

Dhwani Foundation's Assessment Tool for a Defining Credible NGO

Programme planning:

1. Weekly & Monthly Plan system exists
2. Quarterly report system exists and is documented
3. Every project/programme has a designated head/leader/co-ordinator
4. Annual plans of all aspects of the organisation are written down
5. Annual plans are approved by the Board and recorded
6. Measurable indicators are set in the annual plans
7. Printed annual plan copy is available for both management and staff
8. Quarterly progress report produced, and updates are provided in the board meeting. Board meeting notes capture the same
9. Organisation has written 3 to 5 Yrs. strategic document

Programme Supervision:

1. Written structure exists on supervision
2. Minimum programme standards are set and it is published
3. Weekly and Monthly plans of all staff are written and documented
4. Agreed and approved monthly reporting format exists
5. Co-ordinators are specifically trained on supervision
6. Once in six months programme review and all reviews are recorded and are available
7. Periodical formal beneficiary feedback system exists and it is applied on agreed time frame

Compliances

1. Registered under Trust/Society/Company Act
2. A Registration certificate
3. An MOA
4. An 80 G certificate
5. 80 G certificate renewed until 2010 August
6. A 12 A certificate
7. A FCRA certificate
8. FCRA certificate renewed
9. Registered under Darpan
10. Registered under concerned departments to run our programmes (Specific to Domain)
11. Registered on all accreditation bodies that scrutinise funding applications (Ex TISS, CAI, CAF, NSDC)
12. Filed all IT returns without any lapses in the last 3 years
13. Board officially appoints auditors annually in AGM
14. Timely audited reports are ensured and we had no or minimal auditors queries
15. All employees salaries/Honorary/Consultancy payments are recovered under all relevant taxes, such as Professional tax, TDS, Income Tax etc. these are submitted to concerned authorities
16. All organisation assets/properties do have required licences, renewals and meets statutory body requirements
17. All our assets are covered under insurance
18. Safety and security rules are written and published in the organisation
19. Risk management system in place that works effectively
20. Registered under GST (If applicable)

Database for Monitoring and Evaluation:

1. We have a database management system in place (MIS)
2. We have electronic method/software for database management
3. Reports are generated automatically through MIS system
4. Our database is secured
5. Electronic forms of data generated for monitoring & evaluation
6. At a leadership level it is very easy to access data in various forms
7. Our data can be viewed by a donor electronically
8. Our MIS system tracks donors contribution
9. Organisation has a formal volunteer database system
10. The organisation has a volunteer onboarding process
11. Volunteers are communicated monthly through a newsletter about the ongoing activities of the organisation
12. Volunteers are engaged based on their skills and expertise

Marketing and fundraising

1. Have a brand-building/Marketing strategy in place
2. Have a fundraising strategy in place
3. Have a dedicated person or team for marketing and fundraising
4. If there is a fundraising person, he/she is adequately trained
5. Have annual fundraising targets and it is part of approved annual plans
6. Have all social media in place such as Website, Facebook, Twitter etc
7. Minimum 20% of the leadership and board members time is spent in networking and marketing
8. Have various options for donors to engage
9. Have adequate publications such as printed annual reports, Brochures, Flyers, Fundraising schemes
10. Over the last three years, our fundraising is increasing the minimum of 15% annually
11. Have more than 3 multiple donors
12. Minimum 20% of funds come from individual donations
13. Minimum 20% of funds come from services and products
14. Minimum 6 new institutional donors we meet annually
15. Minimum 10 proposals we submit annually
16. Our success rate against proposals is 20%
17. Our donors' longevity is more than 3 years
18. We are on various fundraising platforms such as Global Giving, Give India, CAF etc

Systems and Process

1. Have an organisation operation manual covering all aspects of running our organisation
2. Have an administration manual
3. Have a financial management manual
4. Have a written procurement policy
5. Have a published organisational organogram
6. Have published and printed annual plans and budgets
7. Have published and printed annual reports that are in public domain

Donor Management

1. We maintain a donor database system.
2. Donor database system is updated regularly
3. Donors are quarterly communicated about their programs
4. Donors are sent annual reports with a detailed fund utilisation certificate
5. Large donors are met personally at least once a year
6. Outcomes and impact are shared with the donor periodically

Dhwani Foundation's 161 Compliance Indicators

Governance

1. We have a nominated board
2. We have full board members on roll
3. All our board members are Independent (Not related)
4. Board members do not hold any executive role
5. The board is composed of members who represent varied background and skills
6. Our board defines 3 to 5 years strategic plans for the organisation
7. We have an organisational structure with clearly defined lines of authority and responsibility
8. The board meets minimum 4 times a year
9. All board meetings will have minimum 80% attendance
10. Majority of my board members actively contribute their time and talent
11. All board meeting minutes are always circulated within 48 hours of the meeting
12. The Executive has full authority to function independently
13. The Executive is independent from the board
14. We have board members term time policy
15. We did revised/re written our trust/societies Bi – laws in the past
16. We have inducted one or two new board members in the past 3 years

Human Resource (HR)

1. We have written HR Policy
2. We have a designated person to manage HR
3. Selection criteria for staff are in place
4. The recruitment process is clearly defined
5. Job descriptions are clearly defined and provided to all the staff
6. We have an attrition management report and system in place
7. We have a formal exit interview system
8. We fill vacant positions within 45 days
9. We have an employee perception survey system in place
10. We have an appraisal process in place
11. Every employee undergoes an annual appraisal system and it is recorded
12. Minimum 10% of my organisation employees get promotion annually
13. We have a written policy on women work safety (Vishaka) which is approved by the board
14. We have formulated a Vishaka committee and it meets the norms
15. We have formulated a child protection policy approved by the board
16. We have written pay scales
17. Our pay scales are revised every 3rd year
18. We follow the minimum wage policy of Govt
19. Our staffs are covered under ESI / Medical benefit
20. Our staffs are covered under PF/PPF
21. Our staffs are covered under gratuity
22. We have ombudsmen policy and person designated
23. We are on HR portals such as Dev net etc.
24. Every employee of us undergoes a minimum of 5 days of training to build/update their knowledge and skills

Leadership and Vision

1. Organisation leader works full time
2. Most of the leaders time is spent on the future growth of the organisation
3. Leader focus is on scaling up the work
4. The core team is spending more time experimenting and thinking about what next
5. We have articulated vision and mission statement
6. The vision statement is aligned with the board and other players important to the organisation
7. The organisation has defined values
8. The value system is defined and communicated.

FINANCE: Planning and Budgeting

1. Budgets are prepared in good time for all the costs of running the organisation
2. Both finance and programme staff are involved in setting the budgets
3. Project budgets are based on the costs of planned activities
4. Budget worksheets include explanatory notes and clear calculations
5. A separate budget is prepared for core costs (overheads)
6. Organisational budgets are approved by the board of Trustees
7. A named individual (budget holder) is responsible for implementing and managing each budget.
8. Budget codes match (or corresponds to) accounting codes.
9. All operational costs are adequately funded
10. A cash flow forecast is prepared every month

Basic Accounting

1. Every payment made has a supporting document providing evidence
2. All cash or cheques received are recorded on pre-numbered carbon copy receipts
3. All payments and receipts are recorded in cashbooks (date, description, and amount)
4. There is a separate cashbook for each bank and cash account
5. Every entry in the cashbooks is cross-referenced to a supporting document
6. All cashbooks are updated at least once per month
7. All cashbooks are written neatly in permanent ink or on a computer
8. A standard chart of accounts is used to code (or classify) each transaction in the cashbooks
9. Transactions are also classified by project or donor using a standard list of cost centres.
10. A bank reconciliation is done each month, for every bank account
11. A cash count reconciliation is witnessed and recorded each month
12. Have a separate bank account for FCRA (if registered)

Financial Reporting

1. The board reviews financial reports every quarter
2. Senior managers discuss financial reports at least once every three months
3. Reports include details of cash and bank balances, amounts due and owed (e.g. to suppliers)
4. Budget holders receive budget monitoring reports every month.
5. Budget monitoring reports include explanations and comments about differences
6. Financial reports are used to help make decisions
7. Financial information is shared with beneficiaries at least per year, in an accessible way
8. Annual audits are up to date (signed within six months of the yr.)
9. The annual financial report is prepared by a registered firm of auditors
10. Report includes a balance sheet
11. Report is reviewed by the fiscal committee of the board
12. Annual reports include all details of financial matters and donors