## The Rhode Island Foundation

One Union Station, Providence, RI 02903
401 274-4564 ▪ www.rifoundation.org

October 1, 2012

*FILE COPY*

Mr. Christopher J. Fox
Executive Director
Wood-Pawcatuck Watershed Association
203b Arcadia Road
Hope Valley, RI  02832

*STRATEGIC PLANNING GRANT*

Dear Christopher:

It is my pleasure to inform you that The Rhode Island Foundation has approved a grant of $9,650 to the Wood-Pawcatuck Watershed Association (WPA) to support WPWA's strategic planning efforts.  Specifically, this grant provides funds for consultant services and related expenses.

Please countersign and return this letter by October 16, 2012 addressed to our Grants Administrator, Tina Donate.  We will then mail a check on October 19, 2012.  In your correspondence with us, please identify your grant as #20122428.

In accepting this grant, you also agree to submit to us a written report, the format for which is available online at www.rifoundation.org.  The final report on this grant will be due no later than November 1, 2013.  Please address the bullet points below in your final report.  **If you plan to seek subsequent support, either for a continuation of this project or a new one, you must submit an interim report.**  Organizations that have overdue evaluation reports will not be considered for future funding until the report is submitted.

We are especially interested in your evaluation of the impact of your work and how our grant contributed to those efforts.  In particular, we ask you to provide us with the following evaluative information:

- Your experience working with the consultant and your assessment of the services provided;
- Any changes to the WPWA's strategic direction as a result of this process;
- Any changes to WPWA's organizational and operational structure as a result of this process; and
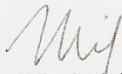- Your next steps for implementation.

In order that the Foundation may comply with all Internal Revenue Code Regulations and other requirements, we ask that you indicate your agreement to follow the terms stated below by signing this letter and returning it to our office:

- Grantee agrees to expend the funds from this grant only for the purposes stated above and in accordance with Section 501 (c) and other applicable provisions of the Internal Revenue Code.

- Any portion of the funds not used in accordance with these terms will be repaid to The Rhode Island Foundation.

- The Rhode Island Foundation may monitor and conduct an evaluation of operations under this grant, including full and complete access to your files and financial records relating to the grant or your tax status, upon a reasonably timely request.

- It is understood that grant payments that are yet to be made by the Foundation may be discontinued, modified, or withheld if, in our sole judgment, such action is necessary.

- The Foundation reserves the right to make the first public announcement of any grant it makes. If you would like to work with the Foundation on the timing or coordination of any grant announcement, contact the Foundation's Senior Vice President for Communications within two weeks of receiving this letter. In any public announcement of this grant, we ask that you note this project is made possible by a grant from The Rhode Island Foundation, the state's community foundation.

- It is understood that Foundation funds may not be used to promote or proselytize any religion.

- No portion of Foundation funds may be used to discriminate on the basis of ethnicity, race, color, creed, religion, gender, national origin, age, disability, marital status, sexual orientation, gender identity, or any veteran status.

- We require notification of any change in your Federal tax status before or during the period the grant funds are being spent.

Again, to avoid any delays in processing your check, please sign and return this letter, addressed to Tina Donate, Grants Administrator, indicating your acceptance of the terms and conditions stated above. We look forward to working with you and to hearing about your progress.
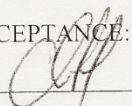
Sincerely,

Neil D. Steinberg
President and CEO

NDS/jp

Re: Grant #20122428

ACCEPTANCE:

By: _____

Date: 10-10-12 _____

RIF PROPOSAL EXECUTIVE SUMMARY

WPWA's existing strategic plan was developed a decade ago when the issues were rather different; climate change is now an element that must be reckoned with. WPWA was organizationally different as well, operating in a mode that worked well during times of economic prosperity. A glance at WPWAs current operating budget might suggest differently, but more than $1 million is pass-through funding going directly into dam removal/fish passage projects.

WPWA needs a new strategic plan—the Board of Trustees is capable of identifying key issues, and is capable of identifying potential funding sources—the difficulty arises in operationalizing those concepts. Developing a new operational mode takes a skill set that the board lacks; therefore WPWA would like to engage Lighthouse Consulting (Mark Amaral) as an "organizational grease monkey" to assist in in the planning and early implementation phases. Lighthouse Consulting will guide board and staff through a process that will take identified issues, work them into a draft strategic plan, and then develop the organizational and operational structure that will allow WPWA to achieve stated goals and objectives.

Pre-workshop interviews with board members and staff will provide the background and framework to define organizational barriers, and to firm up a draft strategic plan. The workshop will have board and staff develop the organizational framework needed to implement the strategic plan, and operationalize the framework for implementation. Follow up/post workshop sessions will assist in breaking down unforeseen barriers to success.

WPWA considers this proposal to be an integral part of its ability to continue to successfully undertake the important work it has been doing in the Wood and Pawcatuck watersheds for the people of Rhode Island for the past 30 years, and to continue to preserve and protect these resources for future generations to use and enjoy.

RIF PROPOSAL NARRATIVE

The Wood Pawcatuck Watershed Association (WPWA) was established in 1983 in response to a National Park Service study which identified the Wood and Pawcatuck Rivers as "...unique and irreplaceable resources." As the designated Watershed Council for the Pawcatuck watershed ecosystem, WPWA has legal standing to advocate on behalf of the Wood-Pawcatuck Watershed and thereby plays an ongoing role in providing a voice in public policy formulation and debate within the watershed. When necessary to serve the best interest of the watershed resource and the general public, WPWA takes positions on matters of land use, surface and groundwater use, water quality, threats to habitat, growth issues, and river corridor concerns. WPWA works in partnership with local, state, and federal agencies, to encourage a watershed/ecosystem-based approach to environmental management, and works on the local level with regard to specific aspects of watershed protection.

WPWA's existing strategic plan, developed and used as a road map to achieve the objectives noted above, was formulated nearly a decade ago, a time when the issues, needs, concerns and opportunities were very different than today. Climate change in particular is now an element that must be draped over all environmental and ecological issues as a potent force to be reckoned with. WPWA was also very different organizationally a decade ago, and operated in a mode that worked well during times of greater economic prosperity within its stakeholder community. An initial glance at WPWAs current operating budget might suggest differently, but more than $1 million of those funds are pass through funds that are being channeled directly into dam removal/fish passage work that is opening the ecosystem to uninhibited fish travel; core funding to maintain staff and accomplish less glamorous projects is tight and restricts the potential effectiveness of the organization to respond in a nimble way to stakeholder and watershed needs.

WPWA needs to undertake a new strategic planning phase, and has begun the process of identifying key issues in the watershed, and with consideration of changing climate and the complications it brings. WPWA is also thinking strategically about funding, and where the money will come from to address these critical issues, that today are broader in scope and more complex than ever, in a meaningful fashion. The WPWA Board of Trustees is more than capable of identifying the key, critical issues for the watershed, and is fully capable of thoughtfully thinking through and identifying potential funding sources. The difficulty arises in operationalizing the good concepts that the board brings forward.

Thinking through and sketching out a new mode of operations takes a different mindset and a very different skill set than that needed to understand and address environmental issues for the watershed. The WPWA Board of Trustees lacks the specific skill sets that are needed to successfully develop and implement an organizational planning framework for its' strategic plan. Given that the risk of not being successful in achieving strategic goals and objectives for the watershed is very high due to inappropriate organizational structure, WPWA is looking to the Rhode Island Foundation to provide the funds necessary to engage a professional "organizational grease monkey" to help it build the organizational and operational framework needed for success.

WPWA has reached out the Mark Amaral at Lighthouse Consulting Group, Inc., to assist it in developing an appropriate organizational framework. Amaral has worked with other RI watershed groups, as well as

working within the environmental community helping similar organizations plan and implement for success, has a proven track record and receives good reviews for previous work. The WPWA Board of Trustees, in collaboration with Lighthouse Consulting Group, have developed a plan, included for your perusal as part of this proposal, that it feels will help build a stronger, more robust and more nimble WPWA that will be able to more successfully follow mission objectives of watershed preservation, conservation, and sustainable use. Lighthouse Consulting will help guide WPWA board and staff through a process that will take the identified issues, work that into a draft strategic plan, and then sketch out an organizational and operational structure that will allow WPWA to achieve stated goals and objectives.

Lighthouse Consulting is providing much more than a facilitated intervention to develop a strategic plan for WPWA; they are helping WPWA operationalize it for successful implementation. Too many plans end up not being implemented, or fail during implementation, because they were not successfully operationalized within an agreeable organizational structure. The stakes are too high for failure in this rapidly changing economic and environmental climate; WPWA would like to hedge its bets for success and feels it is doing so by partnering with Lighthouse Consulting.

Pre-workshop interviews with board members and staff will provide the background and framework needed (the consultant will also be provided a copy of the Rhode Island Foundation proposal as it will prove valuable) to clearly define organizational barriers and opportunities, and to firm up a draft strategic plan (prioritized issues, objectives, etc.). The actual workshop will have board members and staff develop an organizational framework to implement the strategic plan (developed in draft prior to the workshop event), and define how the framework is to be operationalized by board and staff. The consultant is providing several follow up/post workshop opportunities to assist getting over unforeseen hurdles. Follow up sessions will be used as an opportunity to create a "checklist" for use by board and staff to routinely assess use of strategic plan, chart progress or lack thereof, and define where change may be needed to improve efficiency and/or effectiveness. WPWA will then use these assessment and evaluation outputs to assess membership on the Board of Trustees and adjust skill sets accordingly; a major element of consideration and work envisioned following this phase of operational and organizational planning is to assess and build the fund-raising capability and capacity of the organization to improve long-term sustainability in this new economic climate.

WPWA is an organization that has been a force for conservation of Wood-Pawcatuck watershed resources for nearly three decades. While problems exist in the watershed, it remains one of the least developed tracts of land in the state, and a top notch recreational resource for a large population of users throughout the region. This is a testament to the work WPWA has done over the past thirty years, and is a legacy that should be maintained as such resources become fewer.

WPWA considers this proposal to be an integral part of its ability to continue to successfully undertake the important work it has been doing in the Wood and Pawcatuck watersheds for the people of Rhode Island and visitors from nearby states.

# The Rhode Island Foundation
# Organizational Capacity Assessment Tool

"The Rhode Island Foundation Organizational Capacity Assessment Tool is a derivative product of the Capacity Assessment Tool created by McKinsey and Company for Venture Philanthropy Partners (www.vppartners.org), and published in *Effective Capacity Building in Nonprofit Organizations (2001)* ."[1]

## INTRODUCTION

The Rhode Island Foundation Organizational Development Grant Assessment Tool is a self-assessment instrument that helps nonprofit organizations identify capacity strengths and challenges and establish capacity building goals.  As such, it is primarily a diagnostic and learning tool for organizations.  *Please note that you will want to save a copy of this tool to your computer's desktop in order to be able to have that information available for future reference.*

## INSTRUCTIONS FOR COMPLETING THE ASSESSMENT

This workbook contains several worksheets -- one worksheet for each organizational capacity dimension and additional worksheets containing instructions, a section to record general information about your organization and individuals completing the Assessment, a summary table, and a summary chart.  The various worksheet tabs are located at the bottom of the screen; click on the tabs to view each worksheet. Please note that the survey may take approximately 45 minutes to complete.

You will be rating your organization on a variety of capacity elements.  The capacity elements are clustered into four dimensions of nonprofit organizational capacity as delineated by The Conservation Company[2]:

1. **Leadership**: the capacity of organizational leaders to inspire, prioritize, make decisions, provide direction, and innovate
2. **Adaptive**: the capacity of a nonprofit organization to monitor, assess, and respond to internal and external changes
3. **Management**: the capacity of a nonprofit organization to ensure the effective and efficient use of organizational resources
4. **Operational**:[3] the capacity of a nonprofit organization to implement key organizational and programmatic functions

## WHO SHOULD COMPLETE THE ASSESSMENT?

The Assessment is intended for self-guided use by nonprofit organizations.  For our Small Grants for Organizational Development process, we require that your organization's executive director/CEO and board president be the first ones to complete the Assessment *individually* .  Later, many organizations will find it useful to have other staff, board members, and/or constituents complete the Assessment as well.  Upon completing the Assessment on an individual basis, participants should gather to discuss their ratings.  Completing the Assessment using a team approach both improves validity and reduces individual biases.  This process also serves as a catalyst for key stakeholders to engage in a rich dialogue about the organization.

Rate Your Organization

For each capacity element (located on worksheets 1-4), identify the description that best describes your organization's status or level of performance. *You are likely to discover that, for some elements, your organization's capacity will not fully match any of the descriptions; in these instances, simply identify the description that is most suitable for your organization.* It is <u>better to underestimate</u> rather than overestimate your organization's capacity in a particular area. With an accurate portrait of the capacity of your organization, you will be better equipped to identify the most critical areas for improvement.

When completing the assessment, please make sure that you scroll to the top of each worksheet to be sure that you start with the first question in each section. To input your selections, click on the yellow cell to the right of each capacity element. Then select the down arrow and choose from the list that appears. <u>**If a capacity element does not apply to your organization (e.g. some organizations do not have revenue generation activities or the intention to create them), select "N/A". Be sure to provide a capacity rating (or select "N/A") for each capacity element, as failing to do so will adversely impact your summary scores. If you don't know or cannot assess an individual component, select "Do Not Know."**</u> A section for comments about your ratings is included at the bottom of each capacity dimension worksheet. Use this section to include any clarifying information about the selections you made.

## For Additional Information

Following is a link to an evaluation of this assessment tool done by Blueprint Research & Design. The specific article is called *Building Capacity While Assessing It*, and it chronicles three foundations' experiences using the McKinsey Capacity Assessment Grid.

http://www.blueprintrd.com/text/capacityassess.pdf

*Please proceed to the General Information worksheet to begin.*

[1]"The McKinsey Capacity Assessment Grid was created by McKinsey & Company and published in *Effective Capacity Building in Nonprofit Organizations (2001)*, produced for Venture Philanthropy Partners (www.vppartners.org). It is reprinted, copied, or distributed with the permission of Venture Philanthropy Partners."

[2]Connolly, P. & York, P. *Building the Capacity of Capacity Builders: A Study of Management Support and Field-building Organizations in the Nonprofit Sector*. June 2003.

[3]Originally called *technical capacity*.

# GENERAL INFORMATION

## Please complete this section

| | |
|---|---|
| Organization | Wood-Pawcatuck Watershed Association |
| Name of Executive Director/CEO Completing this Survey | Chris Fox |
| Title of Executive Director/CEO Completing this Survey | WPWA Executive Director |
| Number of Years in Current Position | -5 |
| Your email | chris@wpwa.org |
| Date Completed | 8/19/2012 |
| Name of Board Chair/President Completing this Survey | Alan Desbonnet |
| Title of Board Chair/President Completing this Survey | Member, Board of Trustees |
| Number of Years in Current Position | -2 |
| Your email | aland@gso.uri.edu |
| Date Completed | 8/21/2012 |
| **Others Involved with the Capacity Assessment Process** | |
| Name | Malcolm Grant |
| Title | President |
| Name | Helen Drew |
| Title | Vice President |
| Name | Tom Boving |
| Title | 2nd Vice President |
| Name | Peter August |
| Title | Treasurer |
| Name | Laura Bottaro |
| Title | Secretary |

*Please proceed to Worksheet 1.*

# 1. LEADERSHIP CAPACITY

| Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|
| 1.01 Mission | No written mission or limited expression of the organization's reason for existence (lacks clarity or specificity); either held by very few in organization or rarely referenced | Some expression of organization's reason for existence that reflects its values and purpose, but may lack clarity; held by some within organization and occasionally referenced | Clear expression of organization's reason for existence which reflects its values and purpose; held by many within organization and often referenced | Clear expression of organization's reason for existence which describes an enduring reality that reflects its values and purpose; universally held within organization and frequently referenced | Level Four | Level Four |
| 1.02 Vision | No clear vision articulated; little shared understanding of what organization aspires to become or achieve beyond the stated mission | Somewhat clear or specific understanding of what organization aspires to become or achieve; held by only a few, or "on the wall," but rarely used to direct actions or set priorities | Clear and specific understanding of what organization aspires to become or achieve; held by many within the organization and often used to direct actions and set priorities | Clear, specific, and compelling understanding of what organization aspires to become or achieve; universally held within organization and consistently used to direct actions and set priorities | Level Three | Level Three |
| 1.03 Overarching Goals | Vision (if it exists) not explicitly translated into set of concrete goals, though there may be general (but inconsistent and imprecise) knowledge within organization of overarching goals and what it aims to achieve | Vision translated into a concrete set of goals; goals lack at least two of following four attributes: clarity, boldness, associated measures, or time frame for measuring attainment; goals known by only a few, or only occasionally used to direct actions or set priorities | Vision translated into small set of concrete goals, but goals lack at most two of following four attributes: clarity, boldness, associated measures, or time frame for measuring attainment; goals are known by many within organization and often used by them to direct actions and set priorities | Vision translated into clear, bold set of (up to three) goals that organization aims to achieve, with specific time frames and concrete measures for each goal; goals are universally known within organization and consistently used to direct actions and set priorities | Level Two | Level One |
| 1.04 Overarching Strategy | Strategy is either non-existent, unclear, or incoherent (largely a set of scattered initiatives); strategy has no influence over day-to-day behavior | Strategy exists but is either not clearly linked to mission, vision, and overarching goals, or lacks coherence, or is not easily actionable; strategy is not broadly known and has limited influence over day-to-day behavior | Coherent strategy has been developed and is linked to mission and vision but is not fully ready to be acted upon; strategy is mostly known, and day-to-day behavior is partly driven by it | Clear, coherent medium- to long-term strategy that is both actionable and linked to overall mission, vision, and overarching goals; strategy is universally known and consistently helps drive day-to-day behavior at all levels of the organization | Level Three | Level One |
| 1.05 Shared Beliefs & Values | No common set of basic beliefs and values (e.g., social, cultural, etc.) exists within organization | Common set of basic beliefs and values exists in some groups within organization, but is not shared broadly; beliefs and values are only partially aligned with organizational purpose and constituents' norms, or are rarely harnessed to produce impact | Common set of basic beliefs and values held by many people within organization; helps provide a sense of connection to organization; beliefs and values are aligned with organizational purpose and constituents' norms, and are occasionally harnessed to produce impact | Common set of basic beliefs and values exists and is widely shared within organization; helps provide a sense of connection to organization and a clear direction for behavior; beliefs and values embodied by leader but are also timeless and stable across leadership changes; beliefs and values clearly support organizational purpose, are in line with constituents' norms, and are consistently harnessed to produce impact | Level Three | Level Two |

# 1. LEADERSHIP CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 1.06 | Board Composition & Commitment | Membership with limited diversity in fields of practice and expertise; drawn from a narrow spectrum of constituencies relevant to the organization; little or no relevant experience; commitment to organization's success, vision, and mission is unclear; meetings are sporadic and/or attendance is sometimes poor | Some diversity in fields of practice and expertise; membership represents a few different constituencies relevant to organization; some evidence of commitment to organization's success, vision, and mission; regular meetings are well-planned and attendance is adequate; occasional subcommittee meetings | Good diversity in fields of practice and expertise; membership represents most constituencies relevant to the organization; solid evidence of commitment to organization's success, vision, and mission; regular, purposeful meetings are well-planned and attendance is consistently good; regular subcommittee meetings | Membership with broad variety in fields of practice and expertise, and drawn from the full spectrum of constituencies relevant to the organization; includes functional and issue area expertise; proven track record of learning about the organization and addressing its issues; consistently demonstrated commitment to the organization's success, mission, and vision; regular, purposeful meetings are well-planned and attendance is consistently strong; regular meetings of focused subcommittees | Level Three | Level Two |
| 1.07 | Board Governance | Roles of legal board, advisory board, and management are unclear; board rarely scrutinizes budgets, holds CEO/ED accountable, or operates according to formal procedures | Roles of legal board, advisory board, and management are clear; board functions according to by-laws, reviews budgets, and occasionally sets organizational direction and targets, but does not regularly review CEO/ED performance, monitor potential conflicts of interest, scrutinize audits, or review IRS and state filings | Roles of legal board, advisory board, and management are clear and function well; board reviews budgets, audits, IRS and state filings; size of board set for maximum effectiveness with formal nomination process; board co-defines performance targets and actively encourages CEO/ED to meet targets; annual review of CEO/ED's performance, but board not prepared to hire or fire CEO/ED | Legal board, advisory board, and management work well together from clear roles; board fully understands and fulfills fiduciary duties; size of board set for maximum effectiveness with rigorous nomination process; board actively defines performance targets and holds CEO/ED fully accountable; board empowered and prepared to hire or fire CEO/ED if necessary; board periodically evaluated | Level Three | Level Two |
| 1.08 | Board Involvement & Support | Provide little direction, support, and accountability to leadership; not fully informed about material and other major organizational matters; largely "feel-good" support | Provide occasional direction, support, and accountability to leadership; generally informed about all material matters in a timely manner; input and responses often solicited | Provide direction, support, and accountability to leadership; fully informed about all material matters; input and responses actively sought and valued; full participant in major decisions | Provide strong direction, support, and accountability to leadership and engaged as a strategic resource; communication between board and leadership reflects mutual respect, appreciation for roles and responsibilities, shared commitment, and valuing of collective wisdom | Level Two | Level Two |

# 1. LEADERSHIP CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 1.09 | CEO/ED Experience & Standing | Narrow background and range of experiences; limited experience in nonprofit management; little evidence of innovative thinking; limited recognition among peer organizations | Background and range of experiences reflects some depth; some relevant experience in nonprofit management; some evidence of innovative thinking and understanding of the sector; occasional recognition among peer organizations | Broad background and range of experiences; significant experience in nonprofit management; clear evidence of innovative thinking; solid understanding of the sector; some recognition as a leader/shaper among peer organizations | Extraordinarily diverse background and experiences; extensive and varied experience in nonprofit management; exceptional evidence of innovative thinking and approaches; comprehensive and deep understanding of the sector; regularly recognized as a leader/shaper among peer organizations | Level Three | Level Three |
| 1.10 | CEO/ED Organizational Leadership / Effectiveness | Some difficulty building trust and rapport with others; micromanages projects; shares little of own experiences as developmental/coaching tool; inconsistent attention to organizational vision | Responsive to opportunities from others to work together; generally confident in others' ability to be successful; shares own experience and expertise; visible commitment to organization and its vision | Actively and easily builds rapport and trust with others; effectively encourages others to succeed; shares relevant experience and expertise, yet gives others freedom to work their own way, try out new ideas, and grow; shows constant commitment to organization and its vision; inspires others around vision | Constantly establishing successful, win-win relationships with others, both within and outside the organization; delivers consistent, positive, and reinforcing messages to motivate people; finds or creates special opportunities to promote people's development; lives the organization's vision; compellingly articulates path to achieving vision that enables others to see where they are going | Level Three | Level Three |
| 1.11 | CEO/ED Analytical & Strategic Thinking | Somewhat uncomfortable with complexity and ambiguity; some ability to analyze strategies | Able to cope with some complexity and ambiguity; able to analyze and periodically generate strategies | Quickly assimilates complex information and able to distill to core issues; welcomes ambiguity and comfortable dealing with the unknown; develops robust strategies | Possesses keen and exceptional ability to synthesize complexity; makes informed decisions in ambiguous, uncertain situations; develops strategic alternatives and identifies associated rewards, risks, and actions | Level Three | Level Four |
| 1.12 | CEO/ED Financial Judgment | Difficulty considering financial implications of decisions; limited understanding of basic financial concepts | Draws appropriate conclusions after studying the facts; understands basic financial concepts; gives some consideration to financial impact of major decisions | Uses sound financial judgment; solid understanding of financial concepts; regularly considers financial impact of all decisions | Exceptional financial judgment; deep understanding of complex financial concepts; has keen, almost innate sense for financial impact of all decisions | Level Three | Level Three |
| 1.13 | Board & CEO/ED Appreciation of Power Issues | No explicit attention given to power issues (e.g., of race and class) | Power issues occasionally acknowledged and discussed; policies and/or procedures developed on an ad hoc basis to address these issues | Power issues regularly acknowledged and discussed; basic policies and/or procedures exist to address these issues | Power issues regularly acknowledged and discussed; well-established policies and procedures exist to address these issues, and are routinely reviewed and revised | | Do Not Know |

# 1. LEADERSHIP CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 1.14 | Ability to Motivate & Mobilize Constituents | Those with potential to be most affected by organization's work have limited knowledge of organization; organization meetings are sporadic and poorly attended; organization has difficulty motivating members into action | Those with potential to be most affected by organization's work have some knowledge of organization; meetings held regularly, but attendance varies widely; organization has ability to motivate a small core group of community members into action | Those with potential to be most affected by organization's work are knowledgeable and likely to be engaged with organization; meetings held regularly and are generally well-attended; organization has ability to motivate a segment of community members into action | Those with potential to be most affected by organization's work see organization as inspiring and motivating; they are excited to be involved; meetings held regularly and are routinely well-attended; organization has ability to motivate a broad range of community members into action | Level Four | Level Two |
| | Comments: | ED Comments---Mission Statement: To Protect & Preserve the Lands & Waters of the Wood Pawcatuck Watershed.  This statement clearly captures our community role and its broad nature allows for a lot of organizational flexibility.  Our vision, in general terms, is to grow and continue to build our capacity to better fulfill our mission, but to do so without significantly increasing our staffing liability.  Action & Strategic plan do not seem to reflect the realistic capacities of the organization.  The goals are often beholden upon regulatory agencies to make changes or fulfill their roles and therefore are beyond our ability to achieve.  While board composition is good, achieving a monthly quorum is difficult to achieve despite the schedule being set at the beginning of each calendar year.  ED at times lacks professionalism and attention to important fundraising activities due in part to intimate involvement in the oversight of specific programs/projects, though these can also be considered attributes.  ED gravitates toward problem solving as opposed to a planning.  Is exceptional at building strong relationships.  Power Issues (unclear what this term means).    BC Comments---ED shoulders too much; other staff are too narrow focused, creating silos in a very small organization. Board is supportive of staff but lacks agreement on how to engage to support staff, especially the ED, in a functional manner that builds capacity of the organization to achieve its goals. The board does not play a strong leadership role either within the organization or within stakeholder communities. | | | | | |

*Please proceed to Worksheet 2.*

# 2. ADAPTIVE CAPACITY

| Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|
| 2.01 Strategic Planning | Limited ability and tendency to develop strategic plan, either internally or via external assistance; if strategic plan exists, it is rarely or never referenced | Some ability and tendency to develop high-level strategic plan either internally or via external assistance; strategic plan sometimes directs management decisions | Ability and tendency to develop and refine concrete, realistic strategic plan; some internal expertise in strategic planning or access to relevant external assistance; strategic planning carried out on a near-regular basis; strategic plan used to guide management decisions | Ability to develop and refine concrete, realistic, and detailed strategic plan; critical mass of internal expertise in strategic planning, or efficient use of external, sustainable, highly qualified resources; strategic planning exercise carried out regularly; strategic plan used extensively to guide management decisions | Level Two | Level One |
| 2.02 Evaluation / Performance Measurement | Very limited measurement and tracking of performance and progress; all or most evaluation based on anecdotal evidence; no external performance comparisons made; organization collects some data on program activities and outputs (e.g., number of children served), but has no measurement of outcomes (e.g., the extent to which the drop-out rate has been lowered) | Performance partially measured and progress partially tracked; some external performance comparisons made; organization regularly collects solid data on program activities and outputs, and has begun to measure outcomes | Performance measured and progress tracked in multiple ways on a regular basis; effective internal and external benchmarking occurs but may be confined to select areas; multiple indicators used in evaluation, with primary focus on outcomes; some attention paid to cultural appropriateness of evaluation process/methods; social impact measured, but longitudinal (long-term) or independent nature of evaluation is missing | Comprehensive, integrated system (e.g., balanced scorecard) used for measuring organization's performance and progress on continual basis; internal and external benchmarking part of the organizational culture and used by staff in target-setting and daily operations; clear and meaningful outcomes-based performance indicators exist in all areas; careful attention paid to cultural appropriateness of evaluation process/methods; measurement of social impact based on longitudinal studies with independent evaluation | Level Two | Level One |
| 2.03 Evaluation & Organizational Learning | Performance data rarely used to improve program and organization; little experience with evaluation beyond capturing information to report to funders; information systems not in place | Performance data occasionally used by staff and board to improve organization; some staff time devoted to evaluation efforts, as required by funders, however staff and board do not typically see evaluation as integral to organization's work; information systems not in place | Learnings from performance data distributed throughout organization, and often used by staff and board to make adjustments and improvements; some staff time devoted to documenting organization's work; some information systems in place to support on-going evaluation | Systematic staff and board practices of making adjustments and improvements on basis of performance data; resources are devoted to thoroughly documenting organization's work and capturing the complete story of its impact; evaluation processes fully integrated into information systems | Level Two | Level Two |

# 2. ADAPTIVE CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 2.04 | Use of Research Data to Support Program Planning & Advocacy | Sporadic use of data from outside sources to support proposals or program decisions; limited capacity to work with research data; little understanding of where to find useful data or how to assess its quality | Basic data from outside or internal sources used to support significant proposals and major advocacy; ability to read research reports and evaluate quality of data exists, but data is not relied upon as part of regular decision making; familiarity with one or two sources of data especially relevant to organization's work; little capacity to analyze raw data or present it in graphical, engaging ways | Familiarity with useful data sources in relevant issue areas; data used to support decisions, proposals, and advocacy; employs staff with research and data skills, although they may not conduct analysis full time; capacity to manipulate data from existing data sets, merge data sets, and make assessments about relevance and cultural appropriateness of findings for its community or clients; ability to present data from outside sources using charts, tables, and graphics | Respected by peers as both consumer and producer of data; dedicated research staff capable of working with complex data and making assessments about relevance and cultural appropriateness of findings for its community or clients; research regularly scanned for relevant data to support decisions, proposals, and advocacy; important organizational questions answered through research; ability to effectively present data using charts, tables, and graphics for a variety of audiences | Level Three | Level Two |
| 2.05 | Program Relevance & Integration | Core programs and services vaguely defined and lack clear alignment with mission and overarching goals; programs seem scattered and largely unrelated to each other | Most core programs and services well-defined and solidly linked with mission and overarching goals; program offerings may be somewhat scattered and not fully integrated into clear strategy | Core programs and services well-defined and aligned with mission and overarching goals; program offerings fit together well as part of clear strategy | All programs and services well-defined and fully aligned with mission, overarching goals, and constituency; program offerings are clearly linked to one another and to overall strategy; synergies across programs are captured | Level Three | Level Two |
| 2.06 | Program Growth & Replication | No assessment of possibility of scaling up existing programs; no ability to scale up or replicate existing programs | Limited assessment of possibility of scaling up existing programs and, even when judged appropriate, action rarely taken; limited ability either to scale up or replicate existing programs | Occasional assessment of possibility of scaling up existing programs and, when judged appropriate, action occasionally taken; able to scale up or replicate existing programs | Frequent assessment of possibility of scaling up existing programs, and when judged appropriate, action consistently taken; efficiently and effectively able to grow existing programs to meet needs in local area or other geographies | Level Four | Level Three |
| 2.07 | New Program Development | No assessment of gaps in ability of current programs to meet recipient needs; limited ability to create new programs; new programs created only in response to funding availability | Limited assessment of gaps in ability of existing programs to meet recipient needs, with little or limited action taken; some ability to modify existing programs and create new programs | Occasional assessment of gaps in ability of existing programs to meet recipient needs, with some adjustments made; demonstrated ability to modify and fine-tune existing programs and create new programs | Continual assessment of gaps in ability of existing programs to meet recipient needs, with adjustments regularly made; ability and tendency to efficiently and effectively create new, innovative programs to meet needs in local area or other geographies; continuous pipeline of new ideas | Level Four | Level Three |

# 2. ADAPTIVE CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 2.08 | Monitoring of Program Landscape | Minimal knowledge and understanding of other players as well as alternative and complementary models in program area | Basic knowledge of other players as well as alternative and complementary models in program area, but limited ability to adapt behavior based on acquired understanding | Solid knowledge of other players as well as alternative and complementary models in program area; good ability to adapt behavior based on acquired understanding and cultural appropriateness, but only carried out on occasion | Extensive knowledge of other players as well as alternative and complementary models in program area; refined ability and systematic tendency to adapt behavior based on acquired understanding and cultural appropriateness | Level Three | Level Three |
| 2.09 | Assessment of External Environment & Community Needs | Planning not supported by systematically collected information about community needs or external opportunities and threats; organization has very few connections to community members and opinion leaders that can provide information about evolving community needs | Information about community needs or external opportunities and threats used to inform planning, although collection is haphazard; organization has a few connections to community members and opinion leaders that can provide information about evolving community needs | Information about community needs and external opportunities and threats used to inform planning; organization has many connections to community members and opinion leaders with whom they communicate about evolving community needs | Clear, established systems regularly used to assess community needs and external opportunities and threats; information systematically collected and used to support and improve planning efforts; organization has numerous connections to community members and opinion leaders with whom they regularly communicate about evolving community needs | Level Three | Level Two |
| 2.10 | Influencing of Policy-making | No ability or awareness of possibilities to influence policy-making; never called on to participate in substantive policy discussions | Aware of possibilities to influence policy-making; some readiness and skill to participate in policy discussion, but rarely invited to substantive policy discussions | Fully aware of possibilities to influence policy-making; one of several organizations active in policy discussions at the local, state, and/or national level (as relevant and appropriate) | Proactively influences policy-making in a highly effective manner at the local, state, and/or national level (as relevant and appropriate); always ready for and often called on to participate in substantive policy discussions | Level Three | Level Three |
| 2.11 | Partnerships & Alliances | No partnerships or alliances with other for-profit, nonprofit, or public sector entities | Early stages of building relationships and collaborating with other for-profit, nonprofit, or public sector entities; if relations do exist, some may be precarious or not fully "win-win" | Some key relationships with a few types of relevant entities (e.g., for-profit, nonprofit, public sector) have been built and leveraged; action around common goals is generally short term | Strong, high-impact, relationships with variety of relevant entities (local, state, and federal government as well as for-profit, other nonprofit, and community agencies) have been built, leveraged, and maintained; relationships anchored in stable, long-term, mutually beneficial collaboration | Level Four | Level Three |

# 2. ADAPTIVE CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 2.12 | Community Presence & Standing | Community presence either not recognized or organization is generally not regarded as a player in the community; few members of the community (e.g., other nonprofit leaders, government representatives, and academics) engage with organization; community leaders rarely call on organization for its input on issues important to organization | Community presence somewhat recognized, and organization is generally regarded as a player in the community; some members of the community actively engage with organization; community leaders occasionally call on organization for its input on issues important to organization | Known within the community beyond just constituents/members; perceived as open and responsive to community needs; members of larger community (including some highly respected members) actively engage with organization; community leaders often call on organization for its input on issues important to organization | Widely known within the community, and perceived as actively engaged with and extremely responsive to it; many members of the larger community (including many highly respected members) actively engage with organization; community leaders always call on organization for its input on issues important to organization | Level Three | Level Two |
| 2.13 | Constituent Involvement | Constituent involvement is limited; planning involves little constituent input; constituents not trained or supported in their involvement | Constituents offered a range of roles in the organization; volunteer positions of leadership open to constituents, but rarely filled by them; paid staff responsible for planning; constituent work mostly task-oriented; constituents trained or supported in their work on an ad hoc basis | One or two systems in place to actively recruit and involve constituents; constituents take on a variety of roles in organization, including volunteer positions of leadership; paid staff take a large role in planning, but constituents are involved and help define some desired outcomes; training provided to constituents in some of the skill areas needed to affect change | Variety of systems in place to actively recruit and involve constituents; constituents take on a wide variety of roles in organization, including volunteer positions of leadership; paid staff work collaboratively with constituents to plan and lead much of the organization's work and define desired outcomes; training is provided to constituents in all of the skill areas needed to affect change | Level Three | Level Three |
| 2.14 | Organizing | Advocacy work is focused only on short-term achievements; long-term strategy does not exist; campaign targets are sometimes vague; organizing tactics may not be those best suited to the constituency | Some understanding of the need to grow constituent capacity and social capital to tackle issues/problems; advocacy work generally promotes short-term gains rather than long-term capacity building; organizing tactics are engaged in without a detailed plan of how they will lead to long-term change | Broad understanding of the need to grow constituent capacity and social capital to tackle issues/problems; advocacy work is directed toward that end, but could be better aligned; a strategy for long-term change exists, with appropriate campaign targets and organizing tactics | Primary focus is on growing constituent capacity and social capital to tackle issues/problems; advocacy work is aligned with that focus; a carefully developed strategy for long-term change exists, with appropriate campaign targets and organizing tactics | Level Three | Level Two |
| Comments: | | ED Comments---Performance measurement occurs on a more informal basis as opposed to implementing surveys and tabulating results, staff finds this to be a more time efficient way to gauge programmatic success.  ED has implemented annual structured staff evaluation system that includes board review and ties directly to salary increases.  Staff is adept at analyzing scientific data, they lack the ability to apply this skill to organizational planning and development.  Capacity to achieve potential in policy making is limited due to staff size (3 staff) versus constituent size (14 towns) and funding to support policy making efforts is virtually nonexistent.  WPWA prefers to use educational opportunities to affect policy in a more long term generational fashion. Strong partnerships due in large part to ED's willingness to give wherever and whenever it is needed by partners.  Media relations and high visibility projects have been the keys to ever increasing community standing, presence and recognition.  There is a significant disconnect with constituents because coverage area spans two states and there is too few staff to coordinate so many members in the community all with varying interests.  Goals for growth need to be better aligned with realistic capability of staff to manage an ever increasing and evolving membership & constituent base.  BC Comments---the organization is adaptive, though tends, as is common with nonprofits, to run toward available funding. This can be good and bad, depending on how well funds fit the strategic plan and objectives set forth by the organization. The board is supportive of fund raising but fails to agree that it is a board priority and therefore lets this fall to the ED or simply fall off the radar. This has not been problematic over recent years because of a number of large fund projects taken on, but will become a major issue and major barrier to success of the organization as those project draw to a close. The lack of a solid strategic and implementation plan, followed by an organizational change plan for implementation, limits the adaptive capacity of the organization. | | | | | |

## 2. ADAPTIVE CAPACITY

| Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
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*Please proceed to Worksheet 3.*

# 3. MANAGEMENT CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 3.01 | Senior Management Team | No or very limited prior experience in nonprofit or for-profit management; team drawn from a narrow range of backgrounds and experiences; limited track record of learning and personal development; energy and commitment is sometimes lacking | Some prior experience in nonprofit or for-profit management; team drawn from somewhat diverse backgrounds and experiences; decent track record of learning and personal development; energetic and committed | Significant prior experience in nonprofit or for-profit management; team drawn from diverse backgrounds and experiences, and bring a broad range of skills; good track record of learning and personal development; highly energetic and committed | Extensive and varied experience in nonprofit or for-profit management; team drawn from extraordinarily diverse backgrounds and experiences, and bring a broad range of outstanding capabilities; outstanding track record of learning and personal development; contagiously energetic and committed | Level Three | Level Two |
| 3.02 | Staff | Drawn from a narrow range of backgrounds and experiences; interest and abilities limited to present job; little ability to solve problems as they arise | Drawn from somewhat diverse backgrounds and experiences; good capabilities, including some ability to solve problems as they arise; many are interested in work beyond their current jobs and in the success of organization's mission | Drawn from diverse backgrounds and experiences and bring a broad range of skills; most are highly capable and committed to mission and strategy; eager to learn and develop, and assume increased responsibility | Drawn from extraordinarily diverse backgrounds and experiences, and bring broad range of skills; most are highly capable in multiple roles and committed to both mission, strategy, and continuous learning; eager and able to take on special projects and collaborate across divisional lines; frequent source of ideas and momentum for improvement and innovation | Level Three | Level Three |
| 3.03 | Dependence of Management Team & Staff on CEO/ED | Very strong dependence on CEO/ED; organization would cease to exist without his/her presence | High dependence on CEO/ED; organization would continue to exist without his/her presence, but likely in a very different form | Limited dependence on CEO/ED; organization would continue in similar way without his/her presence but areas such as fundraising or operations would likely suffer during transition period; no current member of management team could potentially take on CEO/ED role | Reliance but not dependence on CEO/ED; smooth transition to new leader could be expected; fundraising and operations likely to continue without major interruption; senior management team can fill in during transition time; several members of management team could potentially take on CEO/ED role | Level Two | Level Two |
| 3.04 | Shared References & Practices | No significant common set of references and practices (e.g., rituals, unwritten rules, stories, heroes or role models, symbols, language, cultural practices or traditions of communities served, etc.) exists within organization | Common set of references and practices exists in some groups within organization, but is not shared broadly; only partially aligned with organizational purpose or only rarely harnessed to produce impact | Common set of references and practices exists, and is adopted by many people within organization; references and practices aligned with organizational purpose and occasionally harnessed to produce impact | Common set of references and practices exists, and is shared and adopted by all members of organization; references and practices consciously designed and used to support organizational purpose and regularly harnessed to produce impact | Level Three | Do Not Know |

# 3. MANAGEMENT CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 3.05 | Goals / Performance Targets | Targets are non-existent or few, vague or confusing, or either too easy or impossible to achieve; not clearly linked to overarching goals and strategy; targets largely unknown or ignored by staff | Realistic targets exist in some key areas, and are mostly aligned with overarching goals and strategy; may lack aggressiveness, be short-term, or lack milestones; targets are known and utilized by some staff | Realistic yet demanding targets exist in most areas, and are aligned with overarching goals and strategy; primarily quantifiable and focused on outcomes; typically multi-year targets, though may lack milestones; targets are known and utilized by most staff who use them to broadly guide work | Realistic yet demanding targets exist in all areas; targets are tightly linked to overarching goals and strategy, quantifiable, outcome-focused, have annual milestones, and are long-term in nature; all staff consistently utilize targets and work diligently to achieve them | Level Two | Level One |
| 3.06 | Funding Model | Strong dependence on a few funders, largely of same type (e.g., government, foundations, corporations, or individuals) | Multiple types of funding sources with only a few funders in each type, or many funders within only one or two types of funders | Solid base of funders from many types of funding sources; some ability to guard against market instabilities (e.g., operating reserves, small endowment) and/or has developed some sustainable revenue-generating activity | Highly diversified funding streams; organization insulated from potential market instabilities (e.g., fully developed endowment) and/or has developed sustainable revenue-generating activities; other nonprofits try to imitate organization's fundraising activities and strategies | Level Two | Level One |
| 3.07 | Fund Development Planning | No systems in place for long-term planning, diversifying revenue streams, or outlining and managing to target goals; fundraising is reactive; fund development strategy not well-articulated and focuses on one type of activity such as grants | Recognize need to develop systems for long-term planning, revenue diversification, and outlining and managing to target goals; fund development includes several activities, but is not connected to organization's long-term strategic plan and budget projections | Some systems in place for long-term planning, revenue diversification, and outlining and managing to target goals; fund development strategy includes multiple activities and is loosely connected to organization's long-term strategic plan and budget projections | Well-developed systems for long-term planning, revenue diversification, and outlining and managing to target goals; multi-pronged fund development strategy is proactive and integrated into organization's long-term strategic plan and budget projections | Level Two | Level Two |
| 3.08 | Financial Planning / Budgeting | No or very limited financial planning; general budget developed; only one budget for entire organization; performance-to-budget loosely or not monitored | Limited financial plans, updated on an ad hoc basis; budget utilized as operational tool; used to guide/assess financial activities; some attempt to isolate divisional (program or geographical) budgets within central budget; performance-to-budget monitored periodically | Solid financial plans, updated regularly; budget integrated into most operations; reflects organizational needs; solid effort made to isolate divisional (program or geographical) budgets within central budget; performance-to-budget monitored regularly | Very solid financial plans, continuously updated; budget integrated into all operations; used as strategic tool; budget developed from process that incorporates and reflects organizational needs and objectives; well-understood divisional (program or geographical) budgets within overall central budget; performance-to-budget closely and regularly monitored | Level Three | Level Two |
| 3.09 | Financial Operations Management | Gifts and grants deposited and acknowledged; bills paid regularly; supporting documentation collected and retained | Financial activities consistently documented and reported; appropriate checks and balances exist; activities tracked to budget | Established internal controls govern all financial operations; activities fully tracked, supported, and reported; some attention paid to cash flow management | Robust systems and controls govern all financial operations and their integration with budgeting, decision making, and organizational goals; cash flow actively managed | Level Three | Level Three |

# 3. MANAGEMENT CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 3.10 | Operational Planning | Operations run purely on day-to-day basis with no short- or longer-term planning activities; no experience in operational planning | Some ability and tendency to develop high-level operational plan either internally or via external assistance; operational plan loosely or not linked to strategic planning activities and used roughly to guide operations | Ability and tendency to develop and refine concrete, realistic operational plan; some internal expertise in operational planning or access to relevant external assistance; operational planning carried out on a near-regular basis; operational plan linked to strategic planning activities and used to guide operations | Concrete, realistic, and detailed operational plan developed and regularly refined; critical mass of internal expertise in operational planning, or efficient use of external, sustainable, highly qualified resources; operational planning exercise carried out regularly; operational plan tightly linked to strategic planning activities and systematically used to direct operations | Level Two | Level Two |
| 3.11 | Organizational Processes | Limited set of processes (e.g., planning, reviews, internal information dissemination) for ensuring effective functioning of the organization; use of processes is variable, or processes are seen as ad hoc requirements ("paperwork exercises"); no monitoring or assessment of processes; meetings sometimes lack effective facilitation | Basic set of processes in core areas for ensuring efficient functioning of organization; processes known, used, and accepted by a portion of staff; limited monitoring and assessment of processes, with few improvements made in consequence; meetings are effectively facilitated, though sometimes run longer than necessary | Solid, well-designed set of processes in place in core areas to ensure smooth, effective functioning of organization; processes known and accepted by many and often used and contribute to increased impact; occasional monitoring and assessment of processes, with some improvements made accordingly; meetings are effectively facilitated and do not run longer than necessary | Robust, lean, and well-designed set of processes in place in all areas to ensure effective and efficient functioning of organization; processes are widely known, used, and accepted, and are key to ensuring full impact of organization; continual monitoring and assessment of processes, with systematic improvements made accordingly; meetings are effectively facilitated and all participants are highly engaged throughout | Level One | Level One |
| 3.12 | Decision Making Processes | Decisions made largely on an ad hoc basis by one person and/or whomever is accessible; highly informal; authority is vague and changing; staff is unaware of social/cultural power differences between themselves and their constituents | Appropriate decision makers known; decision making processes fairly well established, but often break down and become informal; social/cultural power differences addressed in a limited fashion (e.g., a one-day training) | Transparent and structured lines/systems for decision making exist; dissemination of decisions generally good; general awareness of social/cultural power differences and on-going plans to address them | Transparent and structured lines/systems for decision making exist, and involve broad participation as practical and appropriate (sometimes including constituents); dissemination and interpretation of decisions is both good and consistent; specific awareness of social/cultural power differences and established systems in place to mitigate them | Level Two | Level Three |
| 3.13 | Knowledge Management | No formal systems to capture and document internal knowledge | Systems exist in a few areas but are either not user-friendly or not comprehensive enough to have an impact; systems known by only a few people, or only occasionally used | Well-designed, user-friendly systems in some areas; not fully comprehensive; systems are known by many people within organization and often used | Well-designed, user-friendly, comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas; all staff are aware of systems and trained in their use; systems used frequently | Level Three | Level Two |

# 3. MANAGEMENT CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 3.14 | Interfunctional Coordination & Communication | Different programs and organizational units function in silos; little or dysfunctional coordination and communication between them | Interactions between different programs and organizational units generally good, though some coordination and communication problems exist; some pooling of resources | All programs and units function together effectively, with sharing of information and resources; coordination and communication is strong | Constant and seamless integration between different programs and organizational units; relationships are dictated primarily by organizational needs rather than hierarchy or politics | Level Three | Level Three |
| 3.15 | Human Resources Planning | Organization uncovers and/or addresses HR needs only when too large to ignore; lack of HR planning activities and expertise (either internally or accessible externally); job descriptions do not exist | Some ability and tendency to develop high-level HR plan either internally or via external assistance; HR plan loosely or not linked to strategic planning activities and roughly guides HR activities; job descriptions tend to be static | Ability and tendency to develop and refine concrete, realistic HR plan; some internal expertise in HR planning or access to relevant external assistance; HR planning carried out on near-regular basis; HR plan linked to strategic planning activities and used to guide HR activities; job descriptions periodically updated and revised in response to changing organizational needs and to support the growth and development of staff | Ability to develop and refine concrete, realistic, and detailed HR plan; critical mass of internal expertise in HR planning, or efficient use of external, highly qualified resources; HR planning exercises carried out regularly; HR plan tightly linked to strategic planning activities and systematically used to direct HR activities; job descriptions regularly updated and revised in response to changing organizational needs and to support growth and development of staff | Level Three | Level Two |
| 3.16 | Recruiting, Development, & Retention of Management | Standard career paths in place without considering managerial development; very limited training, coaching, and feedback; infrequent performance appraisals; no systems/processes to identify promising new managers | Partially tailored development plans for some promising staff members; personal annual reviews incorporate development plan for each manager; some formal recruiting networks in place | Recruitment, development, and retention of key managers is priority and high on CEO/ED's agenda; individually tailored development plans for some promising staff members; relevant training, coaching/feedback, and consistent performance appraisals are institutionalized; well-connected to potential sources of promising new managers; attention paid to recruitment and promotion of managers that reflect the diversity of the community and constituents | Well-planned process to recruit, develop, and retain key managers; CEO/ED takes active interest in managerial development; individually tailored development plans for all promising staff members; relevant and regular internal and external training, coaching/feedback, and consistent performance appraisals are institutionalized; well-connected to potential sources of promising new managers; recruitment and promotion methods ensure that management team reflects the diversity of the community and constituents | Level Two | Level Two |

# 3. MANAGEMENT CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 3.17 | Recruiting, Development, & Retention of General Staff | Standard career paths in place without considering staff development; limited training, coaching and feedback; no regular performance appraisals; no initiatives to identify promising new staff | No active development tools/programs; feedback and coaching occur sporadically; performance evaluated occasionally; sporadic initiatives to identify promising new staff | Limited use of active development tools/programs; frequent formal and informal coaching and feedback; performance regularly evaluated and discussed; regular concerted initiatives to identify promising new staff; attention paid to the recruitment of staff that reflect the diversity of the community and constituents | Management actively interested in general staff development; thoughtful and targeted development plans for key employees/positions; frequent, relevant training, coaching/feedback, and consistent performance appraisals are institutionalized; continuous, proactive initiatives to identify promising new staff; recruitment methods ensure that staff reflect the diversity of the community and constituents | Level Three | Level Two |
| 3.18 | Volunteer Management | No active recruitment of volunteers (only passive recruitment such as people who walk in the door); no defined roles for volunteers to fill; few systems in place to train and support volunteers | Some active recruitment of volunteers; volunteer roles involve a range of time commitments and skill levels; volunteer work is mostly task-oriented; basic training to volunteers provided, generally on an ad hoc basis | Active recruitment of volunteers on a regular basis; wide range of volunteer roles available; written job descriptions for most common volunteer positions; some systems exist to track and manage volunteers; volunteer orientations and trainings take place periodically, with attention paid to both skills and cultural competency; staff trained on how to manage volunteers | Volunteer recruitment systems successfully fill organizational needs with appropriate volunteers; wide range of volunteer roles available, including positions of leadership; written job descriptions for all volunteer positions; robust volunteer management systems in place; volunteer orientations and trainings take place on a regular basis, with attention paid to both skills and cultural competency; staff experienced and/or extensively trained in volunteer management | Level Two | Level Two |
| | Comments: | ED Comments---Staff tends to be highly knowledgeable, engaged, and generally works both proactively and reactively with constant attention to the mission statement.  While the board members mean well, they traditionally tend to be attached to programs they are passionate about but completely detached from all others.  General consensus exists among the board to place the majority of corporate responsibility in the hands of the ED & Staff.  This makes for informed, efficient decision making processes but places the majority of institutional ability in one person's hands.  BC Comments---Staff are highly intelligent and motivated. Board membership is both intelligent and diverse, but lacks a shared vision and/or agreement on priority issues, which then limits management capacity overall. There is a lack of clarity regarding goals and targets are not set, so it is difficult to determine if the organization is making positive motion in attaining goals and objectives. | | | | | |

*Please proceed to Worksheet 4.*

# 4. OPERATIONAL CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 4.01 | Staffing Levels | Some positions within and peripheral to organization (e.g., staff, volunteers, board, senior management) are unfilled, inadequately filled, or experience high turnover and/or poor attendance | Critical positions within and peripheral to organization are staffed, though some inappropriately; attendance problems are limited; high turnover is sometimes a challenge | Critical positions within and peripheral to organization are adequately and appropriately staffed; attendance problems are rare; turnover is limited | All positions within and peripheral to organization are adequately and appropriately staffed; attendance problems are extremely rare; turnover is limited; vacancies filled immediately | Level Three | Level Four |
| 4.02 | Skills, Abilities, & Commitment of Volunteers | Volunteers not working up to their potential or ill-equipped for work with organization; may be unreliable or have low commitment | Many volunteers working up to their potential; mostly reliable, loyal, and committed to organization's success | Capable set of individuals that bring required skills to organization; culturally competent, reliable, loyal, and generally committed to organization's success and to "making things happen"; work easily with most staff, but do not generally play core roles without staff supervision | Extremely capable set of individuals that bring complementary skills to organization; culturally competent, reliable, loyal, highly committed to organization's success and to "making things happen"; often go beyond call of duty; able to work easily with wide range of staff and play core roles without special supervision | Level Two | Level Three |
| 4.03 | Income Generation | Unplanned revenue model. Pursuit of event or grant funding absent a more complete understanding of other possible funding models and the factors needed for success in any model. Generally weak fundraising skills and lack of expertise (either internally or accessible externally). | Successful acquisition of funding to allow organizational growth. Unplanned revenue model not aligned with mission and culture. Multiple types of funding sources with only a few funders in each type. Main fundraising needs covered by some combination of internal skills and expertise, and access to external fundraising assistance (if/when needed). | Focused development of funding model with alignment of capacity investments to enable success in selected model. Model enables investment in both programming and operational capacity. Income needs adequately covered by well-developed internal income generation skills; occasional access to some external fundraising expertise (if/when needed) | Financially vibrant and resilient funding model that enables organization to maneuver through opportunity and instability in an optimistic way. Strong alignment between mission, governance and sources of support. Can work through tensions between revenue generating options and mission. Strong funder and stakeholder partnerships. Highly developed internal income generation skills and expertise in all targeted funding types to cover all needs; access to external fundraising expertise for additional extraordinary needs. | Level Two | Level One |
| 4.04 | Board Involvement & Participation in Fundraising (if applicable to funding model) | Most members do not recognize fundraising as one of the board's roles and responsibilities; no goals or plans for board-driven fundraising activities exist; members do not generally make financial contributions to organization | Members accept that the board has some fundraising responsibilities, but some concerns exist regarding ability of board to be successful in this area; board fundraising activities are limited; some members make a personally significant annual financial contribution to organization based on their individual means | Many members embrace fundraising as one of the board's core roles and responsibilities, and participate with fundraising endeavors; realistic and appropriate board fundraising goals and plans exist; fundraising activities are underway; most members make a personally significant annual financial contribution to organization based on their individual means | All members embrace fundraising as one of the board's core roles and responsibilities; realistic and appropriate board fundraising goals and plans in place; board actively fundraises and has achieved measurable progress towards goals; all members make a personally significant annual financial contribution to organization based on their individual means, and some contribute more frequently | Level Two | Level Two |

# 4. OPERATIONAL CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 4.05 | Other Revenue Generation | No internal revenue-generation activities; concepts such as cause-related marketing, fee-for-services, and retailing are neither explored nor pursued | Some internal revenue generation activities, however financial net contribution is marginal; revenue generation activities may distract from programmatic work and often tie up senior management team | Some proven internal revenue generation activities: these activities provide substantial additional funds for program delivery, but occasionally distract from programmatic work and require extensive senior management attention | Significant internal revenue generation; experienced and skilled in areas such as cause-related marketing, fee-for-services, and retailing; revenue-generating activities support, but don't distract from, focus on creating social impact | Level Three | Level Two |
| 4.06 | Communications Strategy | No communications plan or articulated communications strategy in place; key messages not defined or articulated; stakeholders not identified; information messages about organization are inconsistent | No communications plan or articulated communications strategy in place, but key messages defined and stakeholders identified; communications to stakeholders are fairly inconsistent | Communications plan and strategy in place; key messages defined and stakeholders identified; communications to stakeholders are generally consistent and coordinated | Communications plan and strategy in place and updated on a frequent basis; stakeholders and their values identified, and communications to each of those stakeholders customized; communications always carry a consistent and powerful message | Level Three | Level One |
| 4.07 | Communications & Outreach | No communications program or materials, or outdated materials; graphic identity standards are not defined; strictly internally-focused and little to no outreach to stakeholders; progams or materials that exist are not aligned with a communications plan or graphic identity standards (logo, color, font, etc) defining the look and feel | Loose collection of media used for communications; generic content and a limited number of media platforms (e.g. print, web, etc); not always updated to reflect current programs, activities, and outcomes; programs & materials have a minimal degree of professionalism or consistent look and feel; a few key materials are provided in multiple languages as needed | Communications/marketing programs and materials implemented on a variety of platforms and is up to date and reflects current programs, activities, and outcomes; graphic format and content reasonably reflect communications best practices and aligned with established standards for font, color, logo placement, etc.; most materials are provided in multiple languages as needed | Communications/marketing programs and materials implemented on wide variety of platforms used consistently and easily updated on a regular basis; graphic format and content reflect communications best practices and are customized by targeted audience to maximize impact ; all materials consistently adhere to established standards for font, color, logo placement, etc.; all materials are provided in multiple languages as needed | Level Three | Level Two |
| 4.08 | Telephone & Fax | Working status, lack of sophistication, or limited number of telephone and fax facilities are an impediment to day-to-day effectiveness and efficiency | Basic telephone and fax facilities accessible to most staff; may be moderately reliable or user-friendly, or may lack certain features that would increase effectiveness and efficiency (e.g., individual voice-mail), or may not be easily accessible to some staff (e.g., field staff); most frequent users receive training on phone system features | Basic centralized telecommunications facilities accessible to entire staff (in office and out in the field); caters to day-to-day communication needs with little maintenance; central system allows for call-forwarding, call transfers and voicemail retrieval; most staff receive training on telecommunications/phone system features and functions; some staff have cell phone access | Basic centralized telecommunications facilities accessible by all staff (in office and out in the field) with individual staff voice-mail; office may use an e-fax service instead of fax machine; central system augmented by use of cell phones or PDA's for selected staff; all staff receive training on phone and fax system features | Level Two | Level Three |

# 4.  OPERATIONAL CAPACITY

| Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|
| 4.09 Computers, Applications, Network, & Email | Limited/no use of computers or other technology in day-to-day activity and/or little or no usage by staff of existing IT infrastructure | Adequately equipped at central level; incomplete/limited infrastructure at locations aside from central offices; equipment sharing may be common; satisfactory use of IT infrastructure by staff; periodic training provided to some staff members | Solid hardware and software infrastructure that contributes to increased efficiency; no or limited sharing of equipment is necessary; regular use of IT infrastructure by staff, though some accessibility challenges for front-line program deliverers may exist; periodic training provided to all staff members | State-of-the-art, fully networked computing hardware with comprehensive range of up-to-date software applications; greatly enhances efficiency; all staff have individual computer access and e-mail; high usage level of IT infrastructure by staff; regular training provided to all staff members | Level Three | Level Three |
| 4.10 Website | No individual website | Informational only website with static content, rarely updated; site maintenance performed only occasionally | Personalized website containing basic information on organization as well as up-to-date latest developments; opt-in content choices i.e. newsletters; search capability; access to forums, links to other sites and forms; enhanced search capability; regularly maintained | Networked website, with video, podcasts, blogs and other community social media tools as well as basic information that is often refreshed. Both original, syndicated content and RSS links to related organizations. Access to website via multiple platforms i.e. wireless, cell, PDA's. Regularly maintained and kept up to date on latest area and organization developments. | Level Three | Level Three |
| 4.11 Databases / Management Reporting Systems | No systems for tracking clients, staff volunteers, program outcomes and financial information | Electronic databases and management reporting systems exist in only few areas; systems perform only basic features, are awkward to use, or are used only occasionally by staff | Electronic database and management reporting systems exist in most areas for tracking clients, staff, volunteers, program outcomes, and financial information; commonly used and help increase information sharing and efficiency | Sophisticated, comprehensive electronic database and management reporting systems exist for tracking clients, staff, volunteers, program outcomes, and financial information; widely used and essential in increasing information sharing and efficiency | Level Three | Level Three |
| 4.12 Buildings & Office Space | Inadequate physical infrastructure, resulting in loss of effectiveness and efficiency (e.g., unfavorable locations for clients and employees, no possibility of confidential discussions, insufficient workspace for individuals, no space for teamwork) | Physical infrastructure can be made to work well enough to suit organization's most important and immediate needs; a number of improvements could increase effectiveness and efficiency | Fully adequate physical infrastructure for the current needs of the organization; infrastructure does not impede effectiveness and efficiency; decor partially reflects cultural traditions of constituents | Physical infrastructure well-tailored to organization's current and anticipated future needs; well-designed to enhance organization's effectiveness and efficiency; favorable locations for clients and employees; plentiful space encourages teamwork; layout increases critical interactions among staff; decor clearly reflects and affirms cultural traditions of constituents | Level Two | Level Three |

# 4. OPERATIONAL CAPACITY

| | Capacity Elements | LEVEL ONE | LEVEL TWO | LEVEL THREE | LEVEL FOUR | Input capacity rating in this column ED | Input capacity rating in this column BC |
|---|---|---|---|---|---|---|---|
| 4.13 | Management of Legal & Liability Matters | Legal issues not anticipated; issues addressed individually when they arise; property insurance includes some liability coverage | Legal support resources identified, readily available, and employed on "as needed" basis; major liability exposures managed and insured (including property liability and workers compensation) | Legal support regularly available and consulted in planning; routine legal risk management and occasional review of insurance | Well-developed, effective, and efficient internal legal infrastructure for day-to-day legal work; additional access to general and specialized external expertise to cover peaks and extraordinary cases; continuous legal risk management and regular adjustment of insurance | Level Two | Level Two |
| | Comments: | ED Comments--- WPWA is in a transitional period and vacillates between remaining the "mom & pop" shop that it has traditionally been versus the regional leader that it has the skills, knowledge and experience to become.  WPWA lacks a true volunteer coordinator and volunteers are generally only utilized on a case by case basis for data collection assistance.  WPWA lacks a development director these responsibilities befall the ED.   Fundraising potential could be significantly increased if this were the specific role of a part time staffer or if board assumed responsibility in fundraising.   Membership is underutilized as a source of revenue, goals should be set to align with a percentage of all staff's salaries.  Great improvement in communication strategies have been developed in recent years, but still has yet to reach its maximum potential.  Great improvements have been made to IT infrastructure and are nearly complete that allow for telecommuting and file sharing along with remote paperless storage.  Website continue to evolve and improve the visibility of the organization while decreasing burden on staff to answer phone questions, register participants for events and enroll or renew members.  Buildings & grounds have seen significant improved but facility upgrades are still sorely needed.  Finding funding to support this continues to be a hindrance.  BC Comments---Agree with all the above. There needs to be some organizational planning which could result in organizational change, largely at the board level though perhaps also indicating a need for reorganization of staff as well. | | | | | |

*Please proceed to the Summary Table to review your responses and select priority capacity elements for your organization.*

# INE Organizational Capacity Assessment Summary

| Select any Capacity Element link below to return to that section in the Assessment | Capacity Element Rating Levels Executive Director <br><br> NOTE: A ZERO SCORE INDICATES A MISSING RESPONSE FROM WORKSHEETS 1-4 | Capacity Element Rating Levels Board Chair <br><br> NOTE: A ZERO SCORE INDICATES A MISSING RESPONSE FROM WORKSHEETS 1-4 | Capacity Dimension Averages |
|---|---|---|---|
| **1. LEADERSHIP CAPACITY** | | | |
| 1.01 Mission | 4 | 4 | |
| 1.02 Vision | 3 | 3 | |
| 1.03 Overarching Goals | 2 | 1 | |
| 1.04 Overarching Strategy | 3 | 1 | |
| 1.05 Shared Beliefs & Values | 3 | 2 | |
| 1.06 Board Composition & Commitment | 3 | 2 | |
| 1.07 Board Governance | 3 | 2 | |
| 1.08 Board Involvement & Support | 2 | 2 | 2.54 |
| 1.09 CEO/ED Experience & Standing | 3 | 3 | |
| 1.10 CEO/ED Organizational Leadership / Effectiveness | 3 | 3 | |
| 1.11 CEO/ED Analytical & Strategic Thinking | 3 | 4 | |
| 1.12 CEO/ED Financial Judgment | 3 | 3 | |
| 1.13 Board & CEO/ED Appreciation of Power Issues | 0 | Do Not Know | |
| 1.14 Ability to Motivate & Mobilize Constituents | 4 | 2 | |

# INE Organizational Capacity Assessment Summary

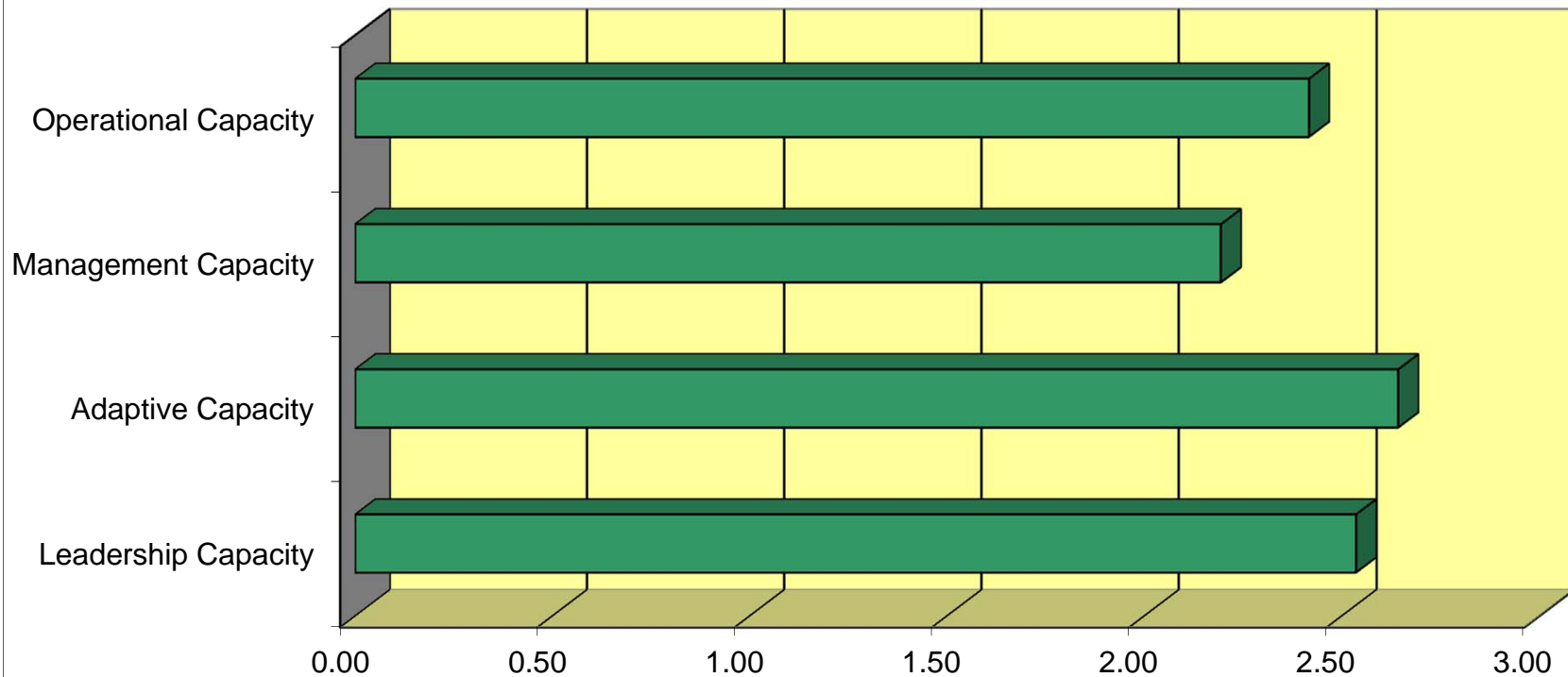| Select any Capacity Element link below to return to that section in the Assessment | Capacity Element Rating Levels Executive Director<br><br>NOTE: A ZERO SCORE INDICATES A MISSING RESPONSE FROM WORKSHEETS 1-4 | Capacity Element Rating Levels Board Chair<br><br>NOTE: A ZERO SCORE INDICATES A MISSING RESPONSE FROM WORKSHEETS 1-4 | Capacity Dimension Averages |
|---|---|---|---|
| **2. ADAPTIVE CAPACITY** | | | |
| 2.01 Strategic Planning | 2 | 1 | |
| 2.02 Evaluation / Performance Measurement | 2 | 1 | |
| 2.03 Evaluation & Organizational Learning | 2 | 2 | |
| 2.04 Use of Research Data to Support Program Planning & Advocacy | 3 | 2 | |
| 2.05 Program Relevance & Integration | 3 | 2 | |
| 2.06 Program Growth & Replication | 4 | 3 | |
| 2.07 New Program Development | 4 | 3 | 2.64 |
| 2.08 Monitoring of Program Landscape | 3 | 3 | |
| 2.09 Assessment of External Environment & Community Needs | 3 | 2 | |
| 2.10 Influencing of Policy-making | 3 | 3 | |
| 2.11 Partnerships & Alliances | 4 | 3 | |
| 2.12 Community Presence & Standing | 3 | 2 | |
| 2.13 Constituent Involvement | 3 | 3 | |
| 2.14 Organizing | 3 | 2 | |

# INE Organizational Capacity Assessment Summary

| *Select any Capacity Element link below to return to that section in the Assessment* | Capacity Element Rating Levels Executive Director<br><br>NOTE: A ZERO SCORE INDICATES A <u>MISSING</u> RESPONSE FROM WORKSHEETS 1-4 | Capacity Element Rating Levels Board Chair<br><br>NOTE: A ZERO SCORE INDICATES A <u>MISSING</u> RESPONSE FROM WORKSHEETS 1-4 | Capacity Dimension Averages |
|---|---|---|---|
| **3. MANAGEMENT CAPACITY** | | | |
| 3.01 <u>Senior Management Team</u> | 3 | 2 | |
| 3.02 <u>Staff</u> | 3 | 3 | |
| 3.03 <u>Dependence of Management Team & Staff on CEO/ED</u> | 2 | 2 | |
| 3.04 <u>Shared References & Practices</u> | 3 | Do Not Know | |
| 3.05 <u>Goals / Performance Targets</u> | 2 | 1 | |
| 3.06 <u>Funding Model</u> | 2 | 1 | |
| 3.07 <u>Fund Development Planning</u> | 2 | 2 | |
| 3.08 <u>Financial Planning / Budgeting</u> | 3 | 2 | |
| 3.09 <u>Financial Operations Management</u> | 3 | 3 | |
| 3.10 <u>Operational Planning</u> | 2 | 2 | 2.19 |
| 3.11 <u>Organizational Processes</u> | 1 | 1 | |
| 3.12 <u>Decision Making Processes</u> | 2 | 3 | |
| 3.13 <u>Knowledge Management</u> | 3 | 2 | |
| 3.14 <u>Interfunctional Coordination & Communication</u> | 3 | 3 | |
| 3.15 <u>Human Resources Planning</u> | 3 | 2 | |
| 3.16 <u>Recruiting, Development, & Retention of Management</u> | 2 | 2 | |
| 3.17 <u>Recruiting, Development, & Retention of General Staff</u> | 3 | 2 | |
| 3.18 <u>Volunteer Management</u> | 2 | 2 | |

# INE Organizational Capacity Assessment Summary

| *Select any Capacity Element link below to return to that section in the Assessment* | Capacity Element Rating Levels Executive Director<br><br>NOTE: A ZERO SCORE INDICATES A <u>MISSING</u> RESPONSE FROM WORKSHEETS 1-4 | Capacity Element Rating Levels Board Chair<br><br>NOTE: A ZERO SCORE INDICATES A <u>MISSING</u> RESPONSE FROM WORKSHEETS 1-4 | Capacity Dimension Averages |
|---|---|---|---|
| **4. OPERATIONAL CAPACITY** | | | |
| 4.01 <u>Staffing Levels</u> | 3 | 4 | |
| 4.02 <u>Skills, Abilities, & Commitment of Volunteers</u> | 2 | 3 | |
| 4.03 <u>Income Generation</u> | 2 | 1 | |
| 4.04 <u>Board Involvement & Participation in Fundraising (if applicable to funding model)</u> | 2 | 2 | |
| 4.05 <u>Other Revenue Generation</u> | 3 | 2 | |
| 4.06 <u>Communications Strategy</u> | 3 | 1 | |
| 4.07 <u>Communications & Outreach</u> | 3 | 2 | 2.42 |
| 4.08 <u>Telephone & Fax</u> | 2 | 3 | |
| 4.09 <u>Computers, Applications, Network, & Email</u> | 3 | 3 | |
| 4.10 <u>Website</u> | 3 | 3 | |
| 4.11 <u>Databases / Management Reporting Systems</u> | 3 | 3 | |
| 4.12 <u>Buildings & Office Space</u> | 2 | 3 | |
| 4.13 <u>Management of Legal & Liability Matters</u> | 2 | 2 | |

# Organizational Capacity Assessment Summary

### Organizational Development Grant Request Budget Form

**Organization Name:** Wood-Pawcatuck Watershed Association

| EXPENSES | REQUEST TO THE RHODE ISLAND FOUNDATION | PAID BY YOUR ORGANIZATION | PAID BY PARTNER OR OTHER FUNDERS NAME OF PARTNER / FUNDER | DECISION DATE | AMOUNT CONTRIBUTED | TOTAL |
|---|---|---|---|---|---|---|
| Consultant (Lighthouse Consulting Gr | $8,750.00 | | | | | $8,750.00 |
| Staff time to prep & attend workshop | $750.00 | | | | | $750.00 |
| Workshop materials & lunch | $250.00 | | | | | $250.00 |
| | | | | | | $0.00 |
| | | | | | | $0.00 |
| | | | | | | $0.00 |
| | | | | | | $0.00 |
| | | | | | | $0.00 |
| | | | | | | $0.00 |
| | | | | | | $0.00 |
| | | | | | | $0.00 |
| **Budget Form Total** | $9,750.00 | $0.00 | | | $0.00 | $9,750.00 |

October 10, 2012

Ms. Tina Donate
Grants Administrator
The Rhode Island Foundation
One Union Station
Providence, RI 02903

Dear Tina,

On behalf of our Executive Director, Christopher Fox, I want to thank you for your generous grant contribution to our non-profit organization, the Wood-Pawcatuck Watershed Association, for $9,650 (grant #20122428). We extend our gratitude for your continued support of organizations like ours through your grant making activity.

This grant will be used to assist us in our strategic planning efforts, mainly by lessening our financial burden in hiring a consulting service to assist us in creating and implementing the plan itself.

Please find your letter, dated October 1, 2012, enclosed and note it as accepting the grant and its terms and conditions.  We look forward to updating you with our progress over the coming year.

Sincerely,


Heather Hamilton
Administrative Assistant

**Wood-Pawcatuck Watershed Association**
203 Arcadia Road, Hope Valley, RI 02832
401-539-9017  www.wpwa.org

October 18, 2012

Mark Amaral, President
Lighthouse Consulting Group
50 Water Street
Warren, RI 02885

Dear Mark,

We have reviewed your Scope of Work and Not to Exceed Budget (attached) and are pleased with the plan of action you have proposed. Your approach seems well suited to our organizational development needs, and we are impressed by the depth of commitment toward helping us shown in the work plan.

Please consider this letter a commitment on behalf of the WPWA Board of Trustees to accept your organizational development plan Scope of Work and Not to Exceed Budget for WPWA as attached. Chris Fox, WPWA Executive Director, will work with you regarding details of administering the work and receiving payment.

We look forward to working with you. Board member Alan Desbonnet, and Chris Fox, are the primary points of contact for these organization-building activities, but feel free to contact me as needed.

Sincerely,

Malcolm Grant
President
WPWA Board of Trustees

*To Protect and Preserve the Lands & Waters of the Wood Pawcatuck Watershed*

PROPOSED SCOPE OF WORK

## Lighthouse Consulting Group, Inc.

**Dates:** Fall 2012

**Background:** The Wood Pawcatuck Watershed Association (WPWA) was established in 1983 in response to a groundswell of interest generated by a National Park Service study conducted that year, which identified the Wood and Pawcatuck Rivers as "...unique and irreplaceable resources." WPWA plays an ongoing role in public policy formulation and debate within the watershed. As watershed council for the Pawcatuck, WPWA has legal standing to advocate on behalf of the Wood-Pawcatuck Watershed. When necessary to serve the best interest of the watershed resource and the general public, WPWA takes positions on matters of land use, surface and groundwater use, water quality, threats to habitat, growth issues, and river corridor concerns. WPWA works in partnership with local, state, and federal agencies, to encourage the watershed approach to environmental management, and works on the local level with regard to specific aspects of watershed protection.

To assist the WPWA maximize its impact and effectiveness, it is seeking the opportunity to create and operationalize a three to five year strategic plan. This plan is intended to provide an operational roadmap that is nested within longer and broader term thinking. The plan should provide general agreement (but not necessarily consensus) on the WPWA's key goals, strategies for achieving those goals and then the major activities for advancing those strategies.

As part of this process, WPWA needs to also understand what changes need to be made to their organizational processes, structure, and planning systems so that they can effectively follow the described strategic direction. This is critical because it is these structural changes that allow for strategic change. Without them the plan that is borne from this process lacks the necessary support system and, therefore, the chance of it being successfully implemented is seriously degraded.

**Objective:** Contract Mark Amaral of Lighthouse Consulting to lead WPWA through a process to identify, agree upon, and prioritize strategic directions for the organization, and then defining the organizational/institutional changes that need to take place to allow/ensure that change can occur. This intervention assumes that the information and answers necessary for strategic change are within the people of WPWA and that this process will draw those out and organize them in a document for implementation.

**Tasks:**

- Initial phone call with Alan/Chris to confirm the process' agenda and objectives as outlined here. We will also define a decision-making process to use at those times during strategic and organizational planning when conflicting ideas and/or proposals create a bottleneck to progress. During this initial phase we will develop an outline of the strategic plan detailed below and the workshop agenda. An early February 2013 workshop date is anticipated.

- Up to five interviews with selected key informants and opinion leaders from the WPWA. Alan/Chris will select who will be interviewed. Interviews will be less than 60 minutes, by phone, and be used to gather information about the current and intended state of the organization as well as fine-tuning the workshop agenda. Scheduling will be done by Alan/Chris. Not more than 1 additional call may be added by mutual agreement.

- Maintain a rolling draft of a 3-5 year strategic change plan as well as session plan for the workshop that captures the evolving objectives, agenda and deliverables. This plan will not only focus on "what are our goals' but also dive deep into the "how" WPWA is going to get there. For example, the process and plan may consider the following:

    o Perception of current and future organizational goals; are they reasonable.

    o What is being achieved, what isn't? Why are there discrepancies with your goals? Honestly, can you really do this with your limited resources?

    o What strategic, operational, cultural and institutional changes are necessary; what is critical to keep and what must go?

    o Are these strategic, operational, cultural and institutional changes hard to make; why haven't they been made already?

    o Where are the strategic, operational, cultural and institutional barriers to change? How do they get removed?

- Encourage immediate change. A rolling plan evolves as the interviews happen and provides immediate feedback to the organization about what isn't working and what needs to change. This allows for a real-time conversation about what organizational change is necessary and an opportunity for the staff and leadership to begin affecting change before the end of this intervention.

- Up to two additional meetings with Alan/Chris to discuss the rolling draft of the plan and finalize the event's objectives, agenda and deliverables.

- Facilitate a one-day workshop for the WPWA's board and staff (approx. 15 people) following the established meeting agenda. Generally, the workshop will flesh out the items that have been captured in the rolling draft of the strategic plan. The workshop will be designed to work through this draft, identify areas of agreement and disagreement and make choices about WPWA's future direction and the organizational change necessary to get there.

- Prepare and deliver a final draft of the strategic plan for WPWA that incorporates the outcomes of the workshop within a 3 week period post workshop.

- Provide an immediate debrief with the project managers to review the draft plan and allow for one set of changes to be made.

- Provide a three-month debrief and check-in with Alan/Chris.

**Deliverables:**  The deliverables for this contract are:
- Facilitation of the event.
- Detailed session plan developed with Alan/Chris for how the event will be run.
- A draft strategic plan that looks out three to five years providing written directions for the organization and defines the organizational /institutional changes that need to take place to allow/ensure that change can occur.  It will follow the outline and questions developed with Alan/Chris during first part of the process.  This report will be based on the interviews and workshop outcome. It will be brief and to the point.
- Recommendations for immediate change as directed by the rolling draft of the strategic plan.

## BUDGET

**Professional Fees:**  Not to exceed $8,500

**Other Fees and Expenses:**  Other direct expenses as required to fulfill the tasks above included but not limited to workshop supplies, travel (charged at current Federal rates), and printing/copying. The total cost of these expenses will not exceed $250

**Total:**  $ 8,750 (not to exceed); payable within 30 days upon invoice.