



FEED THE FUTURE

The U.S. Government's Global Hunger & Food Security Initiative

Organizational Capacity Building Workshop for INGENAES Partner NGOs

Muthusami Kumaran, Ph.D. (aka Dr. K)



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INGENAES
Integrating Gender and Nutrition
within Agricultural Extension Services

Consortium Partners



Session I: Workshop Overview & Roles of NGOs in Nepal

- Welcome!
- Introductions
- Pre workshop survey
- Workshop overview
- NGO sector in Nepal

Introductions

- Me....K!
- Why do I teach nonprofit/NGO management?
- Academic background
- Teaching roles
- Research areas of interest
- Outreach to nonprofits
- Teaching philosophy
- Disclaimer

Introductions

- Now, YOU!
- You...you...you!!
- Let us know...
- Your name
- The NGO you are working for or associated with
- Your reason for engaging with the NGO sector

Ground rules

- Be PUNCTUAL!
- NO Cellphones during workshop
- NO cross-talking
- Respect everyone
- Failure to follow any of the above will result in expulsion from session/workshop
- The workshop is...
- INFORMATIVE, INFORMAL & INTERACTIVE
- ...so, participate ACTIVELY
- PPT slides are in your folder...take 'light' notes, if necessary. Few changes/additions
- Structure of the workshop & breaks



FEED THE FUTURE

The U.S. Government's Global Hunger & Food Security Initiative

Workshop Schedule

- Session 1: Overview & NGO sector in Nepal
- Session 2: Foundations of an NGO
- Sessions 3 & 4: Good governance for NGOs I & II
- Session 5: Program planning
- Session 6: Program evaluation
- Session 7: Strategic planning
- Session 8: Strategic partnership & collaboration with Agricultural Extension system
- Session 9: Organizational leadership
- Session 10: Human resources management
- Session 11: Fund raising
- Session 12: Elements of grant writing
- Session 13: Applying what we learned
- Session 14: Workshop conclusion

Welcome to the wonderful world of the NGO Sector!

This presentation was produced as part of the United States Agency for International Development (USAID) and US Government Feed the Future project “Integrating Gender and Nutrition within Extension and Advisory Services” (INGENAES) under the Leader with Associates Cooperative Agreement No. AID-OAA-LA-14-00008. The University of Illinois at Urbana-Champaign is the prime awardee, and partners with the University of California-Davis, the University of Florida, and Cultural Practice, LLC. www.ingenaes.illinois.edu

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Session 2: Foundations of an NGO



The Game plan for session 2

- Unique characteristics of NGOs
- When NOT to start an NGO
- Why to start an NGO
- Major steps in establishing an NGO
- Let's practice developing the issue(s), needs, clients, mission, vision & core values of your current/ideal NGO

Unique characteristics of NGOs

- Mission focus
- Charity and philanthropy
- Volunteerism
- Facilitative taxation system

Reasons NOT to start an NGO

- You have a time-limited special project that will benefit a community
- You wish to support a needy individual or family
- You think a lot of funding will be available for you to provide a service
- You want to provide a service, but want tax exempt
- You feel your current work is not meaningful

Alternatives to starting a new NGO

(Source: Action without Borders)

- Work with an existing NGO where you can contribute to the cause in a meaningful way
- Affiliate with an existing NGO to provide new and innovative services as its own
- Seek fiscal agent assistance for a project that needs tax exemption
- Explore possibilities to address community issues by setting up special project through an INGO operating in Nepal

Ideal conditions to start a new NGO

- You have clients or beneficiaries with a bona fide need that is currently not being met
- You have an innovative programming approach to meet the need
- You know you will have clients to serve
- You have strong local support
- You & your supporters plan for the long term
- You already know how to mobilize resources to support the organization for foreseeable future

Starting a new NGO

- Step 1: Identify, verify, define and detail the need that the organization will address
 - Research the 'community' needs
 - Develop a needs statement that initiates the rationale for starting the organization
-
- Step 2: Identify the organization's mission, vision and core values

The Mission



Mission statement

- Statement of the organization's purpose and philosophy
- Specifies the fundamental reason for the organization's existence
- Establishes the scope of the organization and identifies its unique characteristics
- Should be succinct, clear, concise, and memorable
- Should capture what the organization does, with/for whom, its distinctive competence (optional), and WHY it does it.

Mission statement

- Good example:
 - “To inspire and empower (what) the youth of Alachua County (whom) to realize their full potential to become responsible, healthy, productive, and successful citizens (why)”
 - Boys & Girls Club of Alachua County
- Poor examples:
 - To improve reading ability among children
 - To serve the homeless population
 - To feed the hungry children

Vision statement

- An image of the future that the organization seeks
- What the future would look like when the organization fulfills its mission
- It is the guiding image of organizational success
- Should capture what we want the organization to look like in ideal terms in future
- Good example:
 - “NGO Federation of Nepal envisions a democratic and just society through a vibrant and strengthened NGO movement striving for an economically sustainable, socially equitable and environmentally friendly nation.”

Core Values

- Guiding beliefs and principles that form the way the organization operates
- Ethical framework and the principles that inspire and motivate anyone to be a part of the organization
- Should capture what values we think are important to the organization and how we want the organization to be perceived
- Good examples:
 - At Girls Place, we believe that all girls should be inspired, challenged, and nurtured to become their very best
 - At Haven Hospice, we believe every day is a gift, hospice is about living, no one should suffer, and our staff and volunteers are the difference

Starting a new NGO

- Step 3: Identify and plan to complete all application requirements
- Step 4: Form the initial board of directors/trustees
- Step 5: Choose a name for the organization, prepare and file all paperwork
- Step 6: Draft bylaws (or similar) and get them approved by the board
- Step 7: Develop program plans with goals and objectives

Starting a new NGO

- Step 8: Develop a budget and financial plan
- Step 9: Prepare and file Inland Revenue Department, MOF tax-exempt application ITA2058
- Step 10: Establish a fund raising mechanism
- Step 11: Hire employees, recruit volunteers & deliver services
- Step 12: Always stick to the mission!

Activity

- In the activity sheet, provide the following (15 mins.):
 1. Issues in the society that need to be addresses
 2. Specific needs (of clients) that need to be met
 3. Clients of the NGO
 4. Name of the NGO
 5. Mission Statement: use the formula 'what' 'with/for whom' and 'why'
 6. Vision Statement: ideal future of the NGO
 7. Core Values: guiding principles of the NGO
 8. Group discussion

Activity group discussion

- Get into your assigned group:
 1. Each of you present key points from your activity sheet (5 mins.)
 2. Group chooses one activity sheet & provides input (5 mins.)
 3. Debrief: Each group shares the chosen case (5 mins.): Name of the NGO followed by mission, vision & core value statements



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Session 3: Good Governance for NGOs I&II



The Game Plan for Session 3

- Importance of NGO governance
- Characteristics of board excellence
- Governing documents
- Characteristics of effective NGO board
- Individual board member responsibilities
- 10 essential roles of the board
- Let's practice developing the ideal board

Governance in NGOs

- Every NGO is legally required to have a governing body, usually its Board of directors/trustees
- Governance is the process of collective decision making by the Board on behalf of the organization
- Governance is the process of providing direction that is integral to the long-term effectiveness of the organization
- Governance is the process of providing strategic leadership to the organization

Why do some NGOs fail?

- Inactive Board
- Mission drift
- Misappropriation of resources
- Misdirection of executive leadership
- Communication failure
- Operating without written planning documents, policies and procedures

Characteristics of NGO board excellence

- A dedicated Board that guides the organization to fulfill its mission and strives for growth
- The right Board composition
- Engagement in mobilizing and managing adequate resources
- Oversight of the chief executive
- Good communication among members and between the Board and the executive team
- Hands-on roles in assuring plans, policies and procedure are in place and are adhered to

Two key governing documents

- 1) Establishing document
 - Filed with designated government entity
- 2) Bylaws
 - Policies & procedures for Board operations

Establishing document

- Establishing document usually includes the following:
- The name of the organization
- Principal place of business
- The general statement of its purpose (mission)
- The name and address of its registered agent
- The names and addresses of its initial directors
- Duration of the organization
- Membership provisions, if any
- Language referencing to applicable tax exemption

Bylaws

- Provides direction, policies & procedures for the Board in governing the organization
 - Key organizational governing document
- Not required in Nepal, but helps in setting proper governing board

General Components:

- 1) Organizational information
- 2) The Board of directors & meeting procedures
- 3) Fiscal policies
- 4) Officers of the Board
- 5) Committees of the Board
- 6) Policies for amendments and revisions

Principles of board development

- NGOs cannot be successful for the long term unless they have effective governing boards
- Board function is about the future, and so the board development needs to be done with the future in mind
- There is no one single “model” for board development that automatically will be the best for all organizations
- Core leadership is crucial to board development
- An effective board is a team of committed members who work together in order to accomplish the mission

Characteristics of effective board

- Organizes itself to efficiently and effectively accomplish the work it must do for the organization
- Brings together a group of people who will enable the organization to be the best it can be
- Facilitates members to work together as a team or as teams (committees) to accomplish their work
- Focuses members' attention on the right issues and questions

Characteristics of effective board

- Engages, energizes and motivates its members to retain their involvement and service
- Employs members' time well, in meetings and in other activities
- Evaluates and develops its own performance as a group and uses this information to refine its design and practices to improve effectiveness

Signs of weak boards

- Several INO Board members
- Lack of orientation & mentoring to new members
- Conflicts between Board members in governance
- Founder's syndrome (managing trustee)
- Lack of diversity of perspectives, interests and expertise
- Lack of communication between the Board and the chief Executive
- ED domination
- Dysfunctional committees

Energizing existing board

- Seeking skills & perspectives (staff, experts, consultants, etc.) to allow new ideas & fresh insights
- Infusing involvement & excitement to avoid stagnant relationship among members
- Adding appropriate new members to bring new commitments & refreshing existing commitments
- President's one-on-one engagement with members to match them with appropriate tasks
- Training (general and specific)
- Retreats and other social gatherings

Board composition & Structure

- Number: 7 – 20 board members, no ideal number that works for all nonprofits
- Terms of 2 – 3 years with term limits of 2 – 3
- The one-thirds rule for continuity
- Diversity of interest that reflects organization's services and constituents
- Diversity of expertise that can assist the organization (attorneys, CPAs, etc.)
- Adequate committees with right membership

Individual board members

- Need to be committed to the mission and dedicated to organizational success
- Do not involve in day-to-day operations of the nonprofit
- Are not expected to be 'experts' of the organization's services, legal and financial matters
-but are expected to get clarifications on them in order to make informed decisions
- If legal duties and responsibilities cannot be met, resign or take on an advisory role

10 essential roles of the board

- 1) Determine the organization's mission & purpose
- 2) Select and recruit the chief executive officer
- 3) Support the chief executive & review her/his performance regularly
- 4) Ensure effective organizational planning
- 5) Ensure adequate resources are mobilized

10 essential roles of the board

- 6) Manage resources effectively
- 7) Determine, monitor, and strengthen the organization's programs and services
- 8) Ensure necessary policies are in place & in compliance with the law
- 9) Enhance the organization's public standing
- 10) Recruit & orient new board members (Board manual) and assess overall Board performance regularly

Activity

1. Number of board members of the NGO
2. List 'qualifications' of all members, based on diversity of interest that reflects organization's services and constituents, AND diversity of expertise that can assist the organization
3. List adequate committees with right membership
4. Develop policies for the board including: frequency of meetings, process of meetings (report by ED, discussions on financials, program, budget, etc.)
5. Debrief!



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Session 5: Program Planning



The Game plan for session 5

- Purposes and Essential Steps of Program Planning
- Components of a Program Plan
- Needs Assessment
- Setting Goals & Objectives
- Checklist for Effective Program Delivery
- The Logic Model

Ground rules

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- Expectation: Network with others during breaks

NGO success: 3 important ingredients

- 1) Client(s) satisfaction
- 2) Employee satisfaction
- 3) Organizational efficiency

Purposes of program planning

- To provide clear directions for the NGO's programs & services
- To reduce uncertainty during implementation
- To minimize waste, redundancy & duplication
- To set standards for various program components (benchmarking)
- To monitor program progress

Essentials of good program planning

- The right planning team
- Clear understanding on organizational mission
- Knowledge on issues
- Well defined needs and priorities
- Development of client-centered alternative solutions:

Essentials of good program planning

- Choosing the right solution based on...
 - Its promise for success (concepts, best/promising models, etc.)
 - Its goodness of fit (with target communities)
 - Its adequacy
 - Its compatibility (with other programs, partners, etc.)
 - Its practicality of implementation
 - Its fiscal feasibility
 - Its potential impacts (short, intermediate & long-term)

A program plan

- Is.....
- A document with specific goals & objectives (end) and logical & practical action statements to achieve them (means)
- A document that clearly states what, when, and how program actions (such as prevention, intervention or treatment) are to be carried out

Components of a program plan

- Needs statement
- Solution to the issues
- Appropriate goals
- SMART objectives
- Strategies
- Action steps (who, when, how, etc.)
- Lists of clear input – output – outcome
- Benchmarks for program success
- Measurements and indicators for evaluation

Needs assessment

- Need for a service is the difference between a desirable and the actual state of affairs
- Needs assessment is the way of...
 - Identifying key issues of target audience
 - Gauging opinions & assumptions
 - Identifying available resources (assets)
 - And defining the specific need for the program for the target audience
- It is a tool (often the first step) in program planning

Needs assessment steps

- 1) Gather information on current conditions of specific issues that the organization will address
- 2) Identify the prevalence and/or severity of the issue in the target 'community'
- 3) Establish the causes and consequences of the issues
- 4) Detail how the issues are currently addressed (or not) in the community
- 5) Set the standard for desired 'scenario' for the program

Goal setting

- Programs exist because they fulfill some worthwhile goal(s)
- Goals are derived from pre-determined problems & needs...through a participatory process
- Goals are general statements of what the program intends to achieve in terms of stated needs
- Goals need to be set clearly and concisely
- Each goal should only encompass one idea and be distinct from every other goal

Goal setting

- Question to ask: what does the program intend to achieve?
- Model for developing goals: For.....(target group)
to.....(gain a benefit to address the issue)
- Examples:
 - For children in Kathmandu slums to get education
 - For rural Nepalese affected by the earthquake to rebuild their livelihood

Objective setting

- Objectives (aka. program outcome objectives) are specific statements targeting specific program goal
- There must be multiple objectives under each goal
- Ideally, objectives should be SMART
 - Specific
 - Measurable
 - Achievable
 - Realistic
 - Time-bound

Objective setting

- Good objective = direction of change + area of change + target population + degree of change + time frame

Examples:

- Direction of change: To reduce illiteracy
- Area of change: Promote early childhood education
- Target population: Children aged 2 – 5 living in slums of KTM
- Degree of change: So that 100% of participants will go to school
- Time frame: within 10 months of program launch

Objective setting

- Objectives provide measurable results (i.e.: desired amount of change) that will benefit potential program recipients during a particular time-period
- Examples:
 - 1000 children from slums of KTM will receive early childhood education within the first 10 months
 - 1500 families affected by earthquake in Gorkha district will be provided assistance to rebuild their homes within one year

Objective setting

- Each objective should have a related strategy and output
- Strategy is the operational detail needed for achieving the program goal
- Examples:
 - During the 5th month of the program, early childhood education material will be distributed to 700 families living in KTM slums
 - During the first month of the project, a through damage survey will be completed to assess the needs of rebuilding 1000 homes damaged by the earthquake

Checklist of effective program delivery

- 1) Determine the need for the program
- 2) Develop the program plan (goals, objectives, etc.)
- 3) Complete the action plan (where, how, when, etc.)
- 4) Develop a budget and allocate appropriate resources
- 5) Build credibility into your program (right employees, supervisors, etc.)
- 6) Monitor, evaluate and adjust

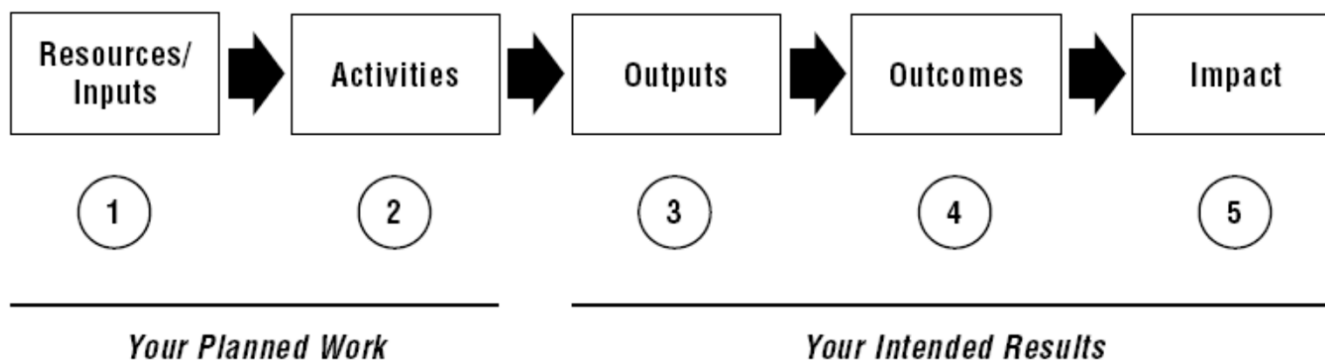
Some considerations

- **Advisory Committee**
 - Board members, internal/external experts, potential recipients
- **Competition**
 - Who else is doing similar work?
- **Collaborations**
 - Would it be beneficial to form a collaboration with other organizations or groups that can bring key skills to the table?
- **Target community**
 - Involve key players in program development
 - Delegate tasks to different groups of people/constituents or community members

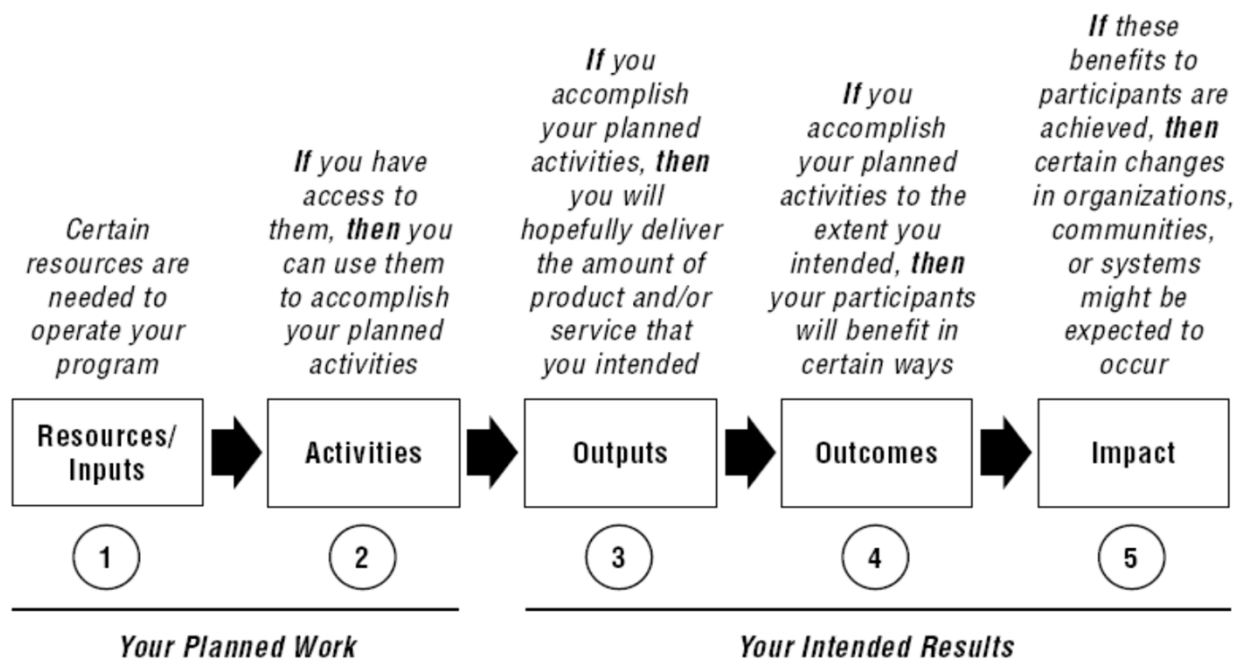
What is a logic model?

- A logic model is a “map” of the program
- It is a concise way to show how the program is designed and how it will make a difference
- It is a simple, logical illustration of...
 - What you do (objective) to address an issue
 - How do you do it (input & activities)
 - How will you know if you are successful (in immediate-intermediate-long terms)
- It verifies logical connections among program components (goal, objective, input, activities, output & outcomes) for funders, managers and evaluators

Basic logic model



How to read a logic model?



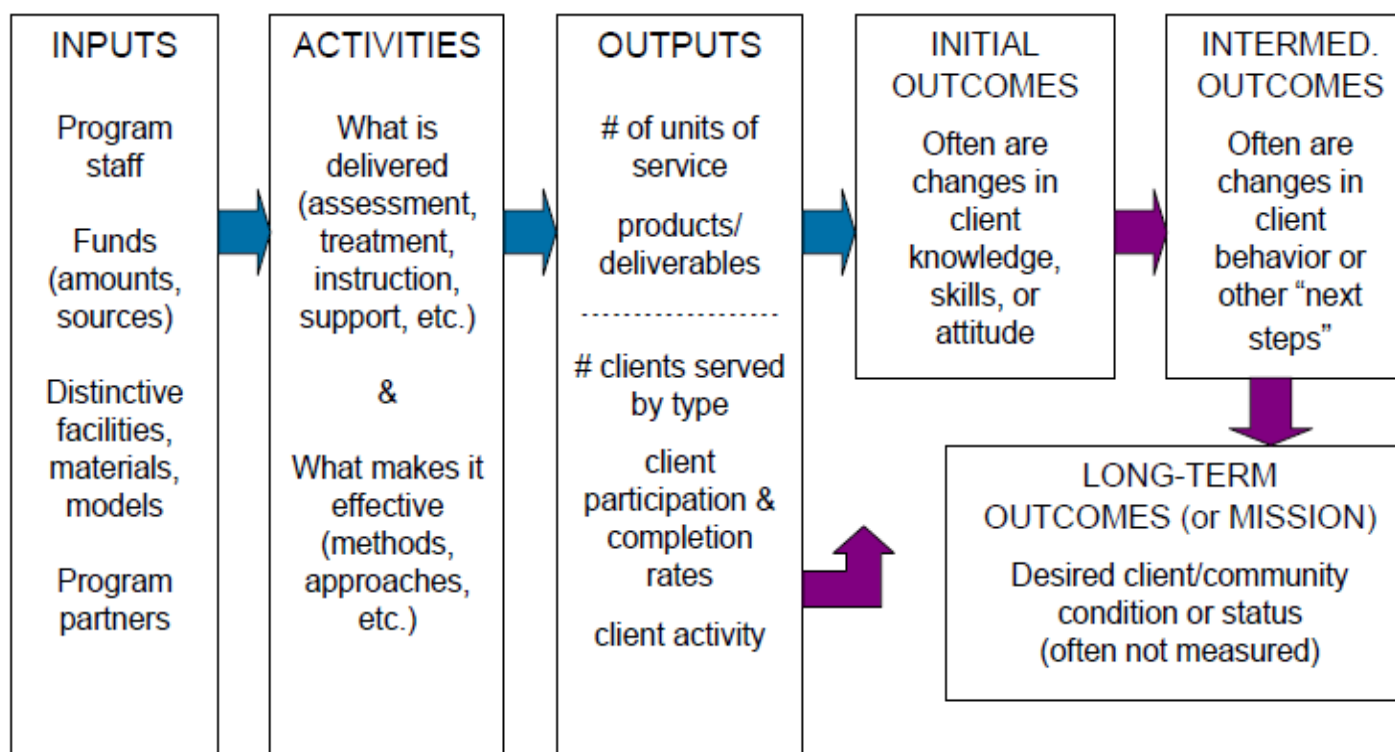
How to develop a logic model?

- Think systematically about what a program is set to accomplish and how it will be implemented
- Develop a complete list of goals & objectives
- For each objective, list all resources (input) and actions (activities)
- List all reasonable outputs and output measures anticipated (# of clients served, etc.)

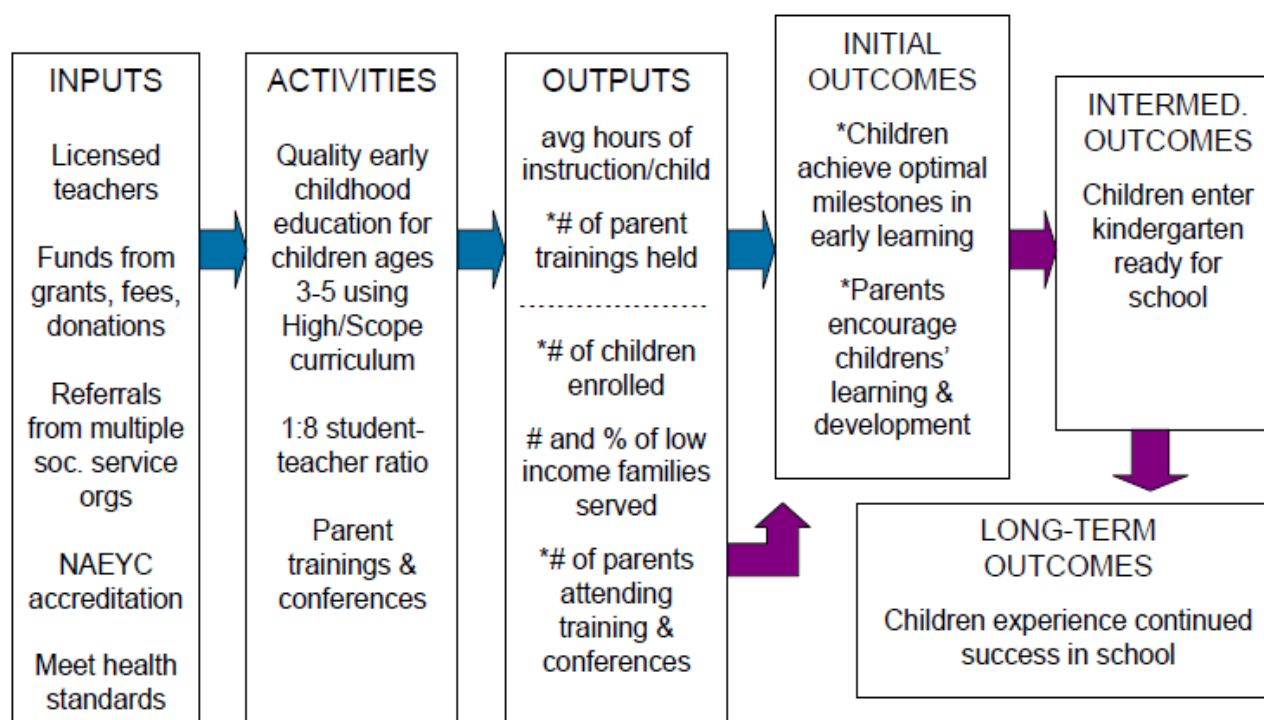
How to develop a logic model?

- List all reasonable outcomes anticipated, by immediate, intermediate and long terms
 - Short term outcomes
 - Changes in skills, attitudes and knowledge
 - Intermediate outcomes
 - Changes in behavior and decision making
 - Long term outcomes
 - Changes in status and condition
- Illustrate linkages among all these elements on a logic model template (one per objective)
- Include external factors, assumptions & barriers

Logic model template



Logic model sample



Activity

On the flip side of session 2 activity sheet...

1. Develop & write one program goal (Goal 1) for your NGO

- Use the “TO.....FOR” formula: For.....(target group) to.....(gain a benefit to address the issue)
- Examples:
 - For children in Kathmandu slums to get education
 - For rural Nepalese affected by the earthquake to rebuild their livelihood

2. Develop & write one program objective (Objective 1.1) for your Goal

- 1000 children from slums of KTM will receive early childhood education within the first 10 months

3. List all resources (funds, staff, facilities, equipment, etc. etc.) for your objective 1.1

4. Group discussion & debrief!

Activity group discussion

- Get into your assigned group:
 1. Each of you present your goal, objective resources (5 mins.)
 2. Group chooses one presentation & provides input (5 mins.)
 3. Debrief: Each group shares the chosen case (5 mins.): Name of the NGO followed by mission, goal 1, objective 1.1, resources needed



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Session 6: Program Evaluation



The game plan for session 6

- What is program evaluation and why it is important?
- Key evaluation considerations
- Process evaluation and outcome evaluation
- Steps of the evaluation plan

What is program evaluation?

- Program evaluation is the systematic process of collecting and analyzing information about a program in order to make necessary decision about the program
- Program evaluations help to make programs better
- Program evaluation can include any or a variety of 35 different type evaluations
- Two main type evaluations for improving programs & services: process evaluation and outcome evaluation

Why evaluation is important

- To verify that the organization is doing what it is supposed to be doing
- To understand, verify and increase the impact of services on clients
- Improve the service delivery mechanism to be efficient
- Funders increasingly demand evidence of program success
- To provide valid comparisons between programs to make right decisions on resource allocation
- To produce data or verify results that can be used for public relations, marketing and promoting services
- Should be an integral part of the program planning process

Key evaluation considerations

- For what purposes is the evaluation being done?
- Who are the audiences for the information from the evaluation?
- What kind of information is needed?
- From what sources should the information collected?
- How can the information be collected (methodology)?
- What resources are available to conduct the evaluation?

Process evaluation

- Systematic method of verifying whether the program is being implemented as designed/planned
- Aka – formative evaluation
- To determine the extent to which the program is being implemented
- To provide managers feedback on the quality of implementation
- To provide program accountability to funders & stakeholders
- To make adjustments in order to improve the quality of the program during implementation

Outcome evaluation

- Systematic method of collecting and analyzing data to assess the effectiveness of a program
- To not only measure the change resulted from a program, but also to establish that the program contributed to the change
- Short term outcomes
 - Changes in skills, attitudes and knowledge
- Intermediate outcomes
 - Changes in behavior and decision making
- Long term outcomes
 - Changes in status and condition

Steps in evaluation

- 1) Form a working group
- 2) Determine the evaluation purpose and audience
- 3) Review the logic model
- 4) Identify evaluation questions
- 5) Choose the methodology
- 6) Collect and analyze the data
- 7) Report evaluation findings

The right evaluator or team

- Hiring an outside evaluator
 - Pros: objective, expertise
 - Cons: expensive, may lack adequate knowledge about the issue and stakeholders
- Using an in-house evaluation team supported by an outside consultant and program staff
 - P: less expensive, can be consistent with program objectives
 - C: staff time commitment, less objective or subjective evaluation report
- Using an in-house evaluation team supported by program staff
 - P: least expensive, promotes participation
 - C: lack of expertise, credibility?

The evaluation plan

1. A discussion on the context for the evaluation, program purpose, staff, participants, clients, and other stakeholders
2. Evaluation design. Most commonly used designs are
 - Comparison of conditions before and after the program
 - Comparison of conditions before and after the program, using a control group
3. Evaluation questions (focusing on effectiveness, efficiency, adequacy & appropriateness)

The evaluation plan

4. For each objective, the Plan should include detailed descriptions of:

- Types of information (socio economic data, measures/indicators on changes in knowledge, behavior, awareness, etc.)
- Source of information (clients, program staff, stakeholders, etc.)
- Criteria for selecting information sources (sampling, length of time with the program, age, gender, etc.)
- Methods for collecting information (document review, observation, interview, focus groups, etc.)
- Methods of analyzing information (statistical tools, qualitative methods, etc.)

5. Procedure for managing and monitoring the evaluation process

Activity

On the flip side of session 2 activity sheet (after your program Objective 1.1)...

1. Develop & write 3 specific strategies/activities for your objective 1.1
2. Develop & write outcomes for your objective 1.1
 - one immediate (Changes in skills, attitudes and knowledge)
 - one intermediate (Changes in behavior and decision making)
 - one long-term (Changes in status and condition)
3. Present the strategies & outcomes for your Objective 1.1 with your group
4. Group discussion (selection of one presentation & group input) debrief!



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Organizational Capacity Building Workshop for INGENAES Partner NGOs

Muthusami Kumaran, Ph.D. (aka Dr. K)



Consortium Partners





Session 7: Strategic Planning



The Game plan for session 7

- Strategic thinking
- What is strategic planning?
- Why is it important for NGOs?
- When to do and when not to do strategic planning
- Major steps of strategic planning

Strategic thinking

- Being strategic means – being clear about the organization's goals, aware of its resources & incorporating both into a responsive & dynamic environment
- Strategic thinking focuses on changing the organization to be more effective & efficient
- Three key requirements: (i) a definite purpose, (ii) understanding of the environment, (iii) creativity in developing responses

What is strategic planning?

- Strategic Planning is a system-wide process
- Strategic Planning is “a disciplined effort to produce fundamental decisions and actions that shape & guide what an organization is, what it does, and why it does it, with a focus on the future.” (Bryson)
- It is a management tool for changing an organization’s mode of operation from reactive to proactive/active

What strategic planning IS NOT?

- It is NOT long-range planning
- It does NOT attempt to make future decisions
- It is NOT a substitute for sound judgment by leadership
- It is NOT a linear process

Why is strategic planning important?

- Stimulates ingenuity and new approaches
- Increases all players' involvement in the organization
- Develops a common vision
- Clarifies values and beliefs
- Anticipates opportunities and obstacles
- Provides a framework for ongoing decisions & Creates a marketing strategy

When NOT to do strategic planning?

- When the organization is in crisis
- Before or during re-organization
- When facing financial uncertainty
- When there are major leadership issues
- When there is not sufficient buy-in for the process

When to do strategic planning?

- When a new organization 'stabilizes'
- To re-invigorate the organization after a dormant period
- In preparation for a new major venture
- When there is an overall decline in the 'industry'
- When there is an expected high growth in the 'industry' based on demands
- High levels of resource infusion by the government

Strategic NGO management

- Strategic Management is the application of strategic thinking & plan
-with a continuous focus on “are we doing the right thing?”
- It emphasizes on relevant change to reflect a dynamic environment in which the organization operates
- It is adaptive and keeps the organization relevant

Major steps in strategic planning

1. Decide whether to develop a strategic plan

- Need to achieve consensus and agreement among key decision makers and stakeholders
- The right team & resources

2. Clarify mission and vision

- Identify stakeholders' criteria for satisfaction with the organization and its services
- Refine mission, vision and values in light of changing external factors

Major steps in strategic planning

3. Assess the internal and external environments to identify strengths, weaknesses, opportunities, and threats

| INTERNAL | |
|---------------|------------|
| Strengths | Weaknesses |
| EXTERNAL | |
| Opportunities | Threats |

Internal assessments

- Begins with the review of organization's history, original mission, scope & scale
- Assessment of internal structure, process and operation
- Areas examined: board, personnel, volunteer, fiscal, facilities, technology, inventory of programs & services
- Evaluation of current programs: quantitative & qualitative data to ascertain adequacy of inputs-throughputs-outcomes-impacts
- Cost-benefit analysis
- Competency analysis & McMillan Matrix

External assessments

- Identifies changes and trends in society that are likely to have significant impacts on the organization
- 5 – 10 yrs. time frame
- Assesses how changes in the environment will affect the organization's operation
- Highlights threats & opportunities
- Areas examined: social, political, economic, demographic & philanthropic trends

Market assessments

- Identifies needs and perceptions of the organization's markets & constituencies
- Assesses emerging market trends and demands
- Highlights market implications to the organization
- Areas examined include: clients, partner agencies, competitors, government agencies, etc.

SWOT analysis

- A methodology of examining potential strategies derived from the synthesis of internal strengths & weaknesses and external opportunities & threats (SWOT)
- The planning process first explores the environment inside the organization to ID strengths & weaknesses
- The process, then, explores the environment outside the organization to ID opportunities & threats
- S&W are internal and about the present, while O&T are external and about the future

SWOT analysis

- S - what are the organization's internal strengths? (skilled employees, strong board, etc.)
- W - what are the organization's internal weaknesses? (out dated IT, lack of grant writing skills, etc.)
- O - what external opportunities might move the organization forward? (networking opportunity, new policy direction, etc.)
- T- what external threats might hold the organization back? (declining economy, increasing competition, etc.)

Major steps in strategic planning

4. Identify strategic issues facing the organization

- Fundamental policy and program concerns faced by the organization affect the organization now and in the future
- They reflect: long-standing problems in the organization (example: founder's syndrome), impediments that must be overcome to achieve financial and program success (example: accreditation), etc.

5. Formulate goals, objectives & strategies

- Goals: general results to be sought
- Objectives: specific results to be sought
- Strategies: the broad approaches to be taken

Strategic planning timelines

- **VISION, MISSION & VALUES**----->

“Forever”

- **GOALS** ----->

3-5 years (eg: increase the membership)

- **OBJECTIVES** ----->

1 year (eg: increase membership by 5% a year)

- **STRATEGIES** ----->

1-5 years (eg: recruitment mechanisms)

Major steps in strategic planning

6. Review and adopt the strategic plan

- Secure approval from ALL stakeholders, both involved and not involved in the planning process
- Reach an official organizational decision to adopt and proceed with the strategic plan

7. Establish an ideal vision of the organization

- Vision of success is crucial for “selling” the plan
- Helps stakeholders understand where the organization is headed

Major steps in strategic planning

8. Develop an effective action plan

- Describes major goals & objectives to be accomplished
- Allocates resources to achieve strategic goals
- Provides information on who is responsible for each objective and when will that objective be carried out
- Includes criteria for evaluation

9. Reassess the strategies and the strategic planning process

- Strategic planning is cyclical
- When a strategic planning cycle ends (3 – 5 years) next one begins
- Evaluation of the process and strategies from one cycle feeds into the next to make it better

Effective strategic plan

1. The Process
2. The Product
3. The Plan
4. Action/Operations Plan(s)
5. Evaluation
6. Feed back to the next Strategic Plan cycle

Activity

On the flip side of session 3 activity sheet ...

1. Write...

- one Strength
- one Weakness
- one Opportunity
- One Threat

....for your NGO

2. Group discussion & debrief!



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Organizational Capacity Building Workshop for INGENAES Partner NGOs

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Consortium Partners





Session 8: Strategic Partnership with Agricultural Extension



The Game Plan for Session 8

- NGO capacities and capacity building
- Emerging areas of NGO CB
- Developing better relations with governments
- Discussion on barriers & opportunities to develop collaborative partnership with Nepal's Agricultural Extension System
- Developing collaborative networks with other NGOs
- Risk management for NGOs

NGO Capacity

- An NGO's capacity is its capability to achieve the mission
- Capacity measures the NGO's performance on its clients/beneficiaries
- Ingredients of an NGO's capacities are: people, revenue, property & reputation
- NGO skills check list:
 - Vision/mission/governance
 - Community organizing & participatory approach
 - Management
 - Program planning, implementation & evaluation
 - Networking & info dissemination

NGO Capacity Building

- NGOs are unique organizations that play an intermediary role to facilitate the development & build capacities of individuals, groups & communities
- Thus, NGOs capacity building is about improving their capacities to build capacity of others
- CB is an explicit effort to improve an NGOs performance in relation to its mission, context, resources & viability
- CB must take into consideration environment (changes) within which the NGO operates

The mission



NGO capacity building

- CB is a self-managed (with occasional external technical assistance) process of organizational change in which leaders & major stakeholders learn to...
 - assess strengths
 - diagnose weaknesses
 - recognize priority issues, and
 - plan, implement & evaluate actions to address them
- CB requires new skills and **changes** in individual (and collective) behavior, in terms of structure, culture, policies & procedures, strategies & decision making
- Hallmarks: creativity and resourcefulness

Emerging areas of NGO CB

- Government relations
- Networking
- Fund raising
- Specialized management skills
- Volunteer management
- Risk management
- IT (technology planning)
- Accreditation

Building better govt. relationships

- **Challenges**
 - getting the attentions of policy makers & bureaucrats
 - maintaining accountability to the grass roots
 - ensuring the NGOs independence from government
- **Benefits**
 - mobilizing combined resources to solve social issues
 - strengthening govt.- NGO sector relationship for better organizational focus and public awareness on social issues
 - improving programs by keeping decision-making closure to beneficiaries

Building better govt. relationships

- Advocacy on the urgency of the problems and potential political consequences for policy makers
- Emphasis on how govt. alone can't solve the problem, but the NGO is uniquely positioned to do so
- Network with govt. officials to establish stronger relationships
- Understand & respect govt. structure & systems
- Establish clear expectations and distribution of responsibility

A discussions on collaboration w/ Ag. Ext

- Barriers
- What caused and causes mistrust?
- Collaborating as partners in agricultural development and Extension services
- Restrictions of the Directorate of Agricultural Extension
- Opportunities: immediate (within 2 months)
- Opportunities: intermediate (months 3 – 12)
- Opportunities: long-term (one year & beyond)

Networking with other NGOs

- **Challenges**
 - building trust among key officials of other NGO(s)
 - getting agreements on goals, objectives & strategies
 - managing logistics and communication
 - allocating resources & agreements on rules
 - sustaining the collaborative spirit
- **Benefits**
 - donor attraction
 - raising the profiles of member NGOs
 - expanding opportunities to initiate new projects

Networking with other NGOs

- Build trust and transparency into the process of collaboration
- Clearly identify roles (based on strengths) and expectations
- Emphasize on similar/common values & missions
- Focus on mutual benefits for both NGOs
- Establish & maintain a network of industry contacts (who are mutual 'friends')
- Treat each other as equal or valuable partner of the program/project



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Organizational Capacity Building Workshop for INGENAES Partner NGOs

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Session 9: Leadership



The Game plan for session 9

- Organizational Life Cycles of NGOs
- Executive Leadership in NGOs
- Principles of Good Executive Leadership
- NGO leadership: functions, principles and characteristics
- Major Issues in Executive Leadership

NGO organizational life cycle – stage I

The start-up stage:

- Launched by motivated individual(s) who believe in the cause; usually centered around a single activity/service
- No management system exists or required
- Most decisions centered on the founder(s)
- Initial staff/volunteers based only on knowledge & belief in the cause
- Founder(s) overloaded with 'administrative' details and operational issues
- Growing need for formal staff

NGO organizational life cycle – stage 2

The expansion/growth stage:

- Characterized by growth in programs & revenue
- Growing complexity in terms of structure & culture of the organization
- Often unplanned growth
- An executive leader is hired
- Necessity for task delegations on programs
- Need for key personnel with skills
- Fragmented & inconsistent policies that require organization-wide rationalization
- Emerging organizational structure based on programs and services

NGO organizational life cycle – stage 3

The consolidation stage:

- Characterized by planning processes
- Shift from optimal program levels to optimal organizational level
- Growing importance of management staff
- Hierarchy & decentralization
- Structured recruitment & training
- Performance measure for employees
- Focus on outcome rather than output
- Engagement with strategic planning process

NGO organizational life cycle – stage 4

The metamorphosis stage:

- Characterized by programs expanding and/or shifting to other nonprofits through collaboration
- Larger contracts
- Near-corporate HR model
- External networks
- Partnerships
- For profit subsidiaries
- 'Industry' leadership

The chief executive of an NGO

- An NGO's leadership is fundamentally the responsibility of its board and its executive leader
- The chief executive officer is the head of day-to-day administration of the organization
- Titles of executive leader include: ED, CEO, COO, President, etc.
- The relationship between the CEO and the board is crucial and its complexity differs from NGO to NGO

NGO Leadership

- The hallmark of NGO leadership is TRUST
- Trust stems from
 - Honesty
 - Care
 - Commitment
 - Positive thinking & planning
 - Ability to inspire others
 - Actions in the best interest of the NGO
- NGO leadership functions
- Ensuring the effectiveness of the organization
- Ensuring both 'production' & 'production capacity'
- Ensuring efficiency

NGO Leadership

- A good NGO leader...
- Must create or facilitate a vision for the NGO & the means towards the vision
- Must have a keen understanding of current conditions, opportunities & challenges
- Must exhibit a positive can-do attitude by being proactive
- Must work with others to bring ideas to life
- Must be persuasive
- Must inspire others to action
- Example of an exemplary NGO leader – Wangari Maathai

What do people look for & admire in their leaders?

- *The Leadership Challenge* (Kouzes & Posner)
- Of the 225 values, traits & characteristics
- Top four are...
 - Honesty
 - Forward-looking
 - Competent
 - Inspiring

What do people expect from an NGO Leader?

Korn-Ferry International survey

- Honest
- Competent
- Forward-looking
- Inspiring
- Intelligent
- Fair-minded
- Broad-minded
- Courageous
- Straightforward
- Imaginative

ED job description

- Training (some business training), expertise & experience
- Provides leadership and policy guidance
- Manages and directs all operations, programs, and activities
- Implements policy decisions
- Reports regularly to board of directors
- Approves financial disbursements
- Hires, supervises, and evaluates staff
- Maintains records, filings, and documents

Principles of good executive leadership

- Self-confidence and self-improvement
- Technical proficiency
- Seeking & taking responsibilities
- Making sound & timely decisions
- Inspiring all stakeholders of the organization
- Setting examples to employees
- Knowing employees and caring for their well-being
- Keeping employees informed & developing their sense of responsibility
- Using the full capabilities of the organization

5 important characteristics of the executive Director

(Carlson & Donohoe)

- ED as Visionary
 - Understanding the nonprofit's organizational culture
 - Creating and sustaining a vision
 - Determining organizational effectiveness
- ED as Change Agent
 - Embracing a changing nonprofit environment
 - Understanding changing life cycle stages in nonprofits
 - Leading organizational change
- ED as the Relationship Builder
 - Nurturing relationship with the Board
 - Establishing productive staff relationship
 - Following the founder

5 important characteristics of the executive director (Carlson & Donohoe)

- ED as Community Creator
 - Engaging external stakeholders
 - Embracing partnership and collaboration
 - Ensuring Board representation
 - ED as Resource Wizard
 - Ensuring sound financial management
 - Sustaining the organization with team-based fund raising
 - Diversifying the organization's source of revenues
- Source: Carlson, M. & Donohoe, M. (2003), *The Executive Director's Survival Guide: Thriving as Nonprofit Leader*

Major Issues in NGO Leadership

- Dominance/dictatorial
- Excessive compensation
- Hero worship
- Unwillingness to relinquish power
- Lack of succession planning
- Nepotism
- Corruption
- Turf/territorial mentality
- Political influence
- Lack of accountability/transparency to certain stakeholders

Activity

Group discussion on the status of executive leadership in Nepal's NGO sector:

1. Discuss...

- Characteristics (good, bad & ugly) of the executive leader of an NGO that you are familiar with

2. Group project: Write...

- The SWOT (at least one S, W, O & T) of executive leadership in Nepal's NGO sector

3. Group debrief!



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Session 10: Human Resources Management



The game plan for session 10

- Human Resources in NGOs
- Key Considerations During Recruitment & Employment
- Personnel Policies
- Legal Considerations
- NGO sector and volunteers
- Volunteer management

Three important ingredients for NGO success - revisited

- 1) Client(s) satisfaction
- 2) Employee satisfaction
- 3) Organizational efficiency

Human resources in NGOs

- Qualified and trained employees are among an NGO's most important assets
- Successful NGOs understand that their human resources are central to their success and key to achieving their mission
- Unfortunately, the NGO sector has an employee turnover rate of about 35%, primarily due to weak HR management

Good NGO HR

- Capable & responsive staff
- Training and working conditions
- Sound written HR policies
- Staff growth & development
- Fairness & rights
- Code of conduct
- Communications
- Standards & responsibility
- Confidentiality
- Participatory decision making

NGO HR management

- Corporate (unit of production) vs. NGO (key organizational resource) HR
- Basic HR competencies
 - knowledge
 - Skills
 - Attitude
 - Values
- Types of NGO staff (employees + volunteers)
 - Front line (change agent)
 - Technical
 - Administrative
 - Field supervisors & divisional managers
 - EMT/SMT

HR management in NGOs

- HR management is a system, not a set of tasks
- It begins with a needs assessment of required human resources (based on program plan)
- Designing job positions require careful considerations on the organizational need not just for the present, but also to meet future demands
- Major responsibilities of HR management: recruitment, compensation, training, supervision, staff development, performance review, and voluntary or involuntary separation
- Weak HR management results in risk exposure and diverts the organization's focus from its mission

Key considerations during recruitment

- Job title, description, and announcement
- Resume and references
- Length of service elsewhere
- Motivation
- Screening methods
- Choosing the best candidate
- Compensation

Key considerations during employment

- Well-established personnel policies (employee manual)
- Proper orientation and training
- Supervision
- Clear Policies on benefits & promotion
- Professional development opportunities
- Fairness, trust and communication
- Working conditions

Personnel policies

- Recruitment procedures
- Benefits
- Work schedule
- Holiday schedule
- Harassment policy & substance abuse
- Performance reviews
- Termination (resignation, discharge & layoff)
- Employee appeals procedures (grievance)

NGO HR development

- Internally designed training
- General training by specialists
- Workshops
- Seminars/webinars/conferences
- On the job training
- Shadowing
- Exchanges
- Secondment (learning from similar NGO)
- Self-learning

Legal considerations

- NGOs with even one employee face legal risks
- Human resources related legal claims represent the largest share of all legal claims against nonprofits
- In the US, according to Coregis, employment-related law suits account for >75% all law suits filed against nonprofits
- Poor HR management can affect NGOs during the hiring phase, during employment, and during/after termination of employees

Retention of human resources

- Belief in organizational mission is key
 - Development of an organizational culture that values all members and their contribution towards the mission
- Employees must have a good level of “fit” with the organization
 - Degree to which employees perceive their personal goals are aligned with organizational goals
- Employees must be “embedded” in the organization
 - Extent to which employees are engaged in the organization
- Positive “fit” and “embeddedness” improve retention and satisfaction

NGO sector and volunteers

- Volunteers are the life blood & inexplicable resource of the NGO sector, especially at the community level
- Voluntarism in the U.S. of A
- Americans volunteer more than the citizens of any other country
- Millions work as volunteers for nonprofits (26.3% of Americans over 16 volunteered in 2010)
- Contributing more than 15.5 B hours (approx. price tag \$239 B)

NGO volunteer management

- At a minimum, all NGOs have a volunteer leadership team, its board!
- Short term volunteers
- Episodic volunteers
- Long term assignment volunteers
- Online volunteers & voluntourists (USA)
- Student interns

Activity

Group discussion on the status of executive HR in Nepal's NGO sector:

1. Discuss...

- Characteristics of the HR (including paid staff & volunteers) of an NGO that you are familiar with

2. Group project: Write...

- The SWOT (at least one S, W, O & T) of HR management in Nepal's NGO sector

3. Group debrief!



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Session II: Fund raising



The Game plan for session 11

- Philanthropy & charity The Facilitative Taxation System
- Five Major Fund Raising Principles
- Marketing the Cause
- The Case Statement
- The Fund Raising Cycle
- The Fund Raising Profession
- Sources of NGO Revenues
- Hank Rosso's Five Concepts for Fund Raising
- Fund Raising Methods & Modes
- The Fund Raising Pyramid
- Online Fund Raising

Philanthropy & charity

- Philanthropy comes from the Greek word *Philanthropia*, which means 'love of mankind'
- "Philanthropy includes voluntary giving, voluntary service, and voluntary association, primarily for the benefit of others"
(R.L. Payton)
- Charity comes from the Latin word *Caritas*, which means love (ie. compassion)
- Charity is the religious tradition of altruism (selflessness), compassion and empathy
- Philanthropy and charity need to be carefully considered in NGO fund raising

Fund raising and philanthropy

- “Fund raising is an essential part of philanthropy – in turn, philanthropy is essential to democracy” – RL Payton
- Fund raising is more specialized and continuous
- Fund raising is the management of relationship between a nonprofit and its donor public
- The purpose of fund raising is not to just raise money, but to help nonprofits manage their interdependencies with the donors
- Fund raising is both an art and a science
- Fund raisers are skilled communicators who are trained to nurture and manage relationships with strategic donors

Five major fund raising principles

(Weinstein, 2009)

1. People give to people to help people
 - Donors do not contribute to institutional need (they contribute to people's need)
2. People give relative to their means
 - A pyramid-structured gift strategy produces stronger results
3. Those closest must set the pace
 - People closely associated with the cause need to lead by giving
4. The 80/20 rule
 - Often 80% of the funds raised come from 20% of the donors targeted
5. The need for balance
 - Broad based fund raising strategy is key

Marketing the cause

1. Telling the “story” of your NGO effectively
2. Highlighting your NGO’s IMPACTS on society at large
3. Choosing the appropriate marketing strategy
4. Branding portfolio
 - Logo
 - Tagline (slogan)
 - Example: <http://nishthausa.org/>
5. Online presence
6. Utilizing traditional & social media for marketing

Activity

Tweeting exercise:

1. In the activity sheet (with boxed table)...
 - Write the name of your NGO
2. Write a marketing message with 140 characters or less in the table (one character per box)...this is your marketing TWEET
3. Rewrite your tweet in the line below table
4. Let us tweet! tweet!! tweet!!!

Making the case for support

- The fundamental questions for fund raising:
 1. Why does your organization exist? (mission, vision)
 2. What services does the organization provide to meet the needs of its constituents (goals, objectives, outcomes, etc.)
 3. Why should potential donors (individual, foundations, corporations) provide gifts?....what do they get out of them?

The case statement

- A good fund raising plan starts with a case statement
- A case statement tells the 'story' of the NGO
- Case statement is typically 1 – 3 pages and tells the prospects why the organization should be supported
- It should have the mission statement, a need statement (translated into clients) & a statement on donor's potential impact to the community

The fund raising cycle

- Effective fund raising depends on effective planning & rigorous execution of the plan
- Premature solicitation leads to token/no gift
- Fund raising process is cyclical
- In the cycle of 14 steps, solicitation is the 13th
- First 12 steps involve planning
- The starting point - before step 1 - is understanding marketing principles that apply to fund raising: needs, perceptions, wants & values of prospective donors

The fund raising cycle

1. Examination of the NGO's case (sum of all reasons why anyone should give) for support
2. Analyze market requirements
3. Preparation of needs statement
4. Definition of objectives
5. Involvement of volunteers
6. Validation of need statement by volunteers
7. Evaluation of gift market (individual, foundation, corporate, etc.)

The fund raising cycle

8. Fund raising strategies or methods
9. Identifying potential gift sources
10. Preparing the fund raising plan
11. Preparation of a communication plan
12. Activating volunteers
13. Solicitation of the gift
14. Stewardship and renewal of relationship

The fund raising process

- Very competitive
- Multi-disciplined process requiring extensive involvement of the board, executive leaders, staff & volunteers in the cycle
- Success depends on the nonprofit's ability to adopt to changing conditions
- Considerations during solicitations:
 - Cultural awareness
 - The right individual/team and communication
 - Gentle persuasion

The fund raising profession

- Fund raising has emerged as a respected profession
- Fund raising is an occupation for which there has always been a high demand
- Professional fund raisers have an array of job titles and work for nonprofits with diverse missions
- Largest number of fund raisers are employed by educational & health organizations
- Nonprofits also hire fundraising consultants for specific tasks
- Fund raisers acquire skills through apprentice system and professional development through associations

Sources of NGO revenues

- Fee for Services (in the US, about 50%)
 - From private sources. Must fit with the mission
- Government Funding (US, about 30%)
 - Contracts and grants, often contribute to the public good
- Individual Gifts (US, about 11%)
 - People donate to causes they care about
- Institutional Gifts (US, about 4%)
 - Private foundations, community foundations, or corporate giving
- Investment Income (US, about 3%)
 - Not associated with services, endowments
- Other income (US, about 2%)
- Volunteer and In-Kind Contributions

Individual donors

Hank Rosso's 5 important concepts

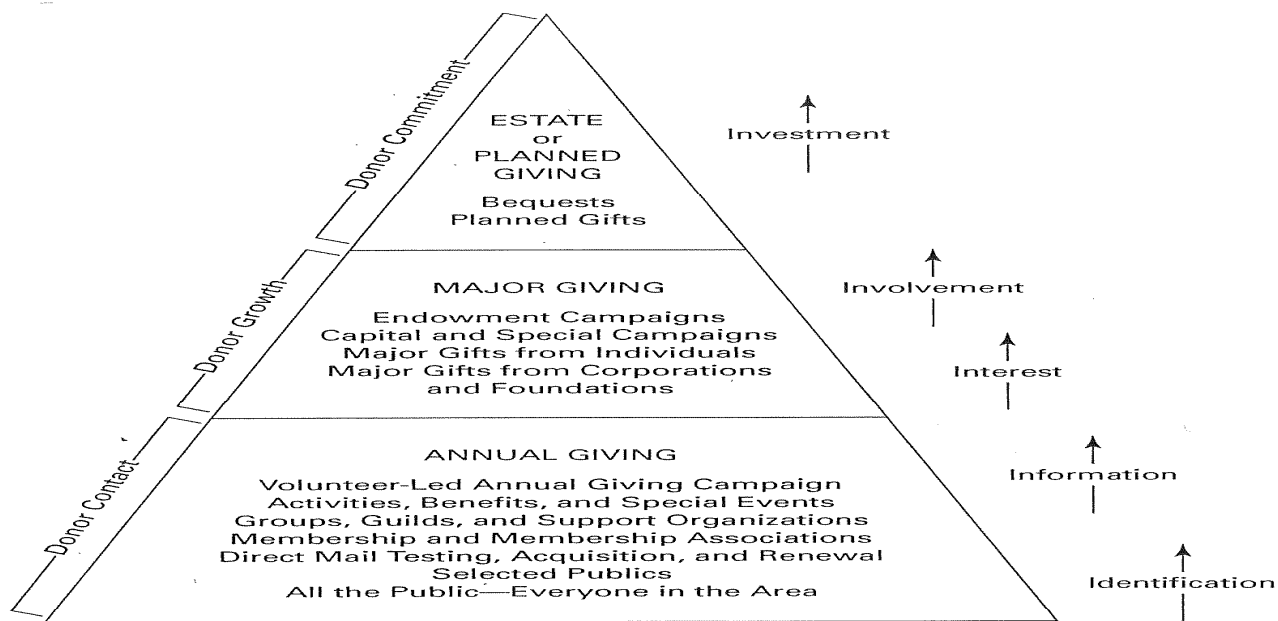
- Nonprofits need to identify their constituents clearly
- Analysis of individual constituent's linkage, ability, and interest determine her/him as a prospective donor
- Nonprofits need to conduct thorough prospect research before the solicitation
- The six 'rights' of fund raising success: the right person, asking the right prospect, for the right amount, for the right project, at the right time, in the right way!
- Ladder of effectiveness (face-to-face, phone call, letter, "in-house" mail, direct mail, etc.)

Fund raising methods

- Sustaining gifts:
 - Annual fund drive
- Enabling gifts:
 - Capital campaign
 - Special projects
 - Planned giving
 - Endowments

The pyramid of fund raising

(Greenfield, 2002)



Another view of the pyramid



Annual fund drive

- Annual fund drive is the foundation of all successful fund raising by the organization
- Annual funds are really operating funds – contributions received are unrestricted
- Strategies are designed to produce broad base support
- Emphasis is on single year (recurring) contributions & pledges (such as pay roll deductions)
- Relies on large number of requests

Capital campaign & special projects

- Emphasis on capital projects, often a building
- Donors encouraged to make multi-year pledges for the duration of the capital project
- Person to person visits and solicitations
- Relationship nurturing activities are integral part of the process
- Special project support focus on seed funds for new projects and enhancement of existing ones

Planned giving

- The fastest growing means of giving
- Gifts are made in the present time, but value is realized at a later time (usually after the death of the donor!)
- Most common forms include: wills & bequests, charitable gift annuities, deferred gift annuities, charitable trusts, etc.
- Nonprofits of any size can (and should) establish a planned giving program
- Specific policies and legal considerations

Endowments

- An endowment is money given by a donor and held in perpetuity by the organization
- Gifts to endowments can be in any form (property, securities, deferred payment) but they are converted into cash for investment
- Endowment funds are invested in stocks, bonds and other security vehicles
- The principal can't be touched – returns from the investment used for programs
- Endowment funds are self-sustaining and provide fiscal stability to the organization at present & in the future

Online fund raising

- Helps to reach, inform & engage prospects who may be beyond the reach for other methods
- Fastest growing method of fund raising for small donations
- Strong & appealing websites with 'donate now/here' features
- Important to highlight mission, cause, track records & ratings (such as Charity Navigator in the USA)
- Utilization of social media for wider reach
- Frequent updates & security features



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Organizational Capacity Building Workshop for INGENAES Partner NGOs

Muthusami Kumaran, Ph.D. (aka Dr. K)



Consortium Partners





Session 12: Elements of grant-writing



The Game Plan for session 12

- Sources of NGO funding – revisited
- Contracts and cooperative agreements
- What are grants?
- Grant writing process and product
- Information to investigate
- Major parts of a grant proposal
- Typical components of a grant proposal
- Grants.gov

Government contracts

- Contracts:
 - Binding agreement
 - Between a nonprofit & a government agency
 - To perform a specific function
 - In exchange of lawful consideration (\$\$\$)
- Cooperative agreement
 - Similar to a contract but involves substantial interchange between the funder & nonprofit

What is a grant?

It is...

- a designated source of money
- given by a funding entity
- to an applicant
- to pay for a specific project/program outlined in a proposal
- An implicit or explicit agreement
- very competitive

Why do NGOs (must) apply for grants?

- money received is not repaid
- to start a new program or continue the existing one
- no risk to existing funding or programs
- to perform research
- to build capacity
- to enable innovative problem solving
- to fill needs in communities

Grant writing lingo

- RFA (one-time, well-defined programs)
- RFP (recurring, broad)
- NOFA (intermittent, broad)
- Grant cycle
- Formula grant
- Discretionary grant
- Unsolicited submissions

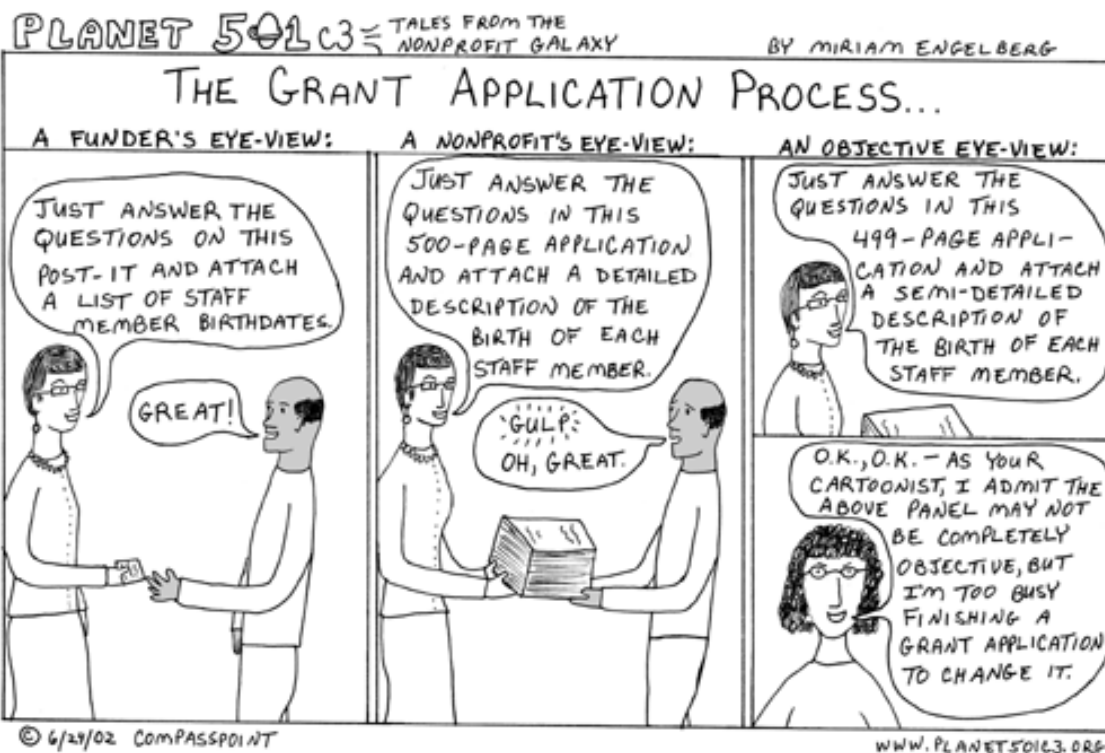
The grant application

- Government grant applications are usually lengthy with specific instructions on various components & certain certifications
- Foundation small-grants are usually very brief (2-3 pages)
- Foundation large grants have detailed open competition applications or a brief 'intent to apply' followed by elaborate applications
- Corporate grant applications are brief, and most of the times completed after some initial agreements



FEED THE FUTURE

The U.S. Government's Global Hunger & Food Security Initiative



Grant writing is....

....an art

....and a science

....it is about both a process and a product

- The **process** involves: assessing the need, accessing information, building support (internally & externally), and organizing the proposal
- The **product** is the proposal which is a rational description of: needs, objectives, methods, resources, and anticipated outcomes

The grant-writing process

1. assess the need
2. access information
3. build support & develop partnership
4. establish a team
5. write the proposal

Information to investigate

- Funding agency
- Purpose & priorities of the grant
- Eligibility
- Total funds available
- # of grants
- Budget range
- Project duration
- Rating factors and extra points
- Dates, deadlines & method of submission

The product

The proposal must ...

- be rational
- be objective
- clearly communicate intended
 - purpose(s)
 - activities
 - and outcomes

The grant proposal

- It's a puzzle--where do you start?
- Start any place but make sure all the pieces FIT!



Major parts of a grant proposal

- Needs/Problems (why)
- Goals and Objectives (what)
- Plan of Operation (how)
- Resources: Organizational capacity, personnel, and budget (how)
- Evaluation
- Sustainability

Needs/problems (why?)

Discrepancy Needs Assessment Model:

- Describe the ideal, standard, or norm
- Describe the actual, current situation
- Describe the discrepancy between ideal and actual
- State what is needed to address the discrepancy

Needs/problems (why?)

Problem Analysis :

- Describe the problem
- State what is needed to address problem
- Support the description with evidence

If problems (or needs) are greater than available resources

- Prioritize problems or needs
- Provide the rationale - set priorities

Goals & objectives (what?)

Given the description of the need, what are the

- Goals or statements of general intent
- Objectives or statements of desired accomplishment
 - Process Objective: What the project will do
 - Outcome Objective: What the project will accomplish (short, medium & long term outcomes)
- Logic models help in connecting all these information (requirement for some grants)

Plan of operation (how?)

- Method, design and approach
- Activities should be clearly described
- Work plan organized by: objective, time-frame and sequence, and implementation
- Descriptions should indicate who, will do what, where, when, and how

Resources

- Organization: Administrative and other support available with the NGO
- Personnel: Qualifications of project director and key staff
- Budget: Project budget, is it reasonable, adequate and cost-effective? Do you meet the matching requirements?

Evaluation

- Program evaluation has become a required component of grants (up to 15% budget)
- To produce useful information for decision-making
- Process evaluation
 - Supporting project management and improvement
- Outcome evaluation
 - Determining the worth or merit of project outcomes and accomplishments

Program sustainability

- More and more, funders are stressing that grant proposals contain some plans for sustaining activities initiated by the grant beyond the grant funding period
- While a proposal can't guarantee project sustainability, a game plan that implies sustainability through collaborations to leverage additional resources needs to be stated

Typical components of a grant proposal

- **Executive Summary:**
 - Umbrella statement on the project and the summary of the entire proposal
- **Statement of Need:**
 - Why the project is necessary and how it fits into the grant's/funder's purpose and priorities
- **Project description:**
 - Goals, objectives, strategy, task sequence, outputs & outcomes, i.e. nuts and bolts of how the project will be implemented

Typical components of a grant proposal

- **Budget**
 - Financial description of the project both in table (spread sheet) and narrative forms
- **Organizational information:**
 - Organizational capacity of the nonprofit, its primary activities, audiences and services
- **Conclusion:**
 - Summary of the proposal's main points (preferably with an activity matrix) & sustainability plan
- **Attachments/Appendices**



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