Organizational Capacity Building
The Four Core Capacity Model

Patrick J. Rogers, ED.M., M.B.A.
Executive Director, The Institute for Human Services, Inc.
President, NYS AIRS
Board Member, AIRS
Program Outline

1. Introduction
2. Why Organizational Capacity Building
3. 7 Elements Framework
4. 4 Core Capacity Model (*examples and tools*)
   a. Leadership
   b. Adaptive
   c. Management
   d. Operational/Technical
5. Capacity Assessment
6. Organizational Lifecycle
Capacity Building
Organizational Consulting
IHS Technology Services
Resource Planning and Development
Management Support Services
Volunteer Support Services

Communication
2-1-1 HELPLINE
Agency Communications
Websites/Social Media
IHS weekly email newsletter
2-1-1 Give Help

Collaboration
AmeriCorps - Southern Tier Opportunity Corp
Steuben Rural Health Network
Steuben Coordinated Transportation
VP/MM/TSS/NEMT
Healthy Families Steuben
NY-501 CoC

Est. 1984
$2.9 M
32 employees
What is Capacity-building?

“The process of developing and strengthening the skills, instincts, abilities, processes and resources that organizations and communities need to survive, adapt and thrive in a fast-changing world.”

Ann Philbin, Ford Foundation

Organizational Capacity is not the same as Program Capacity
Why does Capacity Building Matter?

Nonprofits have an obligation to seek new and ever more effective ways to make tangible progress on meeting their mission.

Nonprofits need to focus on building the capacity of their entire organization if they want to maximize impact.

Great programs need great organizations behind them.
Why is Capacity Building So Hard?

Too many nonprofits focus on creating new programs and keeping administrative costs low.

Nonprofits are often created and staffed by intensely motivated individuals focused on program work rather than “back office” functions or strategic planning.

Building capacity is difficult, time consuming and can be costly in the short run – and it is not a common skill set for nonprofit professionals.
“We measure everything, including ourselves, by comparison; and in the absence of someone with outstanding ability, there is a risk that we easily come to believe we are excellent.”

Hans Krebs
1953 Nobel prize
“The only way to build a great organization is to build capacity.”

McKinsey and Company

Effective Capacity Building in Nonprofit Organizations, 2001
7 Elements Capacity Framework

- Aspirations
- Strategies
- Organizational skills
- Culture
- Human resources
- Systems and infrastructure
- Organizational structure

Effective Capacity Building in Nonprofit Organizations
**Aspirations:** An organization’s mission, vision, and overarching goals, which collectively articulate its common sense of purpose and direction

**Strategy:** The coherent set of actions and programs aimed at fulfilling the organization’s overarching goals.

**Organizational Skills:** The sum of the organization’s capabilities, including such things (among others) as performance measurement, planning, resource management, and external relationships.

**Human Resources:** The collective capabilities, experiences, potential and commitment of the organization’s board, management team, staff, and volunteers.

**Systems and Infrastructure:** The organization’s planning, decision making, knowledge management, and physical and technological assets that support the organization’s mission.

**Organizational Structure:** The combination of governance, organizational design, inter-functional coordination, and individual job descriptions that shapes the organization’s legal and management structure.

**Culture:** The connective tissue that binds together the organization, including shared values and practices, behavior norms, and most important, the organization’s orientation towards performance.

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Effective Capacity Building in Nonprofit Organizations
4 Core Capacity Model

- Leadership
- Adaptive
- Management
- Operational
Leadership Capacity - the ability of organizational leaders to inspire, prioritize, make decisions, provide direction, and innovate

Adaptive Capacity - the ability of a nonprofit organization to monitor, assess, and respond to internal and external changes

Management Capacity - the ability of a nonprofit organization to ensure the effective and efficient use of organizational resources

Operational Capacity - the ability of a nonprofit organization to implement key organizational and programmatic functions
## 4 Core Capacity Model

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<th>Leadership Capacity</th>
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<th>Management Capacity</th>
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<td>Overarching Goals</td>
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<td>Shared Beliefs &amp; Values</td>
<td>Program Relevance &amp; Integration</td>
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<td>New Program Development</td>
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<td>Assessment of External Environment &amp; Community Needs</td>
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<td>Influencing of Policy-making</td>
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<td>Board Involvement &amp; Support</td>
<td>Partnerships &amp; Alliances</td>
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<td>ED Experience</td>
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<td>Decision Making Processes</td>
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</tr>
<tr>
<td>ED Leadership Effectiveness</td>
<td></td>
<td>Inter-functional Coordination &amp; Communication</td>
<td>Databases / Management Reporting Systems</td>
</tr>
<tr>
<td>ED Analytical &amp; Strategic Thinking</td>
<td></td>
<td>Human Resources Planning HR</td>
<td>Buildings &amp; Office Space</td>
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<tr>
<td>ED Financial Judgment</td>
<td></td>
<td>Recruiting, Development, &amp; Retention of Staff</td>
<td>Management of Legal &amp; Liability Matters</td>
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<td>Volunteer Management</td>
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Leadership Capacity

Mission

Vision

Overarching Goals

Shared Beliefs

Board Composition

Board Commitment

Board Governance

Board Involvement and Support

ED Experience

ED Leadership Effectiveness

ED Analytical and Strategic Thinking

ED Financial Judgment

Who We Are

The Institute for Human Services (IHS) is a nonprofit member organization providing management support, information and referral, lead agency administration, technology management, transportation coordination, and capacity building services for the regional nonprofit and public sectors.

Mission

The mission of the Institute is to improve the quality of life in the Southern Tier by increasing member agencies' capacity for success.

Vision

IHS will be recognized as a model for nonprofit excellence, and the first point of contact for nonprofit management solutions in the Southern Tier.

Principles

Provide leadership and vision in the regional nonprofit sector by continuously monitoring and researching management issues and trends in the local, state and national nonprofit environment, identifying regional needs and opportunities, and communicating relevant information to member agencies on a timely basis.

Provide the most effective administration of services through the development, implementation and evaluation of sound strategic, operating, fiscal and technology plans, the effective utilization of the skills and resources of highly qualified management and support staff, and a continual focus on improving organizational performance.

Maintain neutrality and provide all services with impartiality and integrity in order to bring together member organizations and assist them to function as a comprehensive and coordinated network of Planners, Funders and Providers and to fulfill the Institute’s role as the “Agencies’ Agency.”

Goals

Communication: Provide comprehensive information and referral to the general public and the human service and public sectors, facilitate interagency communication and represent the nonprofit sector in the community.

Collaboration: Organize and administer collaborative efforts between the Nonprofit, Public, Education and Business sectors and enable the most effective utilization of resources to address regional needs through strategic alliances, coordinated interagency initiatives, integration of services, and reduced duplication of efforts.

Capacity Building: Provide professional management support, technology, planning and resource development, education and knowledge management services that increase our member agencies’ ability to build sustainable organizations that fulfill their missions.

Sustainability: Engage stakeholders to ensure the long term success of the services and programs that effectively support and advance the regional public and nonprofit human service organizations and networks.
Leadership Capacity

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**We Believe..**

that a healthy nonprofit sector is a vital key to maintaining the quality of life in a community.

We also believe that nonprofit organizations are most effective when working together, sharing and leveraging resources, and continually striving to improve how they do their work.

Simon Sinek: How great leaders inspire action
Leadership Capacity

Mission

Vision

Overarching Goals

Shared Beliefs

Board Composition

Board Commitment

Board Governance

Board Involvement and Support

ED Experience

ED Leadership Effectiveness

ED Analytical and Strategic Thinking

ED Financial Judgment

The Board of Directors has the duties of the fiduciary:

- Care
- Loyalty
- Obedience
### Adaptive Capacity

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**Diagram:**

1. SWOT Analysis
2. Critical Issues Identification
3. Competitor Analysis
4. McMillian Matrix
5. Organizational Strategy Development
6. Annual Operating Plans
"Plans are useless; but planning is everything"  

Dwight D. Eisenhower

### SWOT Analysis

- **Strengths:** (ex. Up-to-Date database of all agencies in Steuben, Allegany & Chemung counties)
- [ ]
- [ ]
- [ ]
- [ ]
- [ ]

- **Weaknesses:** (ex. Agencies not aware of services the institute can provide)
- [ ]
- [ ]
- [ ]
- [ ]
- [ ]

- **Opportunities:** (ex. Provide technology services to regional nonprofit organizations)
- [ ]
- [ ]
- [ ]
- [ ]
- [ ]

- **Threats:** (ex. Competition for funding among member agencies)
- [ ]
- [ ]
- [ ]
- [ ]
- [ ]

- **Core Services:**
- [ ]
- [ ]
- [ ]
- [ ]
- [ ]

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### Adaptive Capacity: SWOT/McMillan Matrix

#### Criteria

<table>
<thead>
<tr>
<th>A</th>
<th>Program Fit</th>
<th>C</th>
<th>Alternative Coverage</th>
</tr>
</thead>
<tbody>
<tr>
<td>B</td>
<td>Program Attractiveness</td>
<td>D</td>
<td>Competitive Position</td>
</tr>
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<table>
<thead>
<tr>
<th>High Program Attractiveness</th>
<th>Low Program Attractiveness</th>
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<tbody>
<tr>
<td>&quot;Easy Program&quot;</td>
<td>&quot;Hard Program&quot;</td>
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<table>
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<tr>
<th>D. Alternative Coverage</th>
<th>C. Alternative Coverage</th>
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<tbody>
<tr>
<td>High</td>
<td>Low</td>
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<table>
<thead>
<tr>
<th>A. Good Fit</th>
<th>Weak Competitive Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Aggressive Competition</td>
<td>3. Aggressive Divestment</td>
</tr>
<tr>
<td>2. Aggressive Growth</td>
<td>4. Build Strength or Get Out</td>
</tr>
<tr>
<td>5. Build up the Least Competitor</td>
<td>7. Orderly Divestment</td>
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<table>
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<tr>
<th>B. Program Portfolio</th>
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<td>Program</td>
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<td>Program</td>
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<td>Program</td>
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**Adaptive Capacity: SWOT/McMillan Matrix**

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2013 Organizational Goals and Strategies

Goal 1: Be the regional leader in nonprofit information and communication

Strategy: Provide comprehensive information and referral to the general public and the nonprofit, public, education and business sectors, facilitate interagency communication and represent the nonprofit sector in the community.

1.1 Provide 2-1-1 information and referral services to Steuben, Chemung, Schuyler, Allegany and Yates Counties and develop new services with other counties and organizations as appropriate.

1.2 Maintain comprehensive database information on the nonprofit and public sector service providers in the region, provide effective access to the information and utilize needs data analysis for program organization and network planning and resource development.

1.3 Facilitate communication and information sharing between Planners, Funders and Providers and all sectors serving the Southern Tier through the use of multiple technologies and collaborative services.

Goal 2: Be the leader in providing structure and services to enhance regional collaboration

Strategy: Organize and administer collaborative efforts between the Nonprofit, Public, Health Care, Education and Business sectors to enable the most effective use of resources and address regional needs through coordinated initiatives, integration of services and reduced duplication in efforts.

2.1 Administrators coordinate lead agency contracts, inter-agency and multi-county initiatives; identify expanded development opportunities and resources to sustain and enhance human services in the Southern Tier.

2.2 Provide for the identification of unmet needs, service priorities and/or service duplication in our region, develop and administer collaborative efforts to address appropriate issues.

2.3 Monitor and research independent sector issues, provide for ongoing regional dialogue on issues and priorities and coordinate state effective planning/Funder/Provider interactions.

Goal 3: Be the first point of contact for regional nonprofit capacity building

Strategy: Provide value-added management and consulting services that increase our member agencies’ ability to build sustainable organizations that fulfill their missions.

3.1 Develop and administer organizational capacity assessment, strategic planning and management support consultant services for member agencies.

3.2 Provide leadership services and support for the integration of effective, leading-edge information and communication technology in the regional nonprofit sector; expand services and support for collaborative resource planning and development.

3.3 Develop and administer regional networks and programs for board, executive and management development; provide coordination and promotion of member agency education initiatives.

Goal 4: Be a model for nonprofit organization sustainability through effective governance, leadership and management

Strategy: Engage stakeholders to ensure the long term success of the Institute and the IHS programs that effectively advance the regional nonprofit and public human service organizations and networks.

4.1 Develop and maintain management operation manuals with continuity plans and incorporate continuous quality improvement principles and processes in all IHS programs and services.

4.2 Support increased entrepreneurship and diversify sources of revenue through expanded division driven services; assess and implement creative opportunities for cost control and accountability and further develop long-term financial strategies.

4.3 Engage IHS member organizations in the process of identifying and developing regional capacity building priorities and services; enhance IHS infrastructure to increase organizational membership and retention.

Adaptive Capacity: Strategic/Annual Plan

<table>
<thead>
<tr>
<th>Date of Action/Plan</th>
<th>Objectives</th>
<th>Approaches</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-1-1 HELPLINE</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Maintain or strengthen IHS/211NL presence within 211LFL, 211NY, NYS AIRS, and AIRS, as well as other relevant regional, state or national organizations</td>
<td>1.1, 1.2, 2.1, 2.2</td>
</tr>
<tr>
<td></td>
<td>Advocate for continued state funding and recognition (including developing strong relationships with business &amp; political leaders)</td>
<td>1.1, 1.2</td>
</tr>
<tr>
<td></td>
<td>Evaluate program operational expenses, enhance cost control and accountability without compromising program quality</td>
<td>1.1, 2.1</td>
</tr>
<tr>
<td></td>
<td>Develop policies, procedures, back-up systems and infrastructure to meet 211NY designation standards</td>
<td>1.1, 2.2</td>
</tr>
<tr>
<td></td>
<td>Meet quality assurance standards for staff certification, call and database quality, develop or obtain appropriate training and assessment</td>
<td>1.1, 2.3</td>
</tr>
<tr>
<td></td>
<td>Continue development of collaborative initiatives database, establish data elements and collect and enter data</td>
<td>1.1, 2.4</td>
</tr>
</tbody>
</table>

<table>
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<tbody>
<tr>
<td></td>
<td>2-1-1 HELPLINE Give Help Initiative including effective use of web-based tools, IHS service and capacity-building activities directed toward the needs of volunteers' program managers</td>
<td>1.1, 1.2, 1.3, 2.2</td>
</tr>
<tr>
<td></td>
<td>Administer a survey to gauge the amount of volunteers and new volunteers in the region</td>
<td>1.1, 1.2, 2.2</td>
</tr>
<tr>
<td></td>
<td>Encourage and recognize volunteers by hosting events (socials, etc.)</td>
<td>1.1, 2.2</td>
</tr>
<tr>
<td></td>
<td>Present to various entities to raise awareness of our 2-1-1 HELPLINE Give Help database</td>
<td>1.3, 3.3</td>
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</table>
Management Capacity

Senior Management Team

Staff

Goals/Performance Targets

Funding Model

Fund Development and Planning

Financial Budgeting

Financial Operations Management

Operational Planning

Decision Making Process

Inter-functional Coordination

Human Resource Planning

Staff Recruiting, Development, Retention

Volunteer Management

Management Capacity: Annual Financial Targets
Management Capacity

Senior Management Team
Staff
Goals/Performance Targets
Funding Model
Fund Development and Planning
Financial Budgeting
Financial Operations Management
Operational Planning
Decision Making Process
Inter-functional Coordination
Human Resource Planning
Staff Recruiting, Development, Retention
Volunteer Management

2-1-1 HELPLINE Business Model
Steuben Coordinated Transportation

Enhancing transportation services throughout Steuben County

For your transportation needs in Steuben County, simply

Dial 2-1-1

2-1-1 Helpline Contact Center

Dial 2-1-1 or 1-800-346-2211
www.211helpline.org
“Get Help – Give Help”

Public Transportation Services

Steuben County Transit
Coverage area: Bath, Hammondsport & Corning 800-446-4423

Steuben Area Rides (STAR)
Coverage area: Addison/Beth Jasper/Beth, Frewsburg/Beth, Wayland/Bath, Lindsey/Corning/Bath, Beaver Dams/Corning/Beth 607-776-4146

Hornell Area Transit (HAT)S
Coverage area: Hornell, Alfred, Amond, Bath, Canaseraga, Canisteo, Cohocton, Dansville & Wayland 607-524-7910

Chemung County Transit System – C TRAN
Coverage area: Elmira, Corning, Corning Community College 607-734-5211

CEA TS
Coverage area: Corning, Painted Post, Gang Mills & Cooper’s Plains, Corning Community College 607-734-2511

Volunteer Services

Steuben Coordinated Transportation – Volunteer Driver Program
The SCT Volunteer Program connects riders of all ages with volunteer drivers who provide rides to non-emergency medical trips and other necessary trips. We also contract with other para-transit providers to help meet special wheelchair needs.

For assistance, just dial 2-1-1 HELPLINE in formation and referral system to connect to the best-available service that will help callers get where they need to go. Dial 2-1-1 or 1-800-346-2211

Examples of calls to 2-1-1

“Could someone help me with transportation to a doctor’s appointment in Corning? I live in Bath and I do not own a vehicle and I have Medicaid insurance.”

“Do you have the schedule for the public bus system that operates between Hornell and Bath?”

“Is there someone who can help me with transportation to a doctor’s appointment in Corning? I live in Bath and I do not own a vehicle and I have Medicaid insurance.”

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Faith-In-Action
Provides Non-Emergency Medical Transportation for 60 and older – on Medicaid. For full list of service areas call; Hornell area: 607-324-1138 or Corning Area: 607-835-6941

Project Care & RSVP
Provides Non-Emergency Medical Transportation for 60 and older – on Medicaid
Coverage area: Bath 607-694-2296

DAV (Disabled American Veterans) 607-664-4682
DAV volunteers provide NEMT transportation for eligible veterans to and from medical appointments.

Regional public transportation schedules are available online at
www.needaride.info

For Medicaid Eligible Non-Emergency Medical Travel in Steuben County, please call Medical Answering Services at 1-855-733-9401
The Institute for Human Services, Inc.

Board of Directors
President
Mark R. Alger
Steuben County Manager

Executive Director
Patrick J. Rogers, Ed.M., M.B.A.

Executive Committee
Personnel Committee
Governance Committee
Finance/Audit Committee

Executive Assistant
Debbie Forsythe

2-1-1 HELPLINE
Information and Referral
Carol Wood, M.P.S., M.B.A.
Director

Resource Planning and Development
Kevin Williams, M.A.
Director

Steuben Rural Health Network
Kelly Munson, M.S.
Director

Nonprofit Management Support Services

Steuben Coordinated Transportation

Lead Agency Services

IT Network and Technology Services
James Panetta
Director

AmeriCorps
Kids First
Michael Mann, M.P.A.
Director, ACDF

Network Planning and Administration

Managed IT Services & Remote Support

Database Management and Consulting

I & R Contact Center
Polly Fay, CIR, CRIS
Operations Manager

Steuben Development Group

Chenango C.R.E.D.

Community Health and Wellness

Communications & Volunteer Support
Tess McKinley, M.S.
Manager

Contract Employment Services

Organizational Consulting & Collaboration Services

IHS Communications, Education, Member Services

SCT-VP
Volunteer Program & Transportation Scheduling
Allison Payne, CRIS
Director, SCT-VP

SCT-MM
Mobility Management
Kelly Duby, B.S.
Mobility Manager

NY 501
Continuum of Care
Patrick Thniah, M.A.
Coordinator

211helplinex.org
2-1-1 Give Help

Management Capacity: Organization Chart
Capacity Building
- Organizational Consulting
- IHS Technology Services
- Resource Planning and Development
- Management Support Services
- Volunteer Support Services

Communication
- 2-1-1 HELPLINE
- Agency Communications
- Websites/Social Media
- IHS weekly email newsletter
- 2-1-1 Give Help

Collaboration
- AmeriCorps - Southern Tier Opportunity Corp
- Steuben Rural Health Network
- Steuben Coordinated Transportation
- VP/MM/TSS/NEMT
- Healthy Families Steuben
- NY-501 CoC

Management Capacity: Organization Chart
## Operational/Technical Capacity

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<th>Staffing Levels</th>
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**Operational Capacity**

Find Volunteer Opportunities

- Call or Click...
- Dial 2-1-1 or click here and search by ZIP Code.

We serve as a single point of contact for individuals and nonprofits to find and share volunteer opportunities in the Southern Tier.

**Volunteers can:**

- Search for opportunities by location, populations served, issue area, and volunteer activity type.
- Search for specific types of volunteer opportunities (group, center-based, youth-friendly).
- Express interest or even sign up directly for volunteer opportunities.
- Search for volunteer opportunities by date/time.
- Coordinate a group of volunteers in one or multiple locations.

**Organizations can:**

- Easily post their volunteer opportunities.
- Decide to either allow direct signups to an opportunity, or to screen volunteers first.
- Manage teams and不合格 for special projects.
- Easily track volunteer hours.
- Connect to a larger pool of potential volunteers through the regional partnership.

This is a service of the Institute for Human Services, which also offers a number of volunteer support resources, including professional development opportunities, management resources, communications tools, and customized consulting services.

Our new site is part of a partnership with the United Way of Broome County and the United Way of Tompkins County called the Regional Volunteer Center of the Southern Tier.

Major funding and support comes from the United Way of the Southern Tier. Additional funding comes from the New York State Commission on National & Community Service.
Operational Capacity: Revenue Generation

<table>
<thead>
<tr>
<th>Private Sources: Individuals</th>
<th>Support provided by individuals independent of any institutions with which they may be affiliated.</th>
</tr>
</thead>
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<tr>
<td>Private Sources: Institutions</td>
<td>Support provided by foundations, corporations, and other institutional givers like United Ways, associations, and faith-based giving programs.</td>
</tr>
<tr>
<td>Fees for Services: Government</td>
<td>Fees for services (contracts,) grants, and other forms of government support from local, state, or federal units of government.</td>
</tr>
<tr>
<td>Fees for Services: Private Sources</td>
<td>Earned income from sales of products and services.</td>
</tr>
</tbody>
</table>
Organizational Capacity-Building for Nonprofits

Fall 2013

We believe that a healthy nonprofit sector is vital to maintaining the quality of life in a community.
We also believe that nonprofit organizations are most effective when working together, sharing and leveraging resources, and continually striving to improve how they do their work.

“Capacity is comprised of the skills, instincts, abilities, processes and resources that organizations and communities need to survive, adapt and thrive in a fast-changing world.”

Ann Philbin, Ford Foundation

Capacity Building is the activities that strengthen the infrastructure and operations of nonprofit organizations which ultimately make them more effective, efficient and better able to fulfill their mission.

- Leadership Capacity - the ability of organizational leaders to inspire, prioritize, make decisions, provide direction, and innovate
- Adaptive Capacity - the ability of a nonprofit organization to monitor, assess, and respond to internal and external changes
- Management Capacity - the ability of a nonprofit organization to ensure the effective and efficient use of organizational resources
- Operational/Techncial Capacity - the ability of a nonprofit organization to implement key organizational and programmatic

Project Team

Patrick J. Rogers, Ed.M., M.B.A., Executive Director
Kelli Mannion, M.S.M., Director, SRHN; IHS Communication, Education, Member Services
Kevin D. Williams, M.A., Director, Project Planning and Resource Development

Sponsored by the Health Foundation for Western and Central New York (HFWCNY)
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4. **Operational Capacity**: the ability of a nonprofit organization to implement key organizational and programmatic functions

**Session 1**

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**Session 4**

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Why Assess Capacity?

1. To identify the strengths an organization has built
2. To identify the gaps in capacity an organization is experiencing
3. To focus capacity-building efforts on the right things
Organizational Assessment:

1. Is the basis for the capacity-building plan
2. Includes multiple perspectives
3. Is a formal process
4. Is confidential for everyone except the Executive Director
The Tool

- Based upon the Capacity Assessment Grid created by McKinsey and Company
- Modified by the Marguerite Casey Foundation
- Modified by Ameen Consulting & Associates
- Online assessment developed by IHS
- Uses criterion-referenced measurement/Profile Rating Scale
# The Assessment

## Nonprofit Capacity Assessment

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<tr>
<th>Board Governance</th>
<th>Roles of legal board, advisory board, and management are unclear; board rarely scrutinizes budgets, holds CEO/ED accountable, or operates according to formal procedures</th>
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<td>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</td>
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<td>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 the CEO/ED</td>
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<td>Legally, 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</td>
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<th>Board Involvement &amp; Support</th>
<th>Provide little direction, support, and accountability to leadership; not fully informed about material and other major organizational matters, largely “feel-good” support</th>
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<td>Provide occasional direction, support, and accountability to leadership; generally informed about material matters in a timely manner; input and responses often solicited</td>
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<td>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</td>
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<td>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</td>
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<th>CEO/ED Experience &amp; Standing</th>
<th>Narrow background and range of experiences; limited experience in nonprofit management; little evidence of innovative thinking; limited recognition among peer organizations</th>
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<td>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</td>
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<td>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</td>
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<td>Extraordinarily diverse background and experiences; extensive and varied experience in nonprofit management; exceptional evidence of innovative thinking and approach; comprehensive and deep understanding of the sector; regularly recognized as a leader/shaper among peer organizations</td>
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Leadership Page: 123 | Last Saved: 9/4/2013 10:33:09 AM | Save Progress | Save and Continue
The Full Assessment Results

LEADERSHIP CAPACITIES

Ranges 1-4


CAPACITY

4 Core Capacity Assessment
Traditional Nonprofit Life Cycle

Start Up
Patrick 2013

Growth
Patrick 2014

OMG
?!?!?

A real life example
Traditional Nonprofit Lifecycle

Stage-based Nonprofit Lifecycles
## Practical ability to participate and benefit

- Board and staff leaders understand change management processes, are focused on capacity building for program success, and have a track record of success.
- Key board and staff members have sufficient time available to devote to capacity-building work.
- Senior staff has recently been stable and has not turned over quickly.
- Organization has a strong set of core programs or services.
- Organization has established basic organizational systems and processes, such as data-driven decision making, human resource management, fund development, and technology.
- Organization is not in the midst of a crisis.
- Organization demonstrates mutual respect and cooperation among staff and board.
- Organization has some previous experience in capacity building and working with external advisors.
- Organization's leadership has a clear sense of the organization's needs and future priorities, a plan to strengthen its capacity, and an explicit strategy for change management.
- Organization has adequate financial and human resources to implement and sustain the capacity-building strategies it identifies.
- Organization can offer something from which other initiative participants can benefit, including guidance, tools, and information.

## Motivation and willingness to participate and benefit

- Key board and staff members exhibit a desire to self-reflect, learn, and develop.
- Key board and staff members are motivated to change.
- Board and staff leaders have a shared commitment to enhance the organization's effectiveness.
- Organization has had some previous positive experience with organizational change.
Questions, Comments, Concerns, Critiques, Complaints?

rogersp@ihsnet.org

Thank you!