NPO Management Assessment Sheet (Version 6)

Respondent Information Sheet

Assessment Sheet (1) Organizational Management Skills
Assessment Sheet (2) Human Resources
Assessment Sheet (3) Financial Management
Assessment Sheet (4) Operational Overview
Assessment Sheet (5) Operational Effectiveness

Questions below pertain to the person filling out this questionnaire.

1 Name: (   )

2 Job Position or Role: (   )

3 Status [*Please select all that apply.*]

□Director □Board Member □Full-time Staff □Part-time Staff

□Volunteer □Other (Please describe vour role:)

4 Age   □20s   □30s   □40s   □50s   □60s or above

5 Number of years at work or as a volunteer: (   )

6 Have you held another position or role at the organization in the past? If yes, please describe: (   )

*Please describe the following as much as you can.

1 When did you start working for (or volunteering at) the organization?

2 What initially brought you to this organization?

3 What kinds of activities have you been involved with at this organization thus far?

4 Please list the challenges that you think your organization faces and should be tackling right now, if any. [*Please include the three most pressing challenges or fewer.]

Let us take a look at how the mission is shared within your organization, how the PCDA cycle is working towards achieving the mission, and how leadership and governance (=organizational management and operation) are functioning to allow for the organization to operate with full effectiveness. [*PCDA stands for plan, do, check, and action, and represents the cyclical and continuous improvement of operations.]

As you assess your organization, please consider the following points carefully and check the answer that best fits your organization.
- For each question, please choose one answer that best fits between "Strongly Agree" and "Strongly Disagree." If you cannot answer or cannot judge the content of the question, please choose "Cannot Answer."
- There are 53 questions based on 7 different perspectives on organizational management. Please provide your answer for every question.
- As you assess your organization, please take as objective a look at the current state of the organization as possible.
- If any of the questions are unclear or if you have any comments in regards to your answers, please write in the space provided after each section.

A Mission	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1 There is a documented mission statement. (*A mission statement describes what the organization does toward what goals.)					
*Please write the mission statement if it exists.					
2 The mission is understood and shared among the leadership (*1) and staff (*2).					
3 Leaders and staff can explain the mission in their own words.					
*1: Leadership includes decision-makers who are in charge of the organization, such as board members and directors. *2: Staff includes both full-time and part-time employees who work for the organization. **Some may fulfill both roles as leader and staff.					
■ Please add comments to the above questions and answers, if any.					

B Understanding social problems and needs, and taking an objective look at the organization	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1 The mission takes into account the background of the social problem, its origins, and changes in the social environment that surrounds it.					
2 President/director, leaders, and staff members can explain the strengths and weaknesses of the organization.					
3 Third-party opinions have been sought to identify challenges and to plan for effective solutions (e.g. conducting research studies, seeking expert advice, etc.)					
4 The organization understands what is happening in the local area or in its sector of activity through local networks and through the network of funders and supporters.					
5 The organization works on advocacy. (Advocacy refers to appealing to society with the goal of actualizing a specific public					
6 The organization always understands the beneficiaries' needs, and its programs reflect their needs.					
■ Please add comments to the above questions and answers, if any.					

C Planning, assessment, and decision making	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1 Medium-term goals and plans foreseeing the next three years have been set in order to realize the mission.					
2 Medium-term plans are set from the perspective of bringing concrete change (or social outcomes) to society.					

3	The organization has specific indicators to measure the achievement of medium-term goals.					3	
	Please describe the indicators, if they exist.						

		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
4	Annual plans are created for each fiscal year.					
5	Not only leaders but also staff members are involved in the creation and evaluation of medium-term plans.					
6	Not only leaders but also staff members are involved in the creation and evaluation of single-year annual plans.					
7	Specific time frames have been established to evaluate the achievement of medium-term goals.					
8	Evaluation results are used to improve the organization and its programs.					

■ Please add comments to the above questions and answers, if any.

D	Leadership	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	President/Director and other leaders always make an effort to convey to the staff the direction in which the organization should be headed.					
2	The board has made responsible decisions to achieve the mission and the vision. (*Vision* refers to what the organization aims to be in the medium and long term.)					
3	President/Director and other leaders create cohesiveness among the staff and motivate them in order to achieve the mission.					
4	President/Director and other leaders can convince not only the board members and the staff but also funders and local community leaders to take action.					
5	The organization avoids depending too heavily on one particular leader, but has delegated authority and trained core leaders who can serve as successors.					

■ Please add comments to the above questions and answers, if any.

E	Governance	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Board meetings are held regularly where operational and financial matters are reviewed.					
2	Board members are actively discussing the mission and the vision.					
3	Board meetings are documented.					
4	There are rules concerning decision making, and these rules are always followed.					
5	The organization understands the laws concerning organizational operation, activities, and programs, and a system is set up for complying with them.					
6	Information is conveyed and shared among the leadership and the staff.					
7	Roles and responsibilities of the leaders and staff are clearly defined.					
8	The organization pays attention to social movements and trends, and flexibly responds to changing needs and the environment.					

■ Please add comments to the above questions and answers, if any.

F	Public relations (PR), collaborative action, and information disclosure (accountability)	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
	◆Questions about PR					
1	The organization has a PR specialist on staff (including staff members in dual appointment who also serve in another capacity), or can consult an external specialist for advice as needed.					
2	The organization has developed materials that help with PR (e.g. pamphlets, reports, etc.).					

3	Website (or blog, Twitter account, Facebook page, etc.) is updated regularly and actively utilized.						3	
4	The organization is connected with people in the media and understands the outlets for PR that are considered effective.						4	

#	Question	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
5	The organization is doing enough to communicate to the larger society the significance of the social issues and activities that it is engaged in.					
6	The organization is making an effort to gain understanding and support from society through holding informational meetings and other events for affiliated parties and the general public.					
7	The organization actively utilizes the suggestions and complaints of members, funders, and beneficiaries to improve its					
8	The organization actively communicates with its supporters, such as members and funders.					

	◆Questions about collaborative action	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
	In implementing its programs, the organization has or engages in the following, whenever necessary:					
9	Cooperative and collaborative connections with government, public agencies, corporations, and other sectors					
10	Cooperative and collaborative connections with regional organizations (such as neighborhood councils) and civic and intermediary support organizations (such as other NPOs)					
11	Collaborative advocacy with civic and intermediary support organizations (such as other NPOs)					
12	Transfer of approaches and know-how for the sake of widely spreading the organization's activities					
13	Policies and standards in collaborating with other organizations					
	◆Questions about information disclosure (accountability)					
14	The organization clearly discloses information mandated by law (e.g. bylaws, organizational charts, etc.)					
15	The organization discloses its accounting report.					

■ Please add comments to the above questions and answers, if any.

	G Other (organizational culture, risk management, etc.)	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	There is an organizational culture and a platform to discuss matters freely.					
2	Decision-making process is clear and open to the staff.					
3	Opinions from staff members are actively utilized.					
4	Staff members are actively given authority.					
5	The organization understands what the potential serious risks in its operation are.					
6	The organization has established a response for these risks in advance.					
7	The organization takes preventative measures against loss of data and information leaks.					
8	The organization has established a privacy protection policy, and developed a system to protect personal information.					

■ Please add comments to the above questions and answers, if any.

Part II. Understanding the current condition of the organization's human resources

Are the staffing structure and positioning conducive to achieving the mission? Does the organization support staff growth and create an environment where staff can perform to the best of their ability? Let us take a look.

As you assess your organization, please consider the following points carefully and check the answer that best fits your organization.

- For each question, please choose one answer that best fits between "Strongly Agree" and "Strongly Disagree." If you cannot answer or cannot judge the content of the question, please choose "Cannot Answer."
- There are 37 questions based on 5 different perspectives on human resources. Please provide your answer for every question.
- As you assess your organization, please take as objective a look at the current state of the organization as possible.
- If any of the questions are unclear or if you have any comments in regards to your answers, please write in the space provided after each section.

	A Qualities and skills expected of the staff	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
	Do you think the staff members currently have the following skills and qualities?					

1	Empathy with the mission						
2	Conceptualizing and planning skills in order to materialize the mission						
3	Expertise necessary to develop programs and activities						

		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
4	Ability to identify and present social problems from individual everyday matters and from the field					
5	Organizational operation and management ability					
6	Advocacy					
7	Ability to collaborate with other organizations and agencies					
8	Communication skills					
9	Ability to observe changes in the social environment					
B	**Staff management**	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Staff members' job descriptions are accurately documented and conveyed.					
2	There are opportunities for staff members to set individual goals according to their career development plans.					
3	There are opportunities for evaluating staff members in terms of their rate of goal achievement and their abilities.					
4	Staff members are evaluated according to clear standards and are provided with feedback.					
5	Leaders always have open attitude towards listening to what the staff members have to say. (*Leaders: Those who are in charge and engage in decision making such as board members, president, director, etc.)					
6	Enough staff members are positioned effectively in order to improve operations.					
7	Staff members are positioned where they can make the most of their expertise and characteristics.					
8	Staff members are provided with tools and manuals necessary for their work, and are given guidance.					
C	**Securing staff**	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Staff turnover rate is low.					
2	The organization has set up work environments that are conducive to individual situations of the staff (e.g. working from home, reduced hours, etc.).					
3	The organization has employment rules that match various forms of employment.					
4	Employment contracts have been signed with paid staff.					
5	In employing paid staff, the Labor Standards Act, Equal Employment Opportunity Law, and other laws have been observed.					
6	The organization has established a standard for employee remuneration.					
7	Remuneration amount is at the sufficient level for an employee to continue working.					
D	**Staff training, development, and maintaining motivation**	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	President/Director and other leaders communicate their expectations to the staff, including what the staff member should aim for in her/his role and job performance.					
2	The following beliefs have taken root in the organization: "We develop and train people," "People do grow and develop," and "When something is unclear we should show/teach others and be shown/taught by others."					
3	President/Director and other leaders provide support and give advice to the staff to create a comfortable work environment.					
4	The organization provides opportunities for staff to receive training to build up skills and to raise motivation.					
5	Staff members are allowed the opportunity (and the right) to receive coaching, training, or other measures to improve their abilities and skills.					
E	**Volunteer participation**	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Volunteers are actively received.					
2	There is an opportunity to explain and share the organization's mission and activities with the volunteers.					
3	A system is set up to support the volunteers (e.g. having regular discussions with each volunteer about his/her goals and task content and to provide assessment and feedback, etc.).					
4	The organization has volunteer insurance coverage.					

| 5 | The organization has thought of ways to raise the motivation of the volunteers. | | | | | |

F	Employee benefits, etc.	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Procedures and usage of social insurance (health insurance and welfare pension) and labor insurance (workers compensation insurance and unemployment insurance) are appropriate.					
2	Individual staff members can take appropriate paid vacation, compensatory holidays, parental leave, or other holidays off that best match their work or personal situations.					
3	A system is set up to make sure the staff members can lead a healthy work life, such as regular health check-ups and giving considerations for workplace stress.					

Part III. Understanding the current state of the organization's financial management and infrastructure

Financial health of an organization is indispensable for its stability. Deterioration of financial conditions may begin with something trivial that develops into a critical operational problem when it has not been dealt with. Therefore, let us take a look at your organization's current financial conditions, starting at the level of everyday operations.

As you assess your organization, please consider the following points carefully and check the answer that best fits your organization.
- For each question, please choose one answer that best fits between "Strongly Agree" and "Strongly Disagree." If you cannot answer or cannot judge the content of the question, please choose "Cannot Answer."
- There are 33 questions based on 5 different perspectives on financial management and organizational infrastructure. Please provide your answer for every question.
- As you assess your organization, please take as objective a look at the current state of the organization as possible.

A	General financial management	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Operational resources, such as personnel and funds, have been effectively assigned in order for the organization to produce results.					
2	Of the total operational expenses, more than 80% is spent on nonprofit activity programs.					
3	Finances are managed according to a budget approved by the general assembly or the board meeting.					
4	The organization has an accounting specialist on staff (including staff members in dual appointment who also serve in another capacity), or can consult an external specialist for advice as needed.					
5	The organization undergoes an external audit.					
6	The organization has a grasp of the income and expenditure separated into operational and management departments.					
7	The organization has calculated and understands the monetary value of volunteer labor and donated non-monetary items.					

B	Funding	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	The organization has diversified funding sources.					
2	The organization has created fundraising plans.					
3	The organization has a fundraising specialist(s) on staff (including staff members in dual appointment who also serve in another capacity), or has fundraising collaborators.					
4	The organization is making an effort to secure funds in support (such as donations, membership fees, investments, etc.) from those who are sympathetic to the organization.					
5	The organization has created and managed a list of members and funders.					
6	Throughout the past three years, funds in support of the organization have increased.					

C	Financing	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	The organization has compiled a funds timetable and engages in fund management.					
2	The organization is not experiencing difficulty in financing.					
3	The organization has an understanding of the income and expenditure amounts every month.					
4	The organization has an understanding of the timeframe between the accrual of accounts receivable and their collection.					
5	The organization has discussed responses in case of a funding shortage prior to its occurrence.					

D	Stability	Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Throughout the last three years, capital (net asset) has not decreased.					

			Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
2	The organization has enough funds to respond to short-term payments (within one to three months).						
3	The organization has no trade accounts receivable or accounts receivable that have remained uncollected long-term.						
4	If the organization has any debt, it has a concrete payment plan.						
5	The organization is making an effort to decrease unnecessary expenditures.						
6	When the organization can no longer receive funds from a previous source, it has responded appropriately by changing fundraising methods and reassigning staff.						
E	Profitability		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Throughout the past three years, income has increased.						
2	Throughout the past three years, income and expenditure balance has been improving.						
3	The organization has secured necessary funding to cover operational fixed costs (such as rent, human resources, and other costs that accrue regardless of the increase or decrease of income).						
4	The organization has an understanding of the income expenditure balance by program, if it is undertaking multiple programs.						
5	The organization understands the reasons for its loss-making operations, if any.						
6	The organization has plans to improve profitability.						
F	Infrastructure		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	The organization has enough resources for operation, such as facilities, systems, software, etc.						
2	The organization has (IT) staff who can effectively operate its resources such as facilities, systems, software, etc.						
3	The organization can deal appropriately with legal matters, or can consult an external specialist for advice as needed.						

Part IV. Understanding the current state of operational overview

Is the current operational structure optimal for achieving the mission of the organization? Is each program producing results? Let us take a look.

* Please choose four operations or programs that make up at least 70% of the total income.

* If your organization has fewer than three programs, please leave the extra boxes blank.

As you assess your organization, please consider the following points carefully and check the answer that best fits your organization.

- For each question, please choose one answer that best fits between "Strongly Agree" and "Strongly Disagree." If you cannot answer or cannot judge the content of the question, please choose "Cannot Answer."

- There are 7 questions based on 3 different perspectives on operational overview. Please provide your answer for every question.

- As you assess your organization, please take as objective a look at the current state of the organization as possible.

- If any of the questions are unclear or if you have any comments in regard to your answers, please write in the space provided after each section.

■ Major Operations
Please describe each program.

Program #1	
Program #2	
Program #3	
Program #4	

A	Program Strengths and Weaknesses
Please list the strengths and weaknesses of each program.	
[Program #1] Strengths:	
Weaknesses:	
[Program #2] Strengths:	
Weaknesses:	

[Program #3] Strengths:	
Weaknesses:	

[Program #4] Strengths:						
Weaknesses:						

B	Program outcomes and achievement indicators		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	For each program, specific outcome goals and indicators have been created. (*Outcome indicators include positive changes in society, improvements in social conditions, changes in the target group, etc.)	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
2	Are there any programs that need improvements?		Yes	No	Don't Know		
	If yes, what are they?						
3	Are there any programs that you think are necessary in the future but have not been undertaken yet?		Yes	No	Don't Know		
	If yes, what are they?						

C	Understanding program outcomes and their future		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	For each program, outcome goals have been achieved.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
2	Is there a clear vision for the development of each program three years into the future?		Yes	No	Don't Know		
		Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
	■ Please add comments to the above questions and answers, if any.						

Part V. Understanding the current state of operational effectiveness

Let us take a look at program development, planning, and marketing for each of your programs.

*Please provide your answers for the same four programs that you listed in Part IV.

*When you are asked about your "target group," please think about how this statement applies to your current and potential clients, beneficiaries, and/or program participants.

As you assess your organization, please consider the following points carefully and check the answer that best fits your organization.

- For each question, please choose one answer that best fits between "Strongly Agree" and "Strongly Disagree." If you cannot answer or cannot judge the content of the question, please choose "Cannot Answer."

- There are 23 questions based on 3 different perspectives on program effectiveness. Please provide your answer for every question.

- As you assess your organization, please take as objective a look at the current state of the organization as possible.

- If any of the questions are unclear or if you have any comments in regards to your answers, please write in the space provided after each section.

■Major Operations
    Describe the programs below. (*Please fill in the names and descriptions of the same programs as you did in Part IV.)

Program #1
Program #2

Program #3
Program #4

*For the questions below, when you are asked about your "target group," please think about how this statement applies to your current and potential clients, beneficiaries, and/or program parti

A	Program development and planning		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Each program has specific quantitative goals.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
2	Each program has indicators for reaching the goals.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
3	For each program, there is a concrete plan to reach the goals.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
4	For each program, achievement is measured regularly.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
5	In terms of the social problems related to each program, changes in the social environment and policy trends have been researched and understood.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
6	The organization has a specific means to understand the needs of target groups for each program (e.g. survey research, etc.).	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
7	The organization is aware of its competitors, understands how different it is from them, and is making an effort to achieve advantage.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
8	For each program, specific details of the target group have been clarified (e.g. age, gender, place of residence, family structure, hobbies, creed, use of time, etc.).	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
9	For each program, staff are assigned according to the program plans.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
10	In program plans, it is feasible to raise program development funds and other funds necessary. (For example, even if the program was launched as a result of a single-year grant, additional funds have been raised to continue the program.)	Prog.1					
		Prog.2					
		Prog.3					

			Prog.4					

			Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
11	The organization understands the cost efficiency of programs based on realistically estimated calculations.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
12	In order to increase program outcomes and effects, the organization obtains resources by utilizing collaborations and networks with other organizations. (*Resources include expertise, human resources, spaces, etc.)	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
13	The organization is engaged in activities to raise funds and to obtain resources that are necessary to continue to develop its operations.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
B	**Marketing**		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Services (or merchandise or programs) provided are appropriate and meet the needs of the target group.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
2	Services (or merchandise or programs) provided are of sufficient quality and function.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
3	In order to respond to changes in the needs of the target group and to solve newly arising problems in the region, consistent efforts are made to improve and to develop services (or merchandise or programs).	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
4	Services (or merchandise or programs) provided are priced at a level that would allow for enough income to be secured for the operation to continue. (*Pricing includes amounts received from service recipients as compensation, and also in cases where services are provided through commissioning and grants.)	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
5	The content of services (or merchandise or programs) provided and the method of delivery are easy to use for the target group.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
6	Services (or merchandise or programs) provided are publicized appropriately according to the characteristics of the target group. (*Publicity here includes all PR venues such as free and paid advertisements, hosting seminars and parties, direct mailing, undertaking campaigns, and putting out news releases.)	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
7	List of the members of the target group has been created and is used for client management. (The list not only includes names and contact information but also keeps track of when and how the information has been used, and can be used for more effective methods of approaching the client base.)	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					

C	Evaluation and improvement		Strongly Agree	Agree	Disagree	Strongly Disagree	Cannot Answer
1	Income and expenditure goals have been proposed based on evaluation, and performance is regularly checked.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
2	Reasons for the disparity between plans and outcomes have been analyzed and reflected in the following planning process.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					
3	Regular reviews have been set up to see if the services (or merchandise or programs) provided meet the needs of the target group, and to reflect the review results on the following planning processes.	Prog.1					
		Prog.2					
		Prog.3					
		Prog.4					