

**NATIONAL COMMUNITY DEVELOPMENT INSTITUTE  
PROGRAM DEVELOPMENT & ALIGNMENT STRATEGY  
JANUARY, 2007**

The term “alignment” refers to doing business in a holistic way by linking our programs to build synergy and move forward collectively toward achieving our vision that...

*Individuals, organizations and communities of color and other marginalized groups have the capacity to fulfill their goals and work together towards building a just society.*

*By 2010, NCDI will be widely recognized as the leading technical support and training center in the country for assisting communities of color to build capacity for social change.*

To align our program work, NCDI needs to do the following things on a regular and consistent basis:

*Defining New Project Selection Criteria*

1. We need to define criteria for taking on new projects/initiatives to ensure that our future work propels us toward achieving our vision. In other words, criteria need to be established that will objectify our decision-making about which projects/initiatives to do and how they can benefit NCDI.

*Aligning Current Projects*

2. We need to determine how current projects can contribute to building our own capability and position us to serve as the leading capacity-building organization for communities of color in the USA.

*Developing BCSC Products/Tools*

3. We need to identify the BCSC tools/products that have been developed/field tested and can be marketed in the field.

*Standardizing Our Approach*

4. We need to develop standard products/tools/methods for doing culturally-based capacity building work in communities of color.

**DEFINING NEW PROJECT SELECTION CRITERIA**

Five criteria will be used to determine whether NCDI should take on a major project and define the potential benefits to our organization. These criteria are: Mission/Purpose, Learning, Marketing/Positioning, Funding and Social Responsibility.

<b>PROJECT SELECTION CRITERIA</b>		
<b>Criteria</b>	<b>Type of Project</b>	<b>Example*</b>
<i>Mission/Purpose</i> <ul style="list-style-type: none"> <li>• Provides opportunity to test and document our capacity building model (BCSC)</li> </ul>	Major community building project	Skillman Foundation GNI Kellogg Foundation ConnectUp!
<i>Learning</i> <ul style="list-style-type: none"> <li>• Will advance our learning about capacity building in communities of color</li> </ul>	Project which allows us to learn more about key components of the BCSC model	Haas Jr. Fund Resident Engagement Project
<i>Marketing/Positioning</i> <ul style="list-style-type: none"> <li>• Will build our reputation and position us to attract new resources</li> </ul>	Project with strong brokering/ leveraging potential	Dellums Transition Team
<i>Funding:</i> <ul style="list-style-type: none"> <li>• Meets project costs and has a projected budget surplus</li> </ul>	Technical assistance or training contract	TCE Advocacy Project
<i>Social Responsibility</i> <ul style="list-style-type: none"> <li>• Provides opportunity to remain connected to the ground and fulfill our social responsibility</li> </ul>	Technical support and training services provided at reduced or pro-bono rates	Environmental Justice Coalition for Water

## ALIGNING CURRENT PROJECTS

The following alignment strategy is proposed for existing projects/initiatives to develop our internal capability and better position us in the field:

<b>PROJECT ALIGNMENT STRATEGY</b>			
<b>OD Priorities</b>	<b>Key Tasks</b>	<b>Rationale</b>	<b>Project Alignment</b>
<b>Mission/Purpose</b>			
BCSC Framework	Field-test and document the BCSC framework	<p>Must define our method and develop tools in each of the six transformation areas that we can take to the ground:</p> <ul style="list-style-type: none"> <li>• Community Engagement</li> <li>• Community Organizations</li> <li>• Community Relationships</li> <li>• Community Development</li> <li>• Community Advocacy</li> <li>• Community-Based Research and Evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Skillman GNI, Dellums, and Haas</li> <li>• Kellogg TP Kellogg ConnectUp!, &amp; Packard</li> <li>• One East Palo Alto</li> <li>• Strategies and Annie E. Casey RBA</li> <li>• TCE Health Advocacy</li> <li>• Kellogg ConnectUp! and Skillman</li> </ul>
<b>Learning</b>			
Product Development	Develop and field test BCSC workbook and other products/tools	Must have a BCSC curriculum to conduct a national training program	Marguerite Casey Fdn. Kellogg ConnectUp!
Trainings	<p>Implement the four-stage training pathway strategy:</p> <ul style="list-style-type: none"> <li>• Bay Area PDC</li> <li>• CBLI trainings</li> <li>• Consultant Group</li> <li>• Fellows Program</li> </ul>	Must popularize our model and train a target group of local/national consultants/ community-builders who can provide culturally-based capacity building services using the BCSC framework	San Francisco Fdn. Marguerite Casey Fdn.
Advocacy	Develop/implement capacity-building advocacy campaign	Must be known as the leading voice/advocate for capacity-building for social change	TCE Health Advocacy Project and AAHI
<b>Marketing/Positioning</b>			
Publications	Publish documents on CBCB/BCSC	Must inform the field about CBCB/BCSC	TCE/Bau Project, Dellums, Skillman GNI and Kellogg ConnectUp!
Convenings	Conduct regional/ national meetings on BCSC	Must be known as the place with the convening power to connect and network others	Ford, Kellogg TP

**BCSC PRODUCTS/TOOLS**

The following products/tools have been developed for field use in implementing the BCSC framework:

<b>FIELD-TESTED BCSC PRODUCTS/TOOLS</b>	
<b>Transformation Area</b>	<b>Successfully Field-Tested Methods with Tools</b>
Community Engagement	<ul style="list-style-type: none"> <li>• Skillman GNI: Community planning strategy and workgroup planning strategy</li> <li>• Dellums: Transition planning strategy</li> <li>• Dumbarton: Regional (multi-jurisdictional) engagement strategy</li> <li>• One East Palo Alto: Neighborhood engagement strategy</li> </ul> <p>Other:</p>
Community Organizations	<ul style="list-style-type: none"> <li>• Board development</li> <li>• Strategic planning</li> </ul> <p>Other:</p>
Community Relationships	<ul style="list-style-type: none"> <li>• One East Palo Alto: Community building methods</li> </ul> <p>Other:</p>
Community Development	<ul style="list-style-type: none"> <li>• Strategies: Training</li> <li>• Annie E. Casey RBA: Program planning/development</li> </ul> <p>Other:</p>
Community Advocacy	<ul style="list-style-type: none"> <li>• TCE Advocacy Project: Health advocacy training</li> <li>AAHI: Health disparities project</li> </ul> <p>Other:</p>
Community Research/Evaluation	<ul style="list-style-type: none"> <li>• CDI: Article on comprehensive community initiatives</li> <li>• NCDI: TCE Article on BCSC methodology</li> </ul>



## **STANDARDIZING OUR APPROACH**

We hope to standardize our approach by developing toolkits and methods for transferring knowledge in seven core areas:

1. Community Engagement
2. Community Organizations
3. Community Relationships
4. Community Development
5. Community Advocacy
6. Community Research/Evaluation
7. CBCB Delivery Methods

**NATIONAL COMMUNITY DEVELOPMENT INSTITUTE  
BUILDING CAPACITY FOR SOCIAL CHANGE  
PROJECT SELECTION CRITERIA  
2007**

In order to establish a framework from which to determine the feasibility of a major project or initiative for NCDI, there are three factors to consider in order to make the best decision about taking on a new project. They are:

1. Readiness
2. Impact
3. Capacity

Some of the specific criteria are required for a go-ahead decision, while others are desired. Each project/initiative will be measured independently, on a case by case basis, and in light of the full range of work that NCDI is engaged in at the time.

1. Readiness criteria

In order to meet these required criteria, an individual organization must demonstrate the following:

- a. Willingness to come to table and to invest resources (time and money).
- b. Representation from all key stakeholders involved in the project.
- c. Commitment to the initiative comes from organizational leadership.
- d. Recognition that the need fo
- e.
- f. r the work of the initiative/project is compelling beyond the availability of and access to current funding.
- g. Willingness to partner with NCDI and recognition that NCDI has the coordinating role.

In addition, the following criteria are highly desirable, and bring added value to the implementation of the initiative:

- a. Participation is initiated as a response to an analysis of the political and social context.
- b. Willingness to be exposed to and engage with new ideas, people, networks and methodologies.
- c. Actively seeking partnerships for this work/initiative.
- d. Demonstrated buy-in from community leaders who are connected to stakeholder groups.

2. Impact criteria

The following criteria state the range of outcomes and impact an initiative would need to potentially have on a community to be considered feasible by NCDI. Each criterion in itself is desirable, but at least three of the six would have to be demonstrated for NCDI to take on the project. The impact of the initiative would need to have the following potential:

- a. Bridge building across race, class, ethnicity and culture.
- b. Social/institutional transformation as defined by the community.
- c. Policy changes that closely reflect the values of the community.
- d. Measurable benefit to a local community.
- e. Increased citizen participation and/or a more organized grass-roots community.
- f. Broader partnerships among sectors and communities.
- g. Increased interdisciplinary linkages.

### 3. Capacity criteria

NCDI recognizes that readiness and impact are significantly more important at the outset of an initiative, as capacity can be more easily built than either of the other. For this reason, the capacity criteria are marked by the organization and/or collaborative's interest in building that capacity where it doesn't exist.

Capacity is measured on two levels; that of the individual organizations that participate in a collaborative or multi-dimensional initiative and that of a collaborative/network to function well and move the community toward social transformation.

#### Required Organizational Capacity:

- a. Existing infrastructure or capacity/willingness to improve the infrastructure.
- b. Existing staff capacity and expertise.
- c. Structure that allows for the work of the initiative (e.g. not overly money driven).

#### Required Collaborative Capacity

- a. Existing network /collaborative infrastructure or a (broadly recognized) convening organization.
- b. Positive, pre-existing working relationships among partners.
- c. Multi-sector and/or multi-disciplinary representation.

#### Desired Collaborative Capacity

- a. Potential to leverage funding.
- b. Existing constituency/client/membership base.
- c. Existing, credible, working relationships with funders/policy makers, etc.
- d. A history of community activism.

<p style="text-align: center;"><b>NATIONAL COMMUNITY DEVELOPMENT INSTITUTE (NCDI) 2005 TABLE OF SERVICES</b></p>
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**LEVEL**

*Capacity-building for Organizations/Collaboratives/Networks*

**Service**

*Technical Assistance for Organizational Development/Sustainability*

**Goals**

- Developing sustainable social change organizations and networks in communities of color.
- Contributing to knowledge development and the utilization of best practices in the community-building field.

**Description**

NCDI offers a unique menu of technical assistance programs that are customized to meet the dynamic needs of non-profit organizations/collaboratives/networks in communities of color. Our services include: (1) technical assistance planning; (2) organizational/collaborative/network development; (3) leadership development for individuals charged with stewarding the change process from within an organization; (4) peer-to-peer popular training/networking activities; (5) executive coaching; (6) fiscal sponsorships; and (7) an on-line repository of best practices research. NCDI's technical assistance program is distinguished by our focus on providing culturally-based, services whereby we tailor interventions to the particular organizational context; recognize and build on the assets of client organizations; and create a stimulating and nurturing environment for collaborative learning and problem solving to effect social change.

**Methods**

*Our Culturally-Based Approach*

NCDI understands that individuals, organizations and communities experience the world through the lens of culture and that the cultural lens has multiple and diverse dimensions. NCDI defines "culturally-based" capacity building as providing transformational technical assistance and training services for individuals, organizations and communities in their unique cultural contexts based on knowledge, experience and sensitivity to the issues of race/ethnicity, language, gender, sexual

*Our Approach to Developing Sustainable Organizations*

A fundamental goal of our capacity building work is to transform these indigenous community groups into stable organizations that can manage and sustain the community building process over time. NCDI offers a results-oriented framework for building organizational capacity in seven key areas: (1) Mission/Vision/Values, (2) Organizational Planning; (3) Budgeting & Finance; (4) Governance; (5) Systems & Infrastructure; (6) Human Resources; and (7) Program Development/Management/ Evaluation. These seven capacity areas are generally accepted in the management services field as the core elements for the operation of a sustainable organization. Where NCDI differs from other management service organizations is our focus on providing capacity-building services that are rooted in the culture and context of the community.

### *Client-Driven Services*

To ensure that our services are client-driven, NCDI usually requests that a client organization establish a Project Oversight Group with responsibility for guiding our work. The NCDI consulting team works with this group to design a technical assistance plan addressing key issues, to transfer knowledge about the organizational development process, and to develop internal systems for addressing similar problems after our departure. Our team regularly meets with the oversight group for the duration of a project to review progress, plan work and assess impact.

### **Time Duration**

The duration of a technical assistance project for a single organization/collaborative/network usually ranges from one week to one year.

### **Audience**

The primary audiences for our technical assistance programs are diverse community-based organizations and the funders (foundations and public agencies) that invest in their work.

### **Outcomes**

- Broadening knowledge and deepening understanding of the community-building process among organizational and community leaders.
- Knowledge transfer, skill-building and action planning to improve organizational effectiveness.
- Disseminating state-of-the-art information about principles, practices and tools for effective capacity-building work.

### **Major Achievements/Examples of Past Offerings**

- Provided technical assistance to more than 1,000 organizations in thirty-two states.
- Trained more than 300 board members and staff in non-profit organizations.
- Trained more than 120 consultants who serve communities of color.

<p style="text-align: center;"><b>NATIONAL COMMUNITY DEVELOPMENT INSTITUTE (NCDI)</b> <b>TABLE OF SERVICES</b></p>
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**LEVEL**

*Capacity Building for Communities*

**Service**

*Technical Assistance for Community-Building Programs*

**Goals**

- Building institutional capacity to achieve social change in communities of color.
- Contributing to knowledge development and the utilization of best practices in the community-building field.

**Description**

NCDI offers a unique menu of technical assistance programs that are customized to meet the complex and changing needs in communities of color. Our services include (1) training programs for organizational and community leaders, (2) technical assistance programs for organizations, and (3) a comprehensive capacity-building program for communities (See Table of Services: Trainings for Individuals and Capacity-Building for Organizations). Where NCDI differs from other management service organizations is our focus on linking and integrating leadership development, organizational development and community building activities. In other words, our primary strategy is to develop organizational leaders, provide on-site technical assistance to their organizations, and connect them with peer organizations to launch and sustain community-building initiatives that empower their constituents to achieve social change. NCDI's technical assistance program is distinguished by our focus on providing culturally-based, services whereby we tailor interventions to the particular community context; recognize and build on the assets of constituent groups; and create a stimulating and nurturing environment for collaborative learning and problem solving to effect social change.

**Methods**

*Our Approach to Developing Sustainable Communities*

NCDI has developed a strategic approach for promoting social change in communities of color through its capacity-building programs. Our approach, called *Building Capacity for Social Change (BCSC)* is summarized below (See attachment):

- The three goals of the capacity building process are: (1) organizing and engaging people, (2) strengthening organizations and networks, and (3) developing and transforming communities.<sup>1</sup>
- The four phases of the capacity-building process are: (1) project design; (2) community visioning and planning; (3) implementation of community improvement projects; and (4) designing community sustainability programs.
- *Six Focal Transformational Areas:* The six core areas of social transformation in each capacity-building phase are (1) Community Engagement; (2) Infrastructure Development; (3) Cross-Cultural Relationship Building; (4) Community Development;

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<sup>1</sup> The BCSC model is utilized with both place-based and identity communities.

(5) Organizing and Advocacy for Institutional Change; and (6) Community Research and Evaluation.

#### *Our Culturally-Based Approach*

NCDI understands that individuals, organizations and communities experience the world through the lens of culture and that the cultural lens has multiple and diverse dimensions. NCDI defines “culturally-based” capacity building as providing transformational technical assistance and training services for individuals, organizations and communities in their unique cultural contexts based on knowledge, experience and sensitivity to the issues of race/ethnicity, language, gender, sexual identity, socio-economic status, age and religion. Our work is guided by this particular perspective that shapes and informs how we engage communities, how we facilitate the process of social transformation, and how we leave community members with the resources and tools to continue their own processes of growth and development.

#### *Community-Driven Services*

To ensure that our services are community-driven, NCDI usually requests that a client organization establish a Project Oversight Group with responsibility for guiding our work. The NCDI consulting team works with this group to design a technical assistance plan addressing key issues, to transfer knowledge about the organizational development process, and to develop internal systems for addressing similar problems after our departure. Our team regularly meets with the oversight group for the duration of a project to review progress, plan work and assess impact.

#### *Project Management*

NCDI has developed a project management system to monitor technical assistance contracts and the work of our consultants in the field. The process begins with clearly identifying the outcomes, outputs and benchmarks for the each phase of the project. After this initial phase of program design, associated project management tools are developed such as a work plan, performance measures and quality standards to ensure the appropriate allocation of resources and skills to meet the contract requirements. The project management system is an important part of the quality review of our products and services.

#### **Time Duration**

The duration of a technical assistance project for a major initiative usually ranges from two to four years.

#### **Audience**

The primary audiences for our technical assistance programs are diverse community-based organizations and the funders (foundations and public agencies) that invest in their work.

#### **Outcomes**

- Broadening knowledge and deepening understanding of the community-building process among organizational and community leaders.
- Knowledge transfer, skill-building and action planning to improve organizational effectiveness.
- A cohort of sustainable community organizations with the collective capacity to advance a social change agenda.
- Disseminating state-of-the-art information about principles, practices and tools for effective capacity-building work.

**Major Achievements/Examples of Past Offerings**

- Provided technical assistance to more than a dozen comprehensive community initiatives.
- Trained more than 300 residents with the Neighborhood Reinvestment Corporation.
- Provided technical assistance to more than 1,000 organizations in thirty-two states.
- Trained more than 300 board members and staff in non-profit organizations
- Trained more than 120 consultants who serve communities of color.



<p style="text-align: center;"><b>NATIONAL COMMUNITY DEVELOPMENT INSTITUTE (NCDI) TABLE OF SERVICES</b></p>
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**LEVEL**

*Trainings for Individuals: Organizational and Community Leaders*

**Service**

*Leadership Institute*

**Goals**

- Promoting knowledge transfer, skill building and action planning in specific areas identified by grantee organizations funded by our foundation partners.
- Strengthening organizational and community leadership by broadening knowledge and deepening understanding of the community-building process.

**Description**

A Leadership Institute (LI) is a set of integrated learning activities focusing on key organizational or community issues identified by grantee organizations. The training program involves organizational leaders and other stakeholders in a learning process to broaden their perspectives, enhance their skills, connect them with peer organizations doing similar work and engage them in action planning.

**Outcomes**

- Leadership development, knowledge transfer and skill-building to improve the organizational effectiveness of grantees designated by our foundation partners.
- A plan of action for addressing an important organizational or community issue.
- A report describing the primary learnings from the LI.

**Service**

*Learning Circles*

**Goals**

- Promoting knowledge transfer in specific areas identified by grantee organizations funded by our foundation partners.
- Strengthening organizational and community leadership by broadening knowledge and deepening understanding of the community-building process.

**Description**

A Learning Circle is a strategic and values-based seminar focused on a *specific* topic of interest to grantee organizations. The training program engages organizational leaders and other stakeholders in a structured discussion of challenging issues in their community-building work.

**Outcomes**

- Knowledge transfer to improve the organizational effectiveness of grantees designated by our foundation partners.
- A strategic framework for addressing an important organizational or community issue.
- A report describing the primary learnings from the Learning Circle.

## **Service**

### ***Skill-Building Workshops***

#### **Goals**

- Promoting skill-building in specific areas identified by grantee organizations funded by our foundation partners.
- Strengthening organizational and community leadership by broadening knowledge and deepening understanding of the community-building process.

#### **Description**

A Skill-Building Workshop is a training session focused on a *specific* topic of interest to grantee organizations. The training program engages organizational leaders and other stakeholders in a learning process (supported by best practices research) focusing on skill building, problem solving and/or action planning. The primary training goal is to develop the practical knowledge and skills required to initiate, improve or sustain community-building programs.

#### **Outcomes**

- Skill building to improve the organizational effectiveness of grantees designated by our foundation partners.
- A plan of action for addressing an important organizational or community issue.
- A report describing the primary learnings from the Skill-Building Workshop.

**NATIONAL COMMUNITY DEVELOPMENT INSTITUTE (NCDI)  
SUMMARY: TABLE OF SERVICES**

**LEVEL**

*Trainings for Individuals: Consultants*

**Service**

*Professional Developments for Consultants (PDC) Training Program*

**Goals**

- Developing and strengthening the pool of consultants who provide technical assistance and training services in communities of color toward the long-term goal of social transformation.
- Linking participants with mentors who are established consultants in the community-building field.
- Assisting participants in developing their own consulting businesses through various administrative support and consultation activities.

**Description**

The PDC is a series of strategic and values-based seminars on the role of consultants as change agents in assisting organizations and communities to move toward social transformation. Based on NCDI's Building Capacity for Social Change (BCSC)<sup>TM</sup> model, the PDC training consists of six, full-day seminars over a six-month period supplemented by skill-building workshops throughout the year. The training program focuses on building indigenous capacity by promoting leadership development, organizational effectiveness and community transformation.

**Outcomes**

- A diverse pool of networked consultants who can provide customized, culturally-based, capacity-building services in communities of color.

**Service**

*Learning Communities*

**Goals**

- Broadening knowledge and deepening understanding of culturally-based, capacity building in communities of color.
- Examining in depth a strategic issue of vital interest to organizational development and community-building practitioners.
- Sharing state-of-the-art information about fundamental principles, practices and products for effective capacity-building work.

**Description**

A Learning Community (LC) is a series of strategic and values-based seminars focused on a *specific* topic of interest to the National Community Development Institute. A LC training consists of three monthly seminars supplemented by best practices research. The training program engages staff, consultant partners and other colleagues in strategic dialogue about challenging issues in NCDI's work which arise from our broad experiences in the field.

**Outcomes**

- A shared definition and common understanding of core issues by the participants.
- Knowledge transfer to improve the effectiveness of consultants in communities of color.
- A joint publication describing the primary learnings from the LC.

**Service*****Workshops and Seminars*****Goals**

- Promoting strategic thinking about providing culturally-based, capacity-building services in communities of color. (Seminars)
- Promoting knowledge transfer and skill building for consultants and/or community-building practitioners. (Workshops)

**Description**

A seminar is a strategic dialogue about a topic that has been selected based on input from members of the NCDI Consultant Network. The primary goal of seminars is to deepen understanding of particular organizational development content areas with a focus on culturally-based capacity building in communities of color.

A workshop is a skill-building session designed to meet specific professional needs of Network members. The primary goal of workshops is to share information about best practice strategies and tools for technical assistance providers in communities of color.

**Outcomes**

- Knowledge transfer and skill building to improve the effectiveness of consultants working in communities of color.

**Service*****NCDI Consultants Network*****Goals**

- Establishing a professional association for the alumni of NCDI training programs.
- Providing training and networking opportunities for the membership to promote professional development and networking.
- Supporting individual consultants interested in, committed to and knowledgeable about working in communities of color.

**Description**

The NCDI Consultants Network is an alumni association for the graduates of NCDI training programs. The Network offers training and networking opportunities for the membership to deepen their knowledge about culturally-based capacity building, strengthen their professional skills as technical assistance providers and support the growth of their business practice. Members receive various benefits through their affiliation with the Network.

**Outcomes**

- A professional association for consultants serving communities of color.
- An increased pool of consultants who provide culturally-based, capacity-building services and are accessible to communities of color.
- A diverse pool of consultants who communicate and collaborate across cultural lines.



**NATIONAL COMMUNITY DEVELOPMENT INSTITUTE  
POLICIES AND PROCEDURES FOR PROVIDING ORGANIZATIONAL SERVICES  
JULY, 2003**

**GUIDELINES, POLICIES AND PROCEDURES FOR ORGANIZATIONAL SERVICES**

**1.0 COMPANY HISTORY**

**1.1 Community Development Institute**

The Community Development Institute (CDI) is a non-profit organization founded by Dr. Omowale Satterwhite in 1979. Its mission is *to assist diverse, low-income communities to combat the causes of racism and poverty*. CDI engages in various activities to promote political empowerment, economic development and social revitalization. Its primary focus, however, is developing organizational capacity and training indigenous leaders to build healthy, stable communities.

During the past twenty-two years, CDI has provided technical assistance and training services to over one thousand organizations in thirty-two states. The vast majority of its clientele are diverse community-based organizations engaged in service delivery, development, organizing and/or advocacy activities. CDI has earned a national reputation as a premier technical assistance provider to grassroots organizations serving diverse populations.

**1.2 National Community Development Institute**

In May 2001, CDI established a new technical assistance center – the National Community Development Institute (NCDI) – that focuses on building capacity for social transformation in communities of color. Based in Oakland, California, NCDI offers a unique continuum of programs and services that will enable communities of color to pursue sustainable social and economic equity through capacity-building activities focusing on institutional development, visioning and planning, community renewal and comprehensive community development. In January 2002, NCDI assumed full responsibility for the regional and national technical assistance programs formerly offered by CDI.

## 2.0 COMPANY DESCRIPTION

### 2.1 Vision

NCDI has a compelling vision to guide its capacity-building work in communities of color. Our vision is that...

*There are strong, healthy, resilient communities of color with the leadership, infrastructure and constituent base to effect social change, shape public policy and influence the political economy in an increasingly diverse society.*

### 2.2 Mission

NCDI has a distinct mission to build indigenous capacity for sustainable social change in communities of color. Our mission is...

*“to develop a national technical assistance center that provides customized capacity-building services to promote community-building and social transformation in diverse, low-income communities.”*

### 2.3 Operating Principles

NCDI’s operating principles are based on our core values of providing customized, culturally-based<sup>1</sup> services to communities of color. We will...

- Value the unique assets of residents, organizations and communities;
- Honor cultural differences and promote cultural diversity;
- Be client-driven and responsive to the communities that we serve;
- Provide reliable and beneficial services to each client organization; and
- Listen to the authentic voices of clients, peers and partners in the field.

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<sup>1</sup> NCDI defines “culturally-based” (or cultural competency) service delivery as the ability to provide effective technical assistance and training services in cross-cultural contexts based on knowledge, experience and sensitivity to the issues of race, language, ethnicity, culture, gender, sexual orientation and socio-economic status. NCDI is engaged in a continuous developmental process to become an authentic culturally-based organization – i.e., one that can integrate and transfer knowledge about the cultural dynamics of organizations, communities and constituencies into specific policies, practices and standards to enhance the quality, effectiveness and proficiency of our technical assistance and training services.

## 2.4 Program Paradigm –Building Capacity for Social Change

NCDI program and services are integrated under a unifying paradigm, **Building Capacity for Social Change (BCSC)**. (*See Attachment 1*) BCSC is a strategic approach designed to engage communities of color in a transformational process to develop internal capacity, improve existing conditions, reform institutional practices and achieve major policy change. The model is organized into a four-phased developmental continuum focusing on:

1. ***Strengthening Community through Institutional Development***
  - ◆ Organizational Development
  - ◆ Network and Collaborative Development
2. ***Planning Community through Visioning and Strategy Development***
  - ◆ Community Involvement
  - ◆ Strategic Planning
  - ◆ Organizational and Network Assessment
3. ***Building Community through Constituent-Driven Community Renewal***
  - ◆ Constituent Development
  - ◆ Community Development
  - ◆ Organizational and Network Development
4. ***Sustaining Community through Comprehensive Community Development***
  - ◆ Community Organization
  - ◆ Community Transformation
  - ◆ Organizational and Network Accountability

There is substantial evidence that community-building work must be culturally-based to be effective and, therefore, NCDI approaches its work through a cultural lens. Within the framework of NCDI service delivery, cultural competency is not a *topic*, but rather a *methodology*; not a skill set, but a perspective.

## 2.5 NCDI Technical Assistance Philosophy

There is a basic philosophy governing our work with non-profit, social justice and community service organizations in diverse, low-income communities. We believe that:

- The key to rebuilding *our* communities is developing stable institutions with the capacity to solve human problems – i.e., institutions with visionary leadership, a coherent strategic plan, functional management systems and effective community organizing strategies.
- Community-based organizations can assume a pivotal role in the neighborhood revitalization process if they are provided culturally and



linguistically appropriate technical assistance and training services geared toward their unique challenges and special needs.

- ❑ The primary responsibility for addressing organizational and community development issues rests with the board, staff, and constituents of an organization... *not with the consultant team.*
- ❑ Working together, the board, staff and constituents of an organization can identify and effectively address key issues through a collaborative planning and problem-solving process.
- ❑ The primary role of the consultant team is to assist key stakeholders to develop a broad consensus and dynamic strategy for resolving problems and achieving their organizational and community goals.

## 2.6 Programs and Services

NCDI offers a unique continuum of programs and services to build institutional capacity in communities of color. Our core services are:

- **Organizational Services:** developing and implementing technical assistance programs for organizations and collaboratives/networks serving communities of color. The target markets are community foundations, family/private foundations, public agencies and non-profit organizations.
- **Education & Training:** designing and implementing professional development programs for individuals working in communities of color and sharing lessons from the field. The target markets are organizational development consultants, community practitioners and others in the community-based non-profit sector.
- **Community-Building:** developing and implementing major initiatives and demonstration projects with the potential to influence practices in the community-building field. The target markets are regional/national foundations and communities of color with multi-year, capacity-building programs

## 3.0 ORGANIZATIONAL SERVICES TEAM

### 3.1 Function

The Organizational Services Team is responsible for securing, managing and evaluating technical assistance contracts to promote capacity building in communities of color. Senior staff team members have primary responsibility for coordinating contracts related to organizational effectiveness and community building.

### 3.2 Scope of Services

The work of this program is distinguished by its focus on tailoring interventions to the particular organizational and/or neighborhood context; building on the assets of these organizations; developing organizational and constituent leadership; and creating a stimulating environment for learning and problem solving.

Grounded in these principles, NCDI's strategy to improve organizational effectiveness includes a range of technical assistance options for community-based organizations and collaboratives including:

#### **Institutional Development Programs**

- ◆ ***Organizational Development Programs:***  
Customized technical assistance services for client organizations, including organizational assessment, strategic planning, resource development, financial management, human resources management, board development, program development, program evaluation and administrative operations.
- ◆ ***Community Collaboration Services:***  
Customized technical assistance services for community collaboratives/networks.
- ◆ ***Community Learning Circles:***  
Peer-to-peer training programs for board members and staff.
- ◆ ***Non-Profit Clinics:***  
Skill-building workshops for community-based practitioners with follow-up technical assistance.
- ◆ ***Executive Coaching:***  
Coaching services for board members and executive staff.
- ◆ ***Fiscal Sponsorships:***  
Fiscal management services for family/private foundations.
- ◆ ***Community Planning:***  
Technical support for comprehensive community initiatives.

#### **Community Revitalization Programs**

- ◆ ***Neighborhood Development Projects:***  
Customized community development programs for diverse neighborhoods and constituent groups.

- ◆ **Regional Planning Projects:**  
Customized regional planning services for community collaboratives/networks.

### 3.3 Who We Are

The Organizational Services (OS) Team is staffed by a Director, Senior Program Associate, and Administrative Assistant. NCDI Senior Staff<sup>2</sup> assume the lead role on all major initiative contracts. NCDI contracts with consultants who are members of the NCDI Consultant Group and members of the NCDI Network to provide professional services on various projects.

The NCDI Network is a professional association for PDC alumni and other consultants. PDC, the Professional Development for Consultants Program (*See Attachment 2, Education and Training 2002 Program Summary*), is a six month training program developed by NCDI that trains individuals in a series of six, one-day seminars (which are supplemented by four evening workshops); links the participants with colleagues who are established consultants in the field; and assists them with developing their own consulting businesses through various administrative support and consultation activities. The curriculum is designed to increase knowledge and skills in six core areas: ethics, team building, culturally based services, organizational development, program development and business development. PDC has trained 120 consultants since its inception in 1998.

NCDI relies heavily on the NCDI Consultant Group for its contract and project work. In order to become a member of the NCDI Consultant Group, individuals must meet the following criteria:

- Join the NCDI Network
- Complete a field (consulting) project with NCDI
- Demonstrate effective field (consulting) work

In addition to meeting the above criteria, NCDI Consultants are strongly encouraged to:

- Complete the PDC Training Program
- Complete the NCDI Learning Community for Consultants

*(See Attachment 3, NCDI Network; Attachment 4, NCDI Consultant Group; Attachment 5, NCDI Network Application; and Attachment 6, NCDI Consultant Group Questionnaire for more details about the Network.)*

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<sup>2</sup> NCDI Senior staff include the Senior Management Team: The President of NCDI, the Director of Organizational Services, the Director of Operations, the Director of Community Building, the Director of Education and Training, and Senior Program Associates.

## **4.0 NCDI TECHNICAL ASSISTANCE**

### **4.1 Major Projects/Initiatives**

NCDI defines a major project/initiative as one that requires an interdisciplinary team of staff and consultants and whose projected duration is one year or longer. Generally, major projects impact more than one NCDI team, and have a multi-year budget covering all project costs.

In order to establish a framework to determine the feasibility of a major project/initiative, it must meet the NCDI Project/Initiative Criteria:

1. Organizational Readiness
2. Community Impact
3. Organizational Capacity
4. Political Considerations

Once a project has been selected, a cross-team work group is convened by the OS Team, in consultation with appropriate NCDI staff. For example, if an organization approaches the Education and Training Team with a request to create a curriculum and implement a training program, the Director of OS works in partnership with the Director of Education and Training to design and implement this technical assistance project/initiative.

#### **1. Organizational Readiness Criteria**

In order to meet these required criteria, an individual organization must demonstrate the following:

- a. Willingness to come to table and to invest resources (time, money)
- b. Representation from all key stakeholders involved in the project
- c. Commitment to the initiative comes from organizational
- d. Recognition that the need for the work of the initiative/project is compelling beyond the availability of and access to funding.
- e. Willingness to partner with NCDI, and recognition that NCDI has coordinating role

In addition, the following criteria are highly desirable, and bring added value to the implementation of the initiative:

- a. Participation is initiated as a response to an analysis of the political and social context
- b. Willingness to be exposed to and engage with new ideas, people, networks and methodologies.
- c. Actively seeking partnerships for this work/initiative.
- d. Demonstrated buy-in from community leaders who are connected to stakeholder groups.

## 2. Community Impact Criteria

NCDI seeks to break new ground in developing effective approaches to technical assistance and training in communities of color, and to become a leader in the field of technical assistance intermediaries. Therefore, although organizational readiness and organizational capacity are important criteria for a major project, impact is essential. The following impact criteria articulate the range of outcomes an initiative would need to be considered feasible by NCDI. Each in and of itself is desirable, but at least *four* must be evident in order for NCDI to take on the project. They include:

- a. Bridge building across race, class, ethnicity and culture.
- b. Social/institutional transformation as defined by the community.
- c. Policy changes that closer reflect the values of the community.
- d. Measurable benefit to a local community.
- e. Increased citizen participation and/or a more organized grass-roots community.
- f. Broader partnerships among sectors and communities.
- g. Increased interdisciplinary linkages.
- h. Builds on and expands the knowledge base in the community building field.

## 3. Organizational Capacity Criteria

NCDI recognizes that organizational readiness and community relationships are significantly important at the outset of an initiative. For this reason, the organizational capacity criteria are marked by an organization's/collaborative's interest in building that organizational capacity where it doesn't exist.

Organizational Capacity is measured on two levels; that of the individual organizations that participate in a collaborative, multi-dimensional initiative and that of the collaborative itself to function well and move the community toward social transformation.

Required Organizational Capacity:

- a. Existing infrastructure or capacity / willingness to improve it.
- b. Existing staff capacity and expertise.
- c. Structure that allows for the work of the initiative (e.g. not overly contract driven)

Required Collaborative Capacity:

- a. Existing network /collaborative infrastructure or a (broadly recognized) convening organization.
- b. Positive, pre-existing working relationships among partners.
- c. Multi-sector and/or multi-disciplinary representation

Desired Collaborative Capacity:

- a. Potential to leverage funding.
- b. Existing constituency/client/membership base.
- c. Existing, credible, working relationships with funders/policy makers, etc.
- d. A history of community activism

#### **4. Political Considerations**

NCDI will take into consideration the political issues apparent in proposed projects (i.e. community context, partner agencies and their relationships, stated values in relation to apparent values) and potential conflicts in guiding its project selection process.

#### **4.2 Routine projects**

Routine projects are short-term, self-contained projects that can be completed in less than one year. Examples include retreat planning/facilitation and board development. Routine projects are generally referred to members of the NCDI Consultant Group when NCDI senior staff and program associates are unavailable. Selection of routine projects is typically based on consideration of the following:

1. NCDI has the ability to do what is required effectively and in a timely manner.
2. The organization has the willingness to invest resources (time, money).
3. Commitment to the engagement comes from organizational leadership.

#### **4.3 Partnerships**

NCDI defines a partnership as a joint business venture with another organization to complete a major project. Decisions about entering into partnerships are made by NCDI Senior Staff.

Every partnership requires an agreement signed by the executive leadership of each of the partners. The signed agreement provides a clearly delineated scope of work for each partner that identifies: goals, intended outcomes and anticipated dates for achieving each; roles, major activities, tasks, and person(s) responsible for each; and benchmarks, as well as clearly stated accountability measures and methods. *(See Attachment 11, NCDI Standard Elements of a Technical Assistance Plan)*

Every partnership agreement must have an evaluation component.



#### 4.4 Fiscal sponsorship

NCDI may agree to provide a fiscal home and basic infrastructure support to organizations or initiatives that have not obtained non-profit, tax exempt status with the state and federal government. The cost for this service is 10% of project revenues.

NCDI provides services in fiscal management, payroll and benefits administration, and liability insurance.

##### **A. The main requirements for projects seeking fiscal sponsorship are:**

1. Project is focused on communities of color.
2. The project is consistent with NCDI values, principles, BCSC Model, and commitment to social transformation.
3. The project is an effort to build bridges across race, class, ethnicity and culture.
4. The project provides measurable benefit to the community.
5. There is an advisory committee responsible for financial oversight and program accountability.
6. The project leadership agrees to sign the **NCDI Fiscal Sponsorship Agreement**. (*See Attachment 7*)
7. All Project proposals and budgets are shared with NCDI.
8. NCDI has the capacity to manage the project.

##### **B. Roles of NCDI as Fiscal Sponsor**

As fiscal sponsor, our primary role is to manage the philanthropic funds that are granted to NCDI on behalf of the sponsored project. This includes the following:

1. Receiving, acknowledging and depositing all checks in an authorized bank;
2. Creating a restricted fund for the sponsored project;
3. Disbursing funds from the restricted account in accordance with NCDI's fiscal policies, NCDI's Fiscal Sponsorship Guidelines (*See Attachment 8, NCDI Fiscal Sponsorship Guidelines*) and the grant conditions set by the funding source;
4. Providing a monthly financial report to the sponsored project; and
5. Contracting with a Certified Public Accountant to conduct an annual audit.

The Operations and Organizational Services Team reviews requests for fiscal sponsorship and makes recommendations to the Office of the President of NCDI, responsible for making final decisions.

The Operations Team is responsible for managing fiscal sponsorships.

## **5.0 PROJECT AND CONSULTANT TEAM MEMBERS**

### **5.1 NCDI Consultant Group**

In order to be considered for NCDI projects and contracts, individuals must normally be members in good standing of the NCDI Consultant Group. *(See Attachment 4, NCDI Consultant Group)*

### **5.2 NCDI Consultant**

As Network members build their consultant practice, they may be asked to partner with another NCDI Senior Consultant or Staff Team Leader on an NCDI project or contract. Individuals working in this capacity will be called, “NCDI Consultants”.

### **5.3 NCDI Senior Consultant**

NCDI Senior Consultants are selected by the appropriate NCDI Team Leaders, in consultation with the President. Senior Consultants may be asked to serve as lead consultant or team leader for an NCDI project.

In addition to meeting the requirements listed above, an NCDI Senior Consultant must meet the following qualifications:

- Significant experience managing projects of comparable size and complexity.
- Direct experience working with one or more of the NCDI senior level staff on a project or contract of comparable size and complexity.
- Positive evaluations of NCDI contract work/role.
- A body of work that reflects a commitment to high quality, client-centered services.

An NCDI Consultant may serve as a Senior Consultant on one contract, and as a Consultant on another contract depending on the role. Serving as a Senior Consultant on one contract does not ensure continuous work in this capacity.

### **5.4 NCDI Consultant Group Coordination**

The Education and Training (ET) Team will maintain a database of members in good standing with the NCDI Network and the NCDI Consultant Group. ET will produce a regular directory that updates the member list, identifies skills and interests, and describes their field areas.

The OS Team will conduct regular field evaluations of consultants based on feedback from clients. This information will be shared with ET to track the performance record of members of the NCDI Consultant Group.



## 6.0 NCDI CONTRACT FRAMEWORK

### 6.1 NCDI Technical Assistance Philosophy

There is a basic philosophy governing NCDI'S work with non-profit, social justice and community service organizations in diverse low-income communities. We believe that:

- The key to rebuilding our communities is developing stable institutions with the capacity to solve human problems- i.e., institutions with visionary leadership, a coherent strategic plan, functional management systems and effective community organizing strategies.
- Community organizations can assume a pivotal role in the neighborhood revitalization process if they are provided culturally and linguistically appropriate technical assistance and training services geared toward their unique challenges and special needs.
- The primary responsibility for addressing organizational and community development issues rests with the Board, staff and constituents of an organization... not with the consultant team.
- Working together, the Board, staff and constituents of an organization can identify and effectively address key issues through a collaborative planning and problem-solving process.
- The primary role of the consultant team is to assist the key stakeholders to develop a broad consensus and dynamic strategy for resolving problems and achieving their organizational and community goals.

### 6.2 NCDI Policies

1. **Consultant match:** Selection of routine and major project team members is normally based on the following criteria:
  - a. Culturally-based community match with NCDI resources.
  - b. Match between the identified TA needs and team members' skills, experiences, and specializations.
  - c. Successful completion of PDC.
  - d. Successful completion of at least one NCDI Sponsored Learning Community series.
  - e. Participation in at least 2 days of professional development activities per year. Higher preference given to those individuals who exceed minimum requirements of professional development activities.
  - f. Recent and direct experience with a similar set of TA needs.

- g. Track record working with a senior NCDI staff in a significant TA engagement.
  - h. Regular consultant reports: field reports, monthly reports.
2. **Client Billing:** The consulting fee for foundation, public agency, and corporate clients is \$175/hour or \$1,400/day.
  3. **Non-profit Fee Schedule:** The consulting fee for a non-profit agency is based on their organizational budget and the following fee schedule. NCDI senior staff reserve the right to negotiate consulting fees on a case-by-case basis.

<b>Operating Budget</b>	<b>Consulting Fee</b>
\$3 million and above	\$175.00/hr or \$1,400/day
\$2 million - \$2,999,999	\$150.00/hr or \$1,200/day
\$1 million - \$1,999,999	\$125.00/hr or \$1,000/day
\$250,000 - \$999,000	\$100.00/hr or \$800/day
Under \$250,000	\$75.00/hr or \$600/day

4. NCDI will provide an oversight function over all contracts and projects.
5. NCDI agrees to provide on-going professional development opportunities to its consultants. Plans include:
  - \* Invitation to annual Learning Community Dialogues.
  - \* Opportunity to participate in monthly and quarterly NCDI sponsored training sessions designed to strengthen or expand skills.
  - \* Invitation to monthly topic-based “learning luncheons.”
  - \* On-going feedback on performance in the field.
5. NCDI agrees to provide an annual evaluation of NCDI Consultants working 10 days or more for NCDI, and those working as team member in more than three projects.
6. NCDI agrees to compensate NCDI Consultants according to its compensation rates and reimbursement policies. *(See Attachment 9, Compensation Rates and Reimbursement Policies)*
7. NCDI agrees to timely payment of invoices submitted with proper documentation.
8. NCDI retains the right to sever relationships with consultants in the interest of the client.

## 7.0 NCDI WAYS OF WORKING: FROM CONTRACT TO EVALUATION

It is important to acknowledge that each consulting engagement is unique. And, in each consulting engagement, the client has a relationship with the consultant, and with NCDI. Therefore, as a large, integrated, local, regional and national consulting practice, NCDI has developed the following standard operating procedures, guidelines and policies to ensure quality and consistency.

### 7.1 Intake

1. All requests for contract services are referred to the Organizational Services Team. OS will maintain a log of all client inquiries. Potential clients can expect follow-up within 48 hours of initial contact. OS will determine if NCDI has the capacity to pursue a contract within three business days of receiving an RFP.
2. An OS intake coordinator responds to inquiries by completing an **NCDI Project Intake form**. (See *Attachment 10*). The intake coordinator at minimum, obtains the following information from the potential client:
  - a. Contact information (name, role, address, telephone, etc)
  - b. Nature of the request/problem
  - c. Request for proposals
  - d. Relationship with NCDI, if any
  - e. Eligibility for NCDI services
  - f. Source of referral
  - g. Organizational budget
  - h. Project budget.
3. If the OS Team decides to respond to an RFP, the intake coordinator will first check with staff to determine NCDI's internal capacity to implement the contract. If NCDI needs additional capacity to manage the contract, OS will work with ET to identify an appropriate team from the NCDI Consultant Group. The written proposal/TA plan will be developed by a member of OS, or a team made up of the appropriate NCDI senior staff and/or NCDI consultant(s).

If OS decides not to respond to an RFP, the opportunity will be emailed to the NCDI Network list in three business days.
4. He/she shares information about NCDI, providing an overview of NCDI's mission, role and approach to consulting. If appropriate he/she sends the potential client an NCDI information packet. OPS will maintain a standard information packet that can be sent to potential clients on request.

## 7.2 Pre-contract Phase

### ◆ Routine Contracts

1. Based on analysis of Intake Form, the OS Team:
  - a. Gathers adequate information as needed.
  - b. Identifies project team.
  - c. Drafts preliminary contract information and summary of TA needs. *(See Attachment 11, NCDI Standard Elements of a Technical Assistance Plan)*
  - d. If required, schedules and coordinates field visit.
2. The written proposal/TA plan will be developed by a staff member of OS, or a team made up of the appropriate NCDI senior staff and/or NCDI consultant(s). Every proposal/ TA Plan must be reviewed, edited, and approved by at least two NCDI senior staff members.
3. NCDI Lead contacts the client organization to finalize scope of work and TA Plan. He/She will provide a summary of the agreed upon Scope of Work and TA Plan within 48 hours of contact with client.
4. OS will negotiate the final contract with the client and all consultants hired to assist with the work. *(See Attachment 12, NCDI Standard Consultant Contract)*
5. NCDI and client organization will sign NCDI Agreement for Services. *(See Attachment 13, Standard Agreement for Services between NCDI and Client Organizations)*

### ◆ Major Projects

1. Based on analysis of Intake Form, OS:
  - a. Gathers adequate information as needed.
  - b. Identifies project team.
  - c. Drafts preliminary contract information and summary of TA needs.
  - d. Schedules and coordinates a field visit.
2. The written proposal/TA Plan will be developed by a member of OS, or team made up of the appropriate NCDI senior staff and/or NCDI consultant(s). Provisions are made to include a comprehensive organizational needs assessment. Every proposal is reviewed, edited, and approved by at least two other NCDI senior staff.

3. Project Team Lead conducts a site visit to do a broad organizational assessment, to agree on the Scope of Work for the project and to begin to draft a Technical Assistance Plan with the Site Coordinator/Team.
4. Within three business days after the site visit, the NCDI Lead or Project Manager prepares a draft Scope of Work for review and finalization by OS. He/she completes the “contract portion” of the intake form, and submits it to OS.
5. The NCDI Lead or a member of OS transmits the draft Scope of Work to the potential client for review and feedback.
6. OS negotiates a final contract with the client and NCDI consultant(s) identified to be part of the resource team.
7. NCDI and client organization sign NCDI Agreement for Services.

### **7.3 NCDI Contract Implementation**

1. Every contract and/or terms of engagement letter identifies:
  - ◆ The NCDI Consultant Team and Lead Consultant
  - ◆ Project Manager if different
  - ◆ Scope of Work and overall timetable
  - ◆ Deliverables
  - ◆ Client Responsibilities
  - ◆ Reporting requirements (midterm, monthly, end of engagement)
  - ◆ Project costs and payment schedule
2. **Routine Contracts:** Once the contract has been signed, the NCDI Lead and/or NCDI Consultants provide technical assistance in accordance with the approved scope of work.
3. **Major Contracts/Projects:**
  - a. NCDI Lead and/or Project Manager will conduct site visit with the client organization in order to finalize the TA Plan and contract.
  - b. After the site visit, the NCDI Lead or Project Manager will prepare an information packet that will be sent to the organization for review and feedback. It will include the following:
    - ◆ Revised TA Plan
    - ◆ Revised draft agenda and timetable for other activities
    - ◆ Reference materials (if applicable)

- c. After approval from the client organization, the agreed-upon TA Plan becomes an addendum to the signed contract.
- d. The NCDI Lead, NCDI Consultant(s) and/or Program Associate(s) provide technical assistance services in accordance with the approved Scope of Work and timetable.

#### **7.4 Contract Management**

1. The OS Team develops the final TA Plan which includes the contract and scope of work and forwards a copy to the client for signing and to OPS.
2. The OS Team then develops contracts and Scopes of Work for the NCDI Consultant Group members that are partnering on the contract. The signed copies of the contracts are forwarded to OS and OPS.
3. OPS transfers information from the TA Plan to input deadline dates into a master payment schedule, and OS inputs deadline dates into a master contract calendar. An automated tickler system will be created to notify OS when report deadlines are approaching and to notify OPS when payment deadlines are due to be invoiced.

#### **7.5 Contract Monitoring: Communication and Reporting Protocols**

1. **Short-Term Engagement:** The Lead TA Provider will complete a **Summary of Consultant Engagement** within 7 days of completing work. (*See Attachment 14*). It should be sent to the NCDI Manager.
2. **Major Project or Contract:** When a TA engagement involves more than one meeting, and extends longer than 30 days, the NCDI Lead initiates regular phone-calls with the client organizations to check-in and identify any potential issues or concerns. Brief reports must be submitted to the NCDI Manager and to OS. (*See Attachment 15, NCDI Monthly Technical Assistance Report; and Attachment 16, NCDI Quarterly Technical Assistance Report*)
3. **Field Visits:** Field reports are prepared after every site visit and submitted to the NCDI Manager and OS within 5 business days of the visit. (*See Attachment 17, NCDI Standard Field Report Format*)
4. The NCDI Lead (or designee) gives feedback on the report within 5 business days of receiving the report.
5. The NCDI Lead or OS provides regular (monthly or quarterly) written updates to the client organization, based on the TARS.



6. Every 6 months, NCDI conducts on-site meeting with leadership from client organization to assess progress on the TA Plan, and to develop contingency plans when necessary.
7. OS will maintain an updated list of current NCDI contract and pending relationships.

## **7.6 Quality Control: Contract Evaluations and Follow-up**

1. Immediately upon completing the services with the client organization, the consultant completes an **NCDI Summary of Consultant Engagement Form** (*See Attachment 14*).
2. Six – eight weeks after completing the terms of engagement, the client is asked to complete one of the **NCDI Consulting Services Evaluation Forms**, depending on the nature of the contract work (*See Attachment 18; and Attachment 19*). Follow-up calls are made to the Site Coordinator by a member of the OS Team if the completed evaluation is not received within 2 weeks. Evaluations are submitted to the NCDI Office of the President.
3. Six months after completing the terms of engagement, the NCDI Lead calls an organizational representative to conduct an informal check-in.
4. Once a year, an outside evaluator familiar with NCDI's values and approach will be hired to conduct random interviews with both client organizations and consultants, asking questions related to NCDI's services. This evaluation will help identify patterns, trends, strengths of NCDI's services and areas needing improvement.

## **8.0 BILLING PROTOCOLS**

### **8.1 Client Organizations**

1. In general, client organizations are expected to pay NCDI 1/3 of the project budget upon signing the NCDI Agreement for Services. The remainder is billed at intervals specified in the contract. (*See Attachment 21, NCDI Client Billing Form*) Client organizations are expected to pay invoices within 30 days of billing.
2. NCDI Consultants keep a record of days, or fractions thereof, worked on a contract. NCDI shall submit invoices monthly or upon completion of each phase as specified in the signed agreement. Invoices are payable upon receipt.
3. OPS creates a tickler system that sends email reminders to OPS and OS staff when contract deliverables and invoices are due.

4. OS sends OPS an invoice summary report grouped by project. This provides the information necessary for OPS to generate its monthly client billing.
5. OPS will provide the following to OS:
  - Monthly client invoices
  - Monthly client invoice summary
  - Monthly NCDI Consultant payment report
  - Monthly contract income report
6. OS will provide the following to OPS:
  - NCDI Consultant Invoice approval
  - Client contracts
  - NCDI Consultant contracts

## 8.2 Consultants

1. Consultant agrees to keep the following on file, and up-to-date with NCDI:
  - a. Social Security number or Employer Identification number, current address, phone number, fax number, and e-mail address.
  - b. W-9 Form
  - c. 1-2 page resume
  - d. List of client references (upon request)
  - e. Network membership form
2. Consultants are responsible for providing the following documentation to NCDI:

### **Project Set-Up**

1. Signed contract with scope of work
2. Technical assistance plan

### **Field Work**

1. Copy of materials used during work with client organization
2. NCDI Standard Field Report (*See Attachment 17*)
3. NCDI Travel Reimbursements and Related Expenses Form (*See Attachment 20*)
4. During engagements that extend more than 30 days, consultants may be required to provide monthly/quarterly/other updates/field reports

### **Post-Field Work**

1. Summary of Consultant Engagement (*See Attachment 15, NCDI Monthly Technical Assistance Report Form and Attachment 16, NCDI Quarterly Technical Assistance Report Form*)



3. NCDI reserves the right to withhold payment until all reports have been submitted.
4. Consultants must seek approval for reimbursement from their NCDI Contract Manager in advance of incurring contract-related expenses. NCDI will reimburse consultants according to the NCDI Compensation Rates and Reimbursement Policies. *(See Attachment 9)*
5. All regular consultant work based on an hourly rate should be billed in quarter-hour increments.
6. All invoices are presented for payment to their NCDI Contract Manager, who is responsible for reviewing and approving, and then forwarding to OPS for payment.
7. Consultant submits an invoice for professional services rendered each calendar month. (i.e. January 1 – 31, 2002). He /she must use the **NCDI Invoice for Consulting Services Form**. *(See Attachment 22)* All invoices to NCDI are due on the fifth business day of the following month (e.g. February 5, 2002 for work completed in January 2002). Invoices received by the 5<sup>th</sup> of the month will be paid within 15 days of receipt by NCDI. Invoices are sent to:

Name of contract manager  
National Community Development Institute  
1814 Franklin Street, Suite 720  
Oakland, CA 94612

8. OPS will generate a summary of payments and receivables for the consultant and project files.

## **9.0 FILING SYSTEMS**

Multiple filing systems maintain records for tracking financial activity, project information, and NCDI consultant information. Filing is centrally managed by OPS staff members. The three filing systems track the following information:

### **9.1 Finance Records**

- a. Accounts receivable are tracked in project files that match client payments with the contract on file.
- b. Accounts payables are tracked in consultant files that match payments with invoices received.

## **9.2 Client Organization Files**

- a. Request for proposals, original proposal submitted, TA Plan with Scope of Work and contract.
- b. Deliverables: field reports, monthly reports, summary consulting engagements.
- c. Financial reports, summary of receivables and payables related to a particular project.
- d. Correspondence between NCDI and the client.

## **9.3 NCDI Consultant Files**

- a. Resume, bio, W9 form
- b. NCDI contracts
- c. Deliverables: field reports, monthly reports, final reports.
- d. Correspondence between NCDI and the consultant, correspondence between the client and consultant.

## **10.0 REVISIONS TO OS MANUAL**

The Organizational Services Team works closely with the Office of the President, the Operations Team and other NCDI staff to maintain policies and protocols that support NCDI'S commitment to provide outstanding, client-centered consulting and technical assistance services. Changes, additions, and deletions to the OS manual are tracked by the OS Team and maintained in a log.

Suggestions for changes to any of the policies, protocols, and forms found in the OS Manual can be made by sending written suggestions to the Director of OS.