across programs are captured
3.07	Funding Model	Strong dependence on a few funders, largely of same type (e.g., government, foundations, corporations, or individuals)	Multiple types of funding sources with only a few funders in each type, or many funders within only one or two types of funders	Solid base of funders from many types of funding sources; some ability to guard against market instabilities (e.g., operating reserves, small endowment) and/or has developed some sustainable revenue-generating activity	Highly diversified funding streams; organization insulated from potential market instabilities (e.g., fully developed endowment) and/or has developed sustainable revenue-generating activities; other nonprofits try to imitate organization's fundraising activities and strategies
3.08	Fund Development Planning	No systems in place for long-term planning, diversifying revenue streams, or outlining and managing to target goals; fundraising is reactive; fund development strategy not well articulated and focuses on one type of activity such as grants	Recognize need to develop systems for long-term planning, revenue diversification, and outlining and managing to target goals; fund development includes several activities, but is not connected to organization's long-term strategic plan and budget projections	Some systems in place for long-term planning, revenue diversification, and outlining and managing to target goals; fund development strategy includes multiple activities and is loosely connected to organization's long-term strategic plan and budget projections	Well-developed systems for long-term planning, revenue diversification, and outlining and managing to target goals; multi-pronged fund development strategy is proactive and integrated into organization's long-term strategic plan and budget projections
3.09	Financial Planning / Budgeting	No or very limited financial planning; general budget developed; only one budget for entire organization; performance-to-budget loosely or not monitored	Limited financial plans, updated on an ad hoc basis; budget utilized as operational tool; used to guide/assess financial activities; some attempt to isolate divisional (program or geographical) budgets within central budget; performance-to-budget monitored periodically	Solid financial plans, updated regularly; budget integrated into most operations; reflects organizational needs; solid effort made to isolate divisional (program or geographical) budgets within central budget; performance-to-budget monitored regularly	Very solid financial plans, continuously updated; budget integrated into all operations; used as strategic tool; budget developed from process that incorporates and reflects organizational needs and objectives; well-understood divisional (program or geographical) budgets within overall central budget; performance-to-budget closely and regularly monitored

MANAGEMENT CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
3.10	Financial Operations Management	Gifts and grants deposited and acknowledged; bills paid regularly; supporting documentation collected and retained	Financial activities consistently documented and reported; appropriate checks and balances exist; activities tracked to budget	Established internal controls govern all financial operations; activities fully tracked, supported, and reported; some attention paid to cash flow management	Robust systems and controls govern all financial operations and their integration with budgeting, decision making, and organizational goals; cash flow actively managed
3.11	Organizational Processes	Limited set of processes (e.g., planning, reviews, internal information dissemination) for ensuring effective functioning of the organization; use of processes is variable, or processes are seen as ad hoc requirements ("paperwork exercises"); no monitoring or assessment of processes; meetings sometimes lack effective facilitation	Basic set of processes in core areas for ensuring efficient functioning of organization; processes known, used, and accepted by a portion of staff; limited monitoring and assessment of processes; with few improvements made in consequence; meetings are effectively facilitated, though sometimes run longer than necessary	Solid, well-designed set of processes in place in core areas to ensure smooth, effective functioning of organization; processes known and accepted by many and often used and contribute to increased impact; occasional monitoring and assessment of processes, with some improvements made accordingly; meetings are effectively facilitated and do not run longer than necessary	Robust, lean, and well-designed set of processes in place in all areas to ensure effective and efficient functioning of organization; processes are widely known, used, and accepted, and are key to ensuring full impact of organization; continual monitoring and assessment of processes, with systematic improvements made accordingly; meetings are effectively facilitated and all participants are highly engaged throughout
3.12	Decision Making Processes	Decisions made largely on an ad hoc basis by one person and for whomever is accessible; highly informal; authority is vague and changing; staff is unaware of social cultural power differences between themselves and their constituents	Appropriate decision makers known; decision making processes fairly well established, but often break down and become informal; social/cultural power differences addressed in a limited fashion (e.g., a one- day training)	Transparent and structured lines/systems for decision making exist; dissemination of decisions generally good; general awareness of social/cultural power differences and on-going plans to address them	Transparent and structured lines/systems for decision making exist, and involve broad participation as practical and appropriate (sometimes including constituents); dissemination and interpretation of decisions is both good and consistent; specific awareness of social/cultural power differences and established systems in place to mitigate them
3.13	Knowledge Management	No formal systems to capture and document internal knowledge	Systems exist in a few areas but are either not user-friendly or not comprehensive enough to have an impact; systems known by only a few people, or only occasionally used	Well-designed, user-friendly systems in some areas; not fully comprehensive; systems are known by many people within organization and often used	Well-designed, user-friendly, comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas; all staff are aware of systems and trained in their use; systems used frequently
3.14	Interfunctional Coordination & Communication	Different programs and organizational units function in silos; little or dysfunctional coordination and communication between them	Interactions between different programs and organizational units generally good, though some coordination and communication problems exist; some pooling of resources	All programs and units function together effectively, with sharing of information and resources; coordination and communication is strong	Constant and seamless integration between different programs and organizational units; relationships are dictated primarily by organizational needs rather than hierarchy or politics
3.15	Human Resources Planning	Organization uncovers and/or addresses HR needs only when too large to ignore; lack of HR planning activities and expertise (either internally or accessible externally); job descriptions do not exist	Some ability and tendency to develop high-level HR plan either internally or via external assistance; HR plan loosely or not linked to strategic planning activities and roughly guides HR activities; job descriptions tend to be static	Ability and tendency to develop and refine concrete, realistic HR plan; some internal expertise in HR planning or access to relevant external assistance; HR planning carried out on near- regular basis; HR plan linked to strategic planning activities and used to guide HR activities; job descriptions periodically updated and revised in response to changing organizational needs and to support the growth and development of staff	Ability to develop and refine concrete, realistic, and detailed HR plan; critical mass of internal expertise in HR planning, or efficient use of external, highly qualified resources; HR planning exercises carried out regularly; HR plan tightly linked to strategic planning activities and systematically used to direct HR activities; job descriptions regularly updated and revised in response to changing organizational needs and to support growth and development of staff

MANAGEMENT CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
3.16	Staffing Levels	Some positions within and peripheral to organization (e.g., staff, volunteers, board, senior management) are unfilled, inadequately filled, or experience high turnover and/or poor attendance	Critical positions within and peripheral to organization are staffed, though some inappropriately; attendance problems are limited; high turnover is sometimes a challenge	Critical positions within and peripheral to organization are adequately and appropriately staffed; attendance problems are rare; turnover is limited	All positions within and peripheral to organization are adequately and appropriately staffed; attendance problems are extremely rare; turnover is limited; vacancies filled immediately
3.17	Recruiting, Development, & Retention of Management	Standard career paths in place without considering managerial development; very limited training, coaching, and feedback; infrequent performance appraisals; no systems/processes to identify promising new managers	Partially tailored development plans for some promising staff members; personal annual reviews incorporate development plan for each manager; some formal recruiting networks in place	Recruitment, development, and retention of key managers is priority and high on CEO/ED's agenda; individually tailored development plans for some promising staff members; relevant training, coaching/feedback, and consistent performance appraisals are institutionalized; well- connected to potential sources of promising new managers; attention paid to recruitment and promotion of managers that reflect the diversity of the community and constituents	Well-planned process to recruit, develop, and retain key managers; CEO/ED takes active interest in managerial development; individually tailored development plans for all promising staff members; relevant and regular internal and external training, coaching/feedback, and consistent performance appraisals are institutionalized; well- connected to potential sources of promising new managers; recruitment and promotion methods ensure that management team reflects the diversity of the community and constituents
3.16	Recruiting, Development, & Retention of General Staff	Standard career paths in place without considering staff development; limited training, coaching and feedback; no regular performance appraisals; no initiatives to identify promising new staff	No active development tools/programs; feedback and coaching occur sporadically; performance evaluated occasionally; sporadic initiatives to identify promising new staff	Limited use of active development tools/programs; frequent formal and informal coaching and feedback; performance regularly evaluated and discussed; regular concerted initiatives to identify promising new staff; attention paid to the recruitment of staff that reflect the diversity of the community and constituents	Management actively interested in general staff development; thoughtful and targeted development plans for key employees/ positions; frequent, relevant training, coaching/feedback, and consistent performance appraisals are institutionalized; continuous, proactive initiatives to identify promising new staff; recruitment methods ensure that staff reflect the diversity of the community and constituents
3.19	Volunteer Management	No active recruitment of volunteers (only passive recruitment such as people who walk in the door); no defined roles for volunteers to fill; few systems in place to train and support volunteers	Some active recruitment of volunteers; volunteer roles involve a range of time commitments and skill levels; volunteer work is mostly task- oriented; basic training to volunteers provided, generally on an ad hoc basis	Active recruitment of volunteers on a regular basis; wide range of volunteer roles available; written job descriptions for most common volunteer positions; some systems exist to track and manage volunteers; volunteer orientations and trainings take place periodically, with attention paid to both skills and cultural competency; staff trained on how to manage volunteers	Volunteer recruitment systems successfully fill organizational needs with appropriate volunteers; wide range of volunteer roles available, including positions of leadership; written job descriptions for all volunteer positions; robust volunteer management systems in place; volunteer orientations and trainings take place on a regular basis, with attention paid to both skills and cultural competency; staff experienced and/or extensively trained in volunteer management
3.20	Constituent Involvement	Constituent involvement is limited; planning involves little constituent input; constituents not trained or supported in their involvement	Constituents offered a range of roles in the organization; volunteer positions of leadership open to constituents, but rarely filled by them; paid staff responsible for planning; constituent work mostly task- oriented; constituents trained or supported in their work on an ad hoc basis	One or two systems in place to actively recruit and involve constituents; constituents take on a variety of roles in organization, including volunteer positions of leadership; paid staff take a large role in planning, but constituents are involved and help define some desired outcomes; training provided to constituents in some of the skill areas needed to affect change	Variety of systems in place to actively recruit and involve constituents; constituents take on a wide variety of roles in organization, including volunteer positions of leadership; paid staff work collaboratively with constituents to plan and lead much of the organization's work and define desired outcomes; training is provided to constituents in all of the skill areas needed to affect change

ORGANIZATIONAL CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
4.01	Operational Planning	Operations run purely on day- to-day basis with no short- or longer-term planning activities; no experience in operational planning	Some ability and tendency to develop high-level operational plan either internally or via external assistance; operational plan loosely or not linked to strategic planning activities and used roughly to guide operations	Ability and tendency to develop and refine concrete, realistic operational plan; some internal expertise in operational planning or access to relevant external assistance; operational planning carried out on a near regular basis; operational plan linked to strategic planning activities and used to guide operations	Concrete, realistic, and detailed operational plan developed and regularly refined; critical mass of internal expertise in operational planning, or efficient use of external, sustainable, highly qualified resources; operational planning exercise carried out regularly; operational plan tightly linked to strategic planning activities and systematically used to direct operations
4.02	Skills, Abilities, & Commitment of Volunteers	Volunteers not working up to their potential or ill-equipped for work with organization; may be unreliable or have low commitment	Many volunteers working up to their potential; mostly reliable, loyal, and committed to organization's success	Capable set of individuals that bring required skills to organization; culturally competent, reliable, loyal, and generally committed to organization's success and to "making things happen"; work easily with most staff, but do not generally play core roles without staff supervision	Extremely capable set of individuals that bring complementary skills to organization; culturally competent, reliable, loyal, highly committed to organization's success and to "making things happen"; often go beyond call of duty; able to work easily with wide range of staff and play core roles without special supervision
4.03	Fundraising	Generally weak fundraising skills and lack of expertise (either internally or accessible externally)	Main fundraising needs covered by some combination of internal skills and expertise, and access to external fundraising assistance (if/when needed)	Fundraising needs adequately covered by well-developed internal fundraising skills; occasional access to some external fundraising expertise (if/when needed)	Highly developed internal fundraising skills and expertise in all funding source types to cover all needs; access to external fundraising expertise for additional extraordinary needs
4.04	Board Involvement & Participation in Fundraising	Most members do not recognize fundraising as one of the board's roles and responsibilities; no goals or plans for board-driven fundraising activities exist; members do not generally make financial contributions to organization	Members accept that the board has some fundraising responsibilities, but some concerns exist regarding ability of board to be successful in this area; board fundraising activities are limited; some members make a personally significant annual financial contribution to organization based on their individual means	Many members embrace fundraising as one of the board's core roles and responsibilities, and participate with fundraising endeavors; realistic and appropriate board fundraising goals and plans exist; fundraising activities are underway; most members make a personally significant annual financial contribution to organization based on their individual means	All members embrace fundraising as one of the board's core roles and responsibilities; realistic and appropriate board fundraising goals and plans in place; board actively fundraises and has achieved measurable progress towards goals; all members make a personally significant annual financial contribution to organization based on their individual means, and some contribute more frequently
4.05	Revenue Generation	No internal revenue- generation activities; concepts such as cause-related marketing, fee-for-services, and retailing are neither explored nor pursued	Some internal revenue generation activities, however financial net contribution is marginal; revenue generation activities may distract from programmatic work and often tie up senior management team	Some proven internal revenue generation activities: these activities provide substantial additional funds for program delivery, but occasionally distract from programmatic work and require extensive senior management attention	Significant internal revenue generation; experienced and skilled in areas such as cause related marketing, fee-for- services, and retailing; revenue-generating activities support, but don't distract from, focus on creating social impact
4.06	Communications Strategy	No communications plan or articulated communications strategy in place; key messages not defined or articulated; stakeholders not identified; information messages about organization are inconsistent	No communications plan or articulated communications strategy in place, but key messages defined and stakeholders identified; communications to stakeholders are fairly inconsistent	Communications plan and strategy in place; key messages defined and stakeholders identified; communications to stakeholders are generally consistent and coordinated	Communications plan and strategy in place and updated on a frequent basis; stakeholders and their values identified, and communications to each of those stakeholders customized; communications always carry a consistent and powerful message

ORGANIZATIONAL CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
4.07	Communications & Outreach	No marketing materials, or outdated materials; strictly internally-focused and little to no outreach to stakeholders; any materials that exist are unprofessional in presentation	Loose collection of materials used for marketing; generic documents and not always updated to reflect current programs, activities, and outcomes; materials have a minimal degree of professionalism or consistent look and feel; a few key materials are provided in multiple languages as needed	Packet of marketing materials used on a consistent basis; information contained in the materials is up to date and reflects current programs, activities, and outcomes; materials reasonably professional in presentation and aligned with established standards for font, color, logo placement, etc.; most materials are provided in multiple languages as needed	Packet of marketing materials used consistently and easily updated on a regular basis; materials extremely professional in appearance and appeal to a variety of stakeholders; all materials consistently adhere to established standards for font, color, logo placement, etc.; all materials are provided in multiple languages as needed
4.08	Telephone & Fax	Working status, lack of sophistication, or limited number of telephone and fax facilities are an impediment to day-to-day effectiveness and efficiency	Adequate basic telephone and fax facilities accessible to most staff; may be moderately reliable or user-friendly, or may lack certain features that would increase effectiveness and efficiency (e.g., individual voice-mail), or may not be easily accessible to some staff (e.g., field staff); most frequent users receive training on phone system features	Solid basic telephone and fax facilities accessible to entire staff (in office and out in the field); cater to day-to-day communication needs with essentially no problems; includes additional features contributing to increased effectiveness and efficiency (e.g., individual, remotely accessible voice-mail); most staff receive training on phone system features	Sophisticated and reliable telephone and fax facilities accessible by all staff (in office and out in the field), includes around-the-clock, individual voice-mail; supplemented by additional facilities (e.g., pagers, cell phones) for selected staff; effective and essential in increasing staff effectiveness and efficiency; all staff receive training on phone system features
4.09	Computers, Applications, Network, & Email	Limited/no use of computers or other technology in day-to-day activity and/or little or no usage by staff of existing IT infrastructure	Adequately equipped at central level; incomplete/limited infrastructure at locations aside from central offices; equipment sharing may be common; satisfactory use of IT infrastructure by staff; periodic training provided to some staff members	Solid hardware and software infrastructure that contributes to increased efficiency; no or limited sharing of equipment is necessary; regular use of IT infrastructure by staff, though some accessibility challenges for front-line program deliverers may exist; periodic training provided to all staff members	State-of-the-art, fully networked computing hardware with comprehensive range of up-to-date software applications; greatly enhances efficiency; all staff have individual computer access and e-mail; high usage level of IT infrastructure by staff; regular training provided to all staff members
4.10	Website	No individual website	Basic website containing general information, but little information on current developments; site maintenance is a burden and performed only occasionally	Comprehensive website containing basic information on organization as well as up-to-date latest developments; most information is organization-specific; easy to maintain and regularly maintained	Sophisticated, comprehensive, and interactive website, regularly maintained and kept up to date on latest area and organization developments; praised for its user-friendliness and depth of information; includes links to related organizations and useful resources on topic addressed by organization
4.11	Databases / Management Reporting Systems	No systems for tracking clients, staff volunteers, program outcomes and financial information	Electronic databases and management reporting systems exist in only few areas; systems perform only basic features, are awkward to use, or are used only occasionally by staff	Electronic database and management reporting systems exist in most areas for tracking clients, staff, volunteers, program outcomes, and financial information; commonly used and help increase information sharing and efficiency	Sophisticated, comprehensive electronic database and management reporting systems exist for tracking clients, staff, volunteers, program outcomes, and financial information; widely used and essential in increasing information sharing and efficiency
4.12	Buildings & Office Space	Inadequate physical infrastructure, resulting in loss of effectiveness and efficiency (e.g., unfavorable locations for clients and employees, no possibility of confidential discussions, insufficient workspace for individuals, no space for teamwork)	Physical infrastructure can be made to work well enough to suit organization's most important and immediate needs; a number of improvements could increase effectiveness and efficiency	Fully adequate physical infrastructure for the current needs of the organization; infrastructure does not impede effectiveness and efficiency; decor partially reflects cultural traditions of constituents	Physical infrastructure well-tailored to organization's current and anticipated future needs; well-designed to enhance organization's effectiveness and efficiency; favorable locations for clients and employees; plentiful space encourages teamwork; layout increases critical interactions among staff; decor clearly reflects and affirms cultural traditions of constituents

ORGANIZATIONAL CAPACITY		LEVEL ONE	LEVEL TWO	LEVEL THREE	LEVEL FOUR
4.13	Management of Legal & Liability Matters	Legal issues not anticipated; issues addressed individually when they arise; property insurance includes some liability coverage	Legal support resources identified, readily available, and employed on "as needed" basis; major liability exposures managed and insured (including property liability and workers compensation)	Legal support regularly available and consulted in planning; routine legal risk management and occasional review of insurance	Well-developed, effective, and efficient internal legal infrastructure for day-to-day legal work; additional access to general and specialized external expertise to cover peaks and extraordinary cases; continuous legal risk management and regular adjustment of insurance