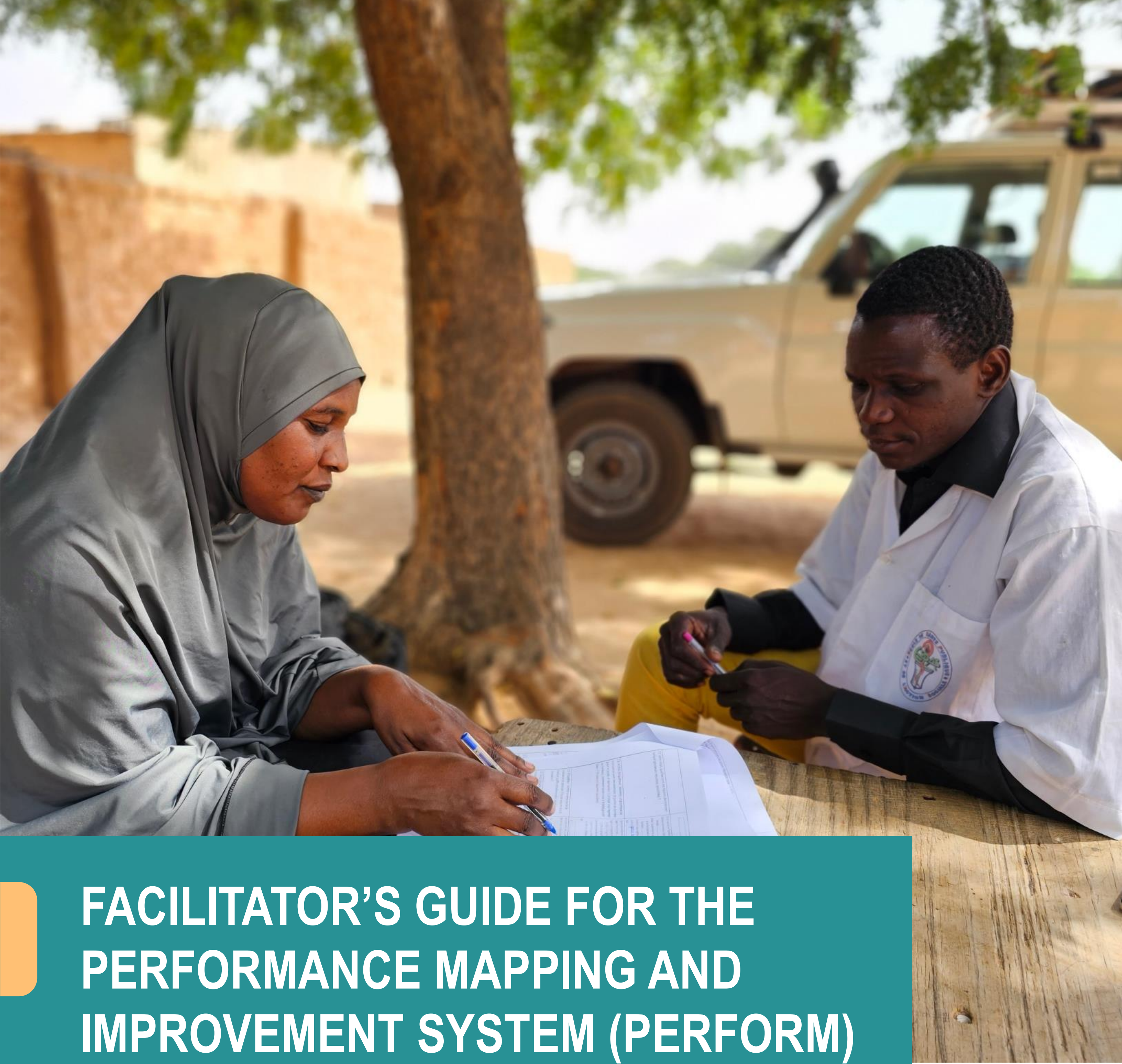

FACILITATOR'S GUIDE FOR THE PERFORMANCE MAPPING AND IMPROVEMENT SYSTEM (PERFORM)

A Partner-Led, Systems-Oriented System for Organizational Performance Improvement

MOMENTUM KNOWLEDGE ACCELERATOR

USAID FROM THE AMERICAN PEOPLE

MOMENTUM A Global Partnership for Health and Resilience

AUGUST 2024

MOMENTUM works alongside governments, local and international private and civil society organizations, and other stakeholders to accelerate improvements in maternal, newborn, and child health services. Building on existing evidence and experience implementing global health programs and interventions, we help foster new ideas, partnerships, and approaches and strengthen the resiliency of health systems.

MOMENTUM Knowledge Accelerator is funded by the U.S. Agency for International Development (USAID) as part of the MOMENTUM suite of awards and implemented by Population Reference Bureau (PRB) with partners JSI Research and Training Institute, Inc. (JSI) and Ariadne Labs under USAID cooperative agreement #7200AA20CA00003. For more about MOMENTUM, visit www.usaidmomentum.org. The contents of this guide are the sole responsibility of PRB and do not necessarily reflect the views of USAID or the United States Government.

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ACKNOWLEDGMENTS

MOMENTUM Knowledge Accelerator is one of a suite of USAID projects under MOMENTUM designed to increase the capacity of institutions and organizations in partner countries to introduce, deliver, scale up, and sustain the use of evidence-based, high-quality maternal, newborn, and child health, voluntary family planning, and reproductive health (MNCH/FP/RH) services. The project coordinates across all MOMENTUM awards by harmonizing data collection and analysis, prioritizing and synthesizing learning, and catalyzing accelerated change through knowledge management and strategic communications. The project shares with decision-makers in the United States and implementers and communities worldwide the collective story of how MOMENTUM and its partners have reduced maternal, newborn, and child death and disability. MOMENTUM Knowledge Accelerator plays a unique role, coordinating the systematic collection, analysis, synthesis, translation, and sharing of data and learning across MOMENTUM awards to improve MNCH/FP/RH programs. This includes collaborating with all MOMENTUM awards to improve harmonized metrics and tell the collective story of MOMENTUM's impact on MNCH/FP/RH outcomes at the global and country levels.

The Performance Mapping and Improvement System *(*PERFORM) facilitator's guide was developed by Meg Kinghorn and Beryl Levinger, consultants to MOMENTUM Knowledge Accelerator as part of an activity managed by Soumya Alva from MOMENTUM Knowledge Accelerator/JSI. Development of the templates was led by Beryl Levinger. This guide benefited from two pilots of the Capacity Mapping System (CMS) (an earlier name for the PERFORM system) in South Sudan in August 2022 and of PERFORM by Catholic Relief Services in Indonesia; a content validity test, virtual training of potential facilitators, webinars and presentations on the CMS, and feedback on draft versions of this guide. We would like to thank Soumya Alva for her extensive review, and the many reviewers for their thoughtful comments on the various documents related to CMS and PERFORM that helped develop this guide.

ABBREVIATIONS

CMS	Capacity Mapping System
CSO	civil society organization
MNCH/FP/RH	maternal, newborn, and child health, voluntary family planning, and reproductive health
NGO	nongovernmental organization
OCA	organizational capacity assessment
USAID	U.S. Agency for International Development

GLOSSARY

Absorptive capacity	The ability to minimize exposure and sensitivity to shocks and stresses through preventative measures and appropriate coping strategies to avoid permanent, negative impacts.
Adaptive capacity	The capacity to make intentional, incremental adjustments in anticipation of or in response to change, in ways that create more flexibility in the future.
Behaviors	Organizational practices that demonstrate established knowledge, skills, and values.
Capacity	The attributes that enable an organization to perform and add value to those it serves in conditions of high complexity.
Capacity 2.0	An updated understanding of organizational strength that uses nonlinear approaches, networking and strategic partnering, shared ownership, experimentation, feedback, and data-driven decision-making to improve an organization' fit within its local system.
Performance domains	Five key capacities that work together to create the conditions necessary to achieve an organization's performance improvement goal(s).
Complexity	Situations with multiple interacting elements or influences, resulting in limited expertise and agreement on what needs to be done.
Localization	The process of strengthening local institutions' capacity to effectively lead local development.
Locally led development	The process in which local actors set their own agendas; develop solutions; and bring the capacity, leadership, and resources to make those solutions a reality.
Organizational performance	The joint effectiveness of processes, functions, and activities that creates the conditions necessary to achieve development results.
Performance	The adequacy of behaviors and processes—individual and joint—to achieve an intended result.
Performance drivers	Performance drivers shed light on the "whys" of organizational performance in each area of practice. For PERFORM, the performance drivers are knowledge or skills, resources, external relationships, supportive leadership, and norms or culture.
Performance goal	This is the high-order change needed to achieve an organization's mission or service delivery goals. The capacity map is created in relation to this goal or goals.
Performance improvement	Changes in an organization's behaviors or practices that enable it to work with greater efficiency or effectiveness.
Performance rating	In a performance mapping, each statement is rated according to the extent to which the organization demonstrates the practice and meets the criteria in the statement, i.e., as a *strength* accurately describe us, *asset* somewhat describe us, and *challenge* does not describe us.

Practice statements	Observable organizational processes, functions, and activities that illustrate the performance domains. Practices are written in the form of behavior statements that demonstrate critical knowledge, skills, and/or values. Practice statements include qualifiers that establish clear criteria for the performance of the practice. An example would be "*Regularly communicates with stakeholders about organizational achievements and challenges."*
Resilience	The ability of people, households, communities, systems, and countries to mitigate, adapt to, and recover from shocks and stresses, in a manner that reduces acute and chronic vulnerabilities and facilitates equitable health outcomes.
Result	Higher order change related to achievement of organizational mission or project goals.
Stakeholders	The individuals, groups, or organizations that interact with and/or are affected by a project or intervention. This includes clients, implementers, community members, and partners, as well as other actors operating in the same context or system. In some instances, stakeholders may include project staff in addition to external stakeholders.
Sustainability	The ability of local systems to produce desired outcomes over time.
System	The interconnected sets of actors (e.g., governments, civil society, the private sector, universities, individual citizens) who jointly produce a development outcome.
Systems thinking	An approach to problem-solving that views "problems" as part of a wider, dynamic system.
Transformative capacity	The ability of a system (inclusive of physical and human dimensions) to reconfigure and move towards a new and more sustainable state.[1]
Urgency index	A rating that is used to sort the mapping results for each practice according to its performance and priority rating. This index is calculated automatically in the PERFORM Microsoft Excel data template.

[1] Wolfram, M. (2016). Conceptualizing urban transformative capacity: A framework for research and policy. *Cities,* 51: 121–130. https://doi.org/10.1016/j.cities.2015.11.011

PERFORM QUICK REFERENCE GUIDE

Performance Domain

Practice Statements

Performance Domain	Practice Statements	Priority Rating	Performance Rating	Urgency Index	Performance Drivers				
					Res	Rel	SL	K/S	N/C
Produces Sustainable Results	6. *Consistently* offers services that reflect user needs and preferences								
	7. Routinely works with stakeholders to create a strategy for sustaining results when external support ends								
	8. *Periodically* assesses current practices against quality standards								
	9. *Regularly* works with local communities to build upon their assets and ideas								
	10. *Consistently* promotes sol … oot causes for … ment challenges								

Priority Rating

Performance Rating

Urgency Index

Performance Drivers

Driver Rating

Key Terms

Priority Rating	Performance Rating	Urgency Index	Performance Drivers	Driver Rating
High: Critical to success *at this time* **Medium**: Important but not critical *at this time* **Low**: Not important *at this time*	**Strength**: This statement very accurately describes us **Asset**: This statement somewhat accurately describes us **Challenge**: This statement is far removed from what we do	see matrix below	Res: Resources Rel: External relationships SL: Supportive leadership K/S: Knowledge or skills N/C: Norms or culture	Driver is: 3: *Fully adequate to support strong performance* 2: *Partially adequate to support strong performance* 1: *Inadequate to support strong performance*

Urgency Index

Priority Rating	Challenge	Asset	Strength
High	URGENT	URGENT	OPTIONAL
Med	URGENT	OPTIONAL	NOT NEEDED NOW
Low	OPTIONAL	NOT NEEDED NOW	NOT NEEDED NOW

Performance Rating

BACKGROUND

About the Performance Mapping and Improvement System (PERFORM)

The Performance Mapping and Improvement System (PERFORM) is a suite of evidence-based, systems-oriented organizational performance improvement tools and processes designed to help partner organizations set and achieve their performance goals as part of a localization strategy. PERFORM is also a measurement system to monitor the degree to which an organization is achieving excellence in its capacity strengthening efforts over time. It is designed to place organizational priorities, constraints, and context in the center of a performance mapping process that will result in both a more accurate understanding of what drives the organization's performance and greater ownership of their 100-day performance improvement plans. Therefore, PERFORM offers a new way of thinking an a unique perspective on facilitating change by addressing the underlying factors that either help or hinder performance, focusing efforts to make sustainable improvements.

The PERFORM suite is based on *Organizational Capacity: An Enhanced Framework*[2] which proposed a new framework based on a limited set of key observable behaviors and practices that drive organizational performance rather than on the documents and structures often used to assess organizational capacity. MOMENTUM Knowledge Accelerator supported the development of the PERFORM User Guide as a tool to operationalize this new framework and overcome the limitations of existing organizational capacity assessment (OCA) tools. These limitations include:

- A focus on organizational capacity rather than performance, a focus of USAID's Local Capacity Development Policy[3] and USAID indicator CBLD-9.[4]
- Insufficient consideration of the absorptive, transformative, and adaptive capacities that lead to organizational resilience.
- Biases that can result from participatory self-assessment processes.
- Inadequate learning related to *what* capacity scores obtained mean and *how* results may be used for improvement.

How Does PERFORM Support USAID's Locally Led Development Policy?

PERFORM is closely aligned with USAID's strategic approach to locally led development, which entails empowering local actors to take the lead in their development journey. "Taking the lead" means that local actors set their own agendas, define their priority performance goals, and devise contextually relevant solutions while mobilizing, in partnership with others, needed resources to bring their solutions to fruition. These resources include committed leadership, critical performance capacities, and strong partnerships—all of which are addressed throughout the PERFORM process.

Resting upon a foundation of self-determination, sustainable results, agility, learning and adaptation, and attracting and sustaining support, PERFORM mirrors USAID's localization principles. It places local organizations in the driver's seat and provides a robust framework—beginning with goal-setting—that organizations can use to "live" the principles of locally led development while fostering change processes that are sustainable, resilient, and responsive to the unique needs and contexts of local communities.

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[2] Kinghorn, Meg and Beryl Levinger, B. (2021). *Organizational capacity: An enhanced framework*. MOMENTUM Knowledge Accelerator. https://usaidmomentum.org/resource/organizational-capacity-an-enhanced-framework/

[3] https://www.usaid.gov/policy/local-capacity-strengthening

[4] https://www.usaid.gov/npi/capacity-building-indicator-resources

During the 2023 CORE Group-sponsored webinar, "Making the 'Local' Work in Localization," panelists argued that measures of success should be localized, with local organizations engaged in defining the problem, the solution, and measures of success. PERFORM, as an integrated performance mapping, change planning, and evidence-based monitoring system, fully supports this recommendation. Accordingly, PERFORM has the potential to become a major tool for translating the aspirations that undergird USAID's locally led development policy into concrete practice.

Who Should Use This Guide?

This guide provides facilitation guidance for the PERFORM suite of tools described in the PERFORM User Guide. It has been written to support the PERFORM Core Team responsible for carrying out the performance mapping improvement and monitoring of the organization being assessed so they can use the PERFORM suite of tools to enhance their organizational performance. The instructions and templates are designed as guidance only. Users are encouraged to adapt the tools and process to best suit their needs and context.

This guide can be used by a member of the PERFORM Core Team designated to facilitate the process for other team members to map and monitor their progress. The guide may also be of interest to donors and implementing partners who support partner organization capacity strengthening. Occasionally, such organizations may, upon request, provide PERFORM facilitation support, particularly during the initial mapping process.

HOW TO USE THIS GUIDE

This guide is broken into chapters that move from background to implementation. Chapter 1 provides an overview of PERFORM and what distinguishes it from other capacity assessment tools. Chapter 2 offers guidance on how to co-design the PERFORM process in collaboration with organizational leadership; this entails establishing three teams that interact throughout the PERFORM process. The next three chapters contain detailed facilitation instructions for leading a PERFORM process: Chapter 3 for the PERFORM preparation phase, Chapter 4 for the PERFORM mapping phase, and Chapter 5 for the PERFORM performance improvement phase. Finally, the annexes include the PERFORM templates needed for data gathering in Microsoft Word format (Annex 1). Annex 1 also provides information on the various teams of individuals engaged in the PERFORM process. Microsoft Excel and Word versions of these templates, which provide real-time data calculation for the users, are also available on the PERFORM webpage. Annex 2 provides more details on the performance domains and practice statements and Annex 3 is a guide to facilitate the mapping and analysis tasks.

CHAPTER 1: INTRODUCTION TO PERFORM

The Performance Mapping and Improvement System (PERFORM) is a systems-oriented suite of tools and processes designed to support partner organizations in reflecting upon, setting, and achieving their performance improvement goals. After an initial mapping of organizational capacity within the PERFORM framework, the PERFORM Core Team (see Annex 1) enters an iterative cycle of experimentation and learning to improve their performance. The performance improvement plan they design is based on analysis of the underlying drivers of their performance. Through iterative cycles of progress monitoring, reflection, and making timely adjustments to plans, staff learns what works and how to recognize high performance.

PERFORM not only creates a map of organizational strengths and challenges, but also facilitates discussion of the underlying factors that help or hinder performance. With this deeper understanding, partners and their supporters are better able to formulate capacity strengthening plans that lead to sustainable improvements.

This chapter gives an overview of PERFORM, the process, and its components. Box 1 presents a list of the tools and templates for use in the different PERFORM phases. Detailed instructions for facilitating each phase are provided in later chapters.

Box 1: PERFORM Templates
(found in Annex 1)

PREPARATION PHASE

- Description of Organizational Vision
- PERFORM Team Role Descriptions
- Customizing PERFORM
- Performance Mapping and Monitoring Framework

MAPPING PHASE

- Mapping Worksheet
- Driver Scoresheet

PERFORMANCE IMPROVEMENT PHASE

- Evidence Summary Grid
- Evidence Quality Review Scoresheet
- Progress Monitoring Template
- 100-Day Performance Improvement Plan

The PERFORM Framework

PERFORM uses an enhanced organizational framework that differs from those commonly used in capacity assessment tools. Based on *Organizational Capacity: An Enhanced Framework's* comparative study of popular organizational frameworks and the evolution of capacity development thinking in recent years, the PERFORM framework considers capacity from a functional perspective. Rather than focusing on documents and structures, the PERFORM framework focuses on a limited set of observable behaviors and practices known to drive organizational performance. Additionally, the new framework expands beyond the traditional organizational development paradigm to reflect performance, resilience, sustainability, adaptive learning, and systems thinking capabilities.

Specifically, the PERFORM framework is made up of five performance domains that work together to create organizational capacity to achieve stated performance goals (Figure 1). These performance domains interact with one another as a system with the strengths or deficits in one affecting others either positively or negatively.

Figure 1: Enhanced Organizational Capacity Framework

Source: Kinghorn, M., & Levinger, L. (2021). Organizational capacity: An enhanced framework. MOMENTUM Knowledge Accelerator. https://usaidmomentum.org/resource/organizational-capacity-an-enhanced-framework/

The five performance domains are:

Foster self-determination: to promote ownership, commitment, confidence, motivation, leadership, and self-direction that catalyzes the other capacities.

Produce sustainable results: to add value for stakeholders and sustain that value over time.

Align systems for agility: to balance flexibility and control to achieve a purpose and cope with cycles of stability, growth, and change.

Learn and adapt: to innovate and modify activities and proactively anticipate change using monitored data.

Attract and sustain support: to establish and manage connections, alliances, and partnerships to enhance reach, impact, and stakeholder legitimacy.

Cutting across the five domains is **resilience:** to mitigate, adapt to, and recover from shocks and stresses and reduce acute vulnerabilities.

Each performance domain is related to five practice statements of behavior that are associated with organizations demonstrating high performance in that area (Table 1). Each statement contains qualifiers that specify what performance would look like for the specific organization.

Table 1: Full Performance Mapping and Monitoring Framework

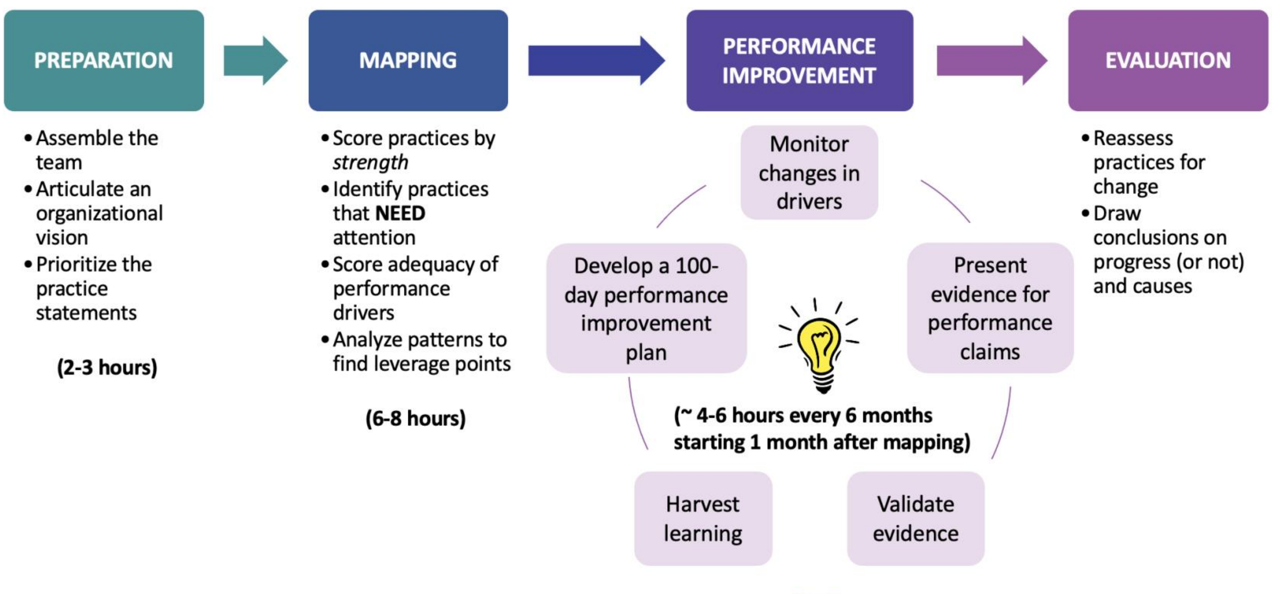
PERFORMANCE DOMAIN	PRACTICE STATEMENTS
Fosters self-determination	✓ *Regularly* communicates a transformative vision of an ideal future *to diverse stakeholder groups.* ✓ *Routinely* takes initiative to mobilize resources as new community needs emerge. ✓ *Routinely* sets aside times for staff, volunteers, and stakeholders to reflect on values and practices. ✓ Consistently *takes steps* that build leadership capacity at all staff levels. ✓ *Periodically* identifies strengths and growth areas as part of an ongoing, self-directed process of capacity development.
Produces sustainable results	✓ *Consistently* offers services that reflect user needs and preferences. ✓ Routinely works with stakeholders to create a strategy for sustaining results when external support ends. ✓ *Periodically* assesses current practices against quality standards. ✓ *Regularly* works with local communities to build upon their assets and ideas. ✓ *Consistently* promotes solutions to address root causes for development challenges.
Aligns systems for agility	✓ *Routinely* tasks cross-functional teams to meet objectives. ✓ Consistently *takes steps to recruit staff members from the local community*. ✓ *Consistently* manages finances so that *stakeholders* receive timely, useful, and accurate information. ✓ Secures *sufficient* support from sources to ensure funding streams are diversified. ✓ Maintains reserve funds to cover at least two months of operational activity.

Learns and adapts	✓ *Routinely* solicits and uses stakeholder feedback to expand impact. ✓ *Regularly* scans for trends relevant to organizational mission and services. ✓ Regularly uses data to monitor project performance. ✓ Meets *regularly* to learn lessons from project successes and failures. ✓ *Routinely* fosters innovations by testing out new ideas.
Attracts and sustains support	✓ *Regularly* communicates with *stakeholders* about organizational achievements/challenges. ✓ Provides stakeholders, *on an ongoing basis,* with *meaningful* opportunities to contribute to the organization's work. ✓ *Actively* participates in multi-stakeholder networks. ✓ *Frequently* shares useful information and valuable resources with peer organizations. ✓ *Frequently* takes joint action with *cross-sectoral actors* to address issues of concern.

The PERFORM Process Roadmap

PERFORM involves four phases over the life of a project or capacity improvement effort (Figure 2). These phases provide a critical, yet light, touch to monitoring changes in organizational performance.

Figure 2: PERFORM Process Roadmap



- **PREPARATION PHASE:** The shortest but most important phase sets the foundations for PERFORM by strengthening trust and ownership for the work ahead. In this initial phase, the organization articulates their performance goal(s) and identifies the individuals who will serve on the three PERFORM teams. This phase introduces the organization to the PERFORM practice statements to prioritize in relation to their importance for achieving their performance goal. This phase should take approximately two-three hours.
- **MAPPING PHASE:** In this phase, the PERFORM Core Team maps their capacity by using the PERFORM mapping worksheet (Annex 1 and the PERFORM Microsoft Excel data template) to score the practice statements and drivers across the performance domains. While scoring, the team should keep its performance goal in mind and how each practice statement links to it. (Note: All 25 practice statements should be mapped during the initial

mapping; subsequent mappings may only focus on domains that are critical to the performance goal.) Once the practice statements and drivers have been scored, the team analyzes the results to uncover underlying patterns that help or hinder performance. The resulting **urgency index** for the practices guides the team to select those practices they wish to improve along with how that improvement can be achieved (by looking at the performance driver rating scores). The initial mapping process takes six to eight hours. Subsequent mappings may take half that time.

- **PERFORMANCE IMPROVEMENT PHASE:** Following the initial mapping, the PERFORM Core Team enters an iterative cycle of experimentation and learning to strengthen organizational performance. Team members create a 100-day performance improvement plan to strengthen the drivers of selected performance areas. Over the course of the 100 working days, the team monitors results. Toward the end of the cycle, the team begins developing a plan for the next 100 days.
- **EVALUATION PHASE:** The final phase in any improvement process is an evaluation, wherein team members identify the progress that was (or wasn't) made and the reasons behind it. In this phase, the organization may decide to do a final PERFORM mapping to compare the results to their baseline. PERFORM does not prescribe specific evaluation tools but encourages users to use the complexity-aware monitoring approaches most familiar to them.[5] This facilitator's guide does not include information on the evaluation phase.

The PERFORM process is expected to be conducted after a gap of a month between each phase. Model agendas and facilitation steps are outlined in the facilitation sections for each phase in Chapters 3–5.

Elements of PERFORM

Organizations using PERFORM apply the framework as the basis of their performance mapping and monitoring activities as outlined in this facilitation guide. The PERFORM tools and templates (see Annex 1 and the PERFORM Microsoft Excel data template help the organization operationalize the framework by analyzing how well these practices compare within their own organization's behaviors. The PERFORM scoresheets capture all this information on one page for each performance domain. (See the PERFORM Quick Reference Guide provided after the glossary.)

The PERFORM system includes the following elements, details of which are provided in later sections of this guide:

ORGANIZATIONAL PERFORMANCE GOAL(S): PERFORM begins with the organization envisioning what it would like to achieve three years into the future. This occurs during the preparation phase. The team then articulates this vision as a statement that describes how the organization would be performing if it had achieved its vision. The performance goal(s) are what makes PERFORM user-centered and reflects the organization's own goals for growth and development. The goals become the *guiding star* that sets the context for PERFORM to follow. An example of an organizational performance goal is: *We have a diversified funding base.*

ORGANIZATIONAL PERFORMANCE MILESTONES: PERFORM helps the organization understand the tangible changes they can expect to see once they achieve their goal. These become the key performance milestones that help the organization measure progress. These indicators may also be used in calculating USAID's CBLD-9 global capacity indicator, if relevant. An example of an organizational milestone is: *We receive revenue from three different sources of funding (e.g., donor grants, a social enterprise, fundraising events).*

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[5] For more on complexity-aware monitoring, see: USAID MOMENTUM. (2020). *A guide to complexity-aware monitoring approaches for MOMENTUM projects.* https://usaidmomentum.org/resource/a-guide-to-complexity-aware-monitoring-approaches-for-momentum-projects/

Priority Rating

High: Critical to success *at this time*

Medium: Important but not critical to success *at this time*

Low: Not important to success *at this time*

PRIORITY RATING: In the second part of the preparation phase, the PERFORM Core Team reviews the framework and assigns each statement a priority rating of high, medium, or low in relation to their organizational performance goal(s). This helps the group prioritize the statements, enabling them to focus on those most important for achieving their goal. This rating also helps in planning actions that will help them make the most progress in their performance.

Performance Rating

Strength: This statement very accurately describes us

Asset: This statement somewhat accurately describes us

Challenge: This statement is far removed from what we do

PERFORMANCE RATING: During the PERFORM mapping phase, the PERFORM facilitator helps the Core Team score each practice statement by the extent to which the organization meets the criteria in the statement. The team discusses each statement to reach consensus: Is it a *strength*, an *asset*, or a *challenge*?

Urgency Index

Priority Rating	Challenge	Asset	Strength
High	URGENT	URGENT	OPTIONAL
Med	URGENT	OPTIONAL	NOT NEEDED NOW
Low	OPTIONAL	NOT NEEDED NOW	NOT NEEDED NOW

Performance Rating

URGENCY INDEX: The combination of the *performance* and *priority ratings* creates the urgency index score for the practice statement. This index facilitates priority setting by shedding light on where capacity strengthening efforts and resources should be directed. (Note that even when a practice statement is scored as a strength, it can still be addressed by PERFORM, because the framework can help the organization continuously improve in the area if it is critical to achieving the performance goal.

Performance Drivers

- Knowledge/skills
- Resources
- Supportive leadership
- External relationships
- Norms or culture

Driver is

⇧ = fully adequate to support strong performance
⇨ = partially adequate to support strong performance
⇩ = inadequate to support strong performance

PERFORMANCE DRIVERS: The last step in the mapping phase is for Core Team members to reflect on the performance drivers that are helping or hindering each practice statement and score them individually. The individual scores are used to generate each driver's modal score (i.e., the most common individual score). Five performance drivers are commonly the most powerful determinants of organizational performance. Analyzing and monitoring changes in the drivers sheds light on the contributors to the organization's performance in each area of practice, thus helping organizations determine where resources should be directed. Analysis of the drivers help overcome the tendency to focus on quick-fix solutions (e.g., training) to address low performance without understanding the root causes of an issue. Similarly, drivers that help strong performance may be identified and put to use in other areas to strengthen low performance.

The quick reference guide provided with the glossary illustrates how the PERFORM mapping worksheet (Annex 1) captures the various ratings for each practice statement on one page per performance domain.

The Three PERFORM Teams

PERFORM is based on the coordinated efforts of three teams, all comprised of organizational staff, each with a unique and important role and varying levels of time commitment. They are as follows:

> **LEADERSHIP TEAM:** Oversees the PERFORM process to ensure it contributes to organizational goals. Illustrative members include the executive director, department heads, and board members. Receives periodic progress reports from the Core Team. Ideal size is three to five people.
>
> **CORE TEAM:** Main team doing the performance mapping and ongoing performance improvement planning and monitoring. Typical members include representatives from both senior and junior staff across all departments. Recommend that the organization's executive director (or equivalent) *not* serve on this team. If the executive director is engaged, (s)he should not be involved in the performance mapping process. Includes members playing the specific roles of facilitator (able to provide objective facilitation to the team) and data manager (able to organize and coordinate data files). While external facilitation is not necessary, a facilitator with deeper knowledge of the PERFORM process is valuable, particularly for the initial mapping and monitoring cycle. Ideal size is five to eight people.
>
> **EVIDENCE VALIDATION PANEL:** Validates evidence of performance improvement collected by the Core Team. Illustrative members include board members, community stakeholders, and senior organizational staff not on the other two teams. Representatives from donors or implementing partner organizations may be included, but this is not encouraged. Ideal size is three to four people.

Table 2 summarizes each team's involvement in each of the PERFORM phases. Annex 1 describes team roles.

Table 2: Team Involvement in PERFORM Phases

	PREPARATION PHASE	MAPPING PHASE	PERFORMANCE IMPROVEMENT PHASE	EVALUATION PHASE
Leadership Team (3–5 people)	✓	*Informed*	*Informed*	✓
Core Team (5–8 people)	*Appointed*	✓	✓	✓
Evidence Review Panel (3–4 people)	*Appointed*		✓	

When Is PERFORM Most Effective?

Table 3 presents examples of the types of organizations that might use PERFORM. These six examples describe typical profiles and are not meant to cover the characteristics of all potential PERFORM users. The applications described are not meant to capture all the ways PERFORM can be used. Rather, the table illustrates that PERFORM can be used to meet the needs of many types of organizations. Nonetheless, the PERFORM user guide and this facilitation guide have been developed to support users from civil society organizations (CSOs) and nongovernmental organizations (NGOs).

Table 3: Illustrative PERFORM Use Cases

ILLUSTRATIVE USER PROFILE	MAPPING PURPOSE *(What does the user hope to accomplish?)*	KEY PERFORM FEATURES *(Especially relevant to the user's purpose)*	PERFORM ACTIVITIES *(Especially relevant to the user's purpose)*	ILLUSTRATIVE OUTCOME OR BENEFITS
Local CSO, newly established, with 8 full-time employees	To establish credibility with key stakeholder groups	Evidence-based process; engagement of external actors in evidence reviews	Including stakeholders (e.g., community or board members) on the Evidence Validation Panel	Organization is better positioned to engage in strategic partnering with peers; enjoys greater social capital and influence
National NGO, established organization with 50 employees	To solve ongoing performance challenges that were internally identified	Urgency index supports priority setting; 100-day planning cycles; diagnostic information on performance drivers	Formulating and tracking a meaningful performance goal	Increased organizational self-confidence; willingness to take on more complex challenges
Well-established, local government unit with 100 employees	To create an organizational learning culture	Excel spreadsheet reports that enable staff to detect patterns; 100-day planning supports experimentation	Discussing, gathering, and scoring evidence	Ongoing refinement of activities
Longstanding, very large national government unit that has received a new resilience-related mandate	To strengthen adaptive management capacity	100-day planning supports pause-and-reflect cycles	100-day plan for monitoring with an emphasis on direction pivots and lean experimentation	Ongoing refinement of activities
International NGO, 8 years old, with 225 full-time employees, mostly local, working in 10 different countries	To meet a requirement imposed by a major funder concerned with organizational efficacy	Focus on performance rather than latent capacity; use of evidence-based monitoring	Gathering performance-related evidence that is reviewed by a panel	A funding stream is protected; other funders may become more willing to support the organization's work
Donor organization that awards $25 million in grants and contracts	To introduce greater performance accountability among grantees	Focus on performance rather than latent capacity; use of evidence	Goal setting; gathering performance-related evidence for panel review; 100-day plan creation/monitoring	Improved organizational performance on results metrics

There are also circumstances where the use of PERFORM is not recommended. These circumstances include organizations that are in crisis or are very young and inexperienced. It is also not advisable to use PERFORM unless senior leadership is fully supportive of all phases of the PERFORM process.

CHAPTER 2: ENGAGING THE ORGANIZATION

Once a decision has been made to use PERFORM to design and monitor a capacity strengthening effort, there are options to be considered that will support the most effective design. These options include the timing, mapping method, and participation within the organization. Decisions about these options must be carefully made with the leadership of the organization. Use the customization template in Annex 1 to record agreements.

Because organizational staff will lead any capacity strengthening efforts, their engagement and commitment is fundamental to an effective and sustainable process. If staff regards PERFORM as externally imposed and not beneficial, engagement in the process will yield minimal returns. Therefore, it is highly recommended that users introduce PERFORM **at least two months** before the initial application to ensure adequate time to review options and set parameters.

Launching the process involves the following preparatory actions:

- **INTRODUCTORY ORIENTATION.** Explain the PERFORM framework, the process, how it differs from other capacity assessments, and how the results will be used. Reach an agreement (in writing or a verbal commitment) confirming the schedule and the necessary staff who need to be available to participate in the review.
- **BUILDING UNDERSTANDING.** Engage in conversation with leadership and staff to strengthen ownership of the process using the following questions:
  - What is your previous experience with capacity assessments or capacity reviews?
  - Based on your experience, what are your concerns about this system?
  - How can PERFORM complement your work and benefit your organization?
  - What adjustments to the framework or process could you make to get maximum benefit from the experience?
  - What ongoing monitoring meetings are already held that could accommodate PERFORM integration (e.g., pause-and-reflect meetings, portfolio reviews)?
  - What current priorities and schedules should be planned around to ensure that timing will not prevent getting the right people in the room?
- **ROLES AND STAFF PARTICIPATION.** Discuss the advantage of staff ownership over the process. PERFORM can be a powerful learning experience for staff as they reflect on their work and attempt to marshal evidence of strong performance. Therefore, decide with the executive director how they might best support and oversee the work of staff on the Core Team as a member of the Leadership Team. *How can they communicate the importance of the process to encourage dynamic engagement? How can they ensure the quality of the planning and monitoring that will lead to better organizational performance?*

Engaging the Right People

DESCRIBE THE THREE TEAMS NEEDED TO IMPLEMENT PERFORM: Review the role description section in Annex 1 and adapt roles to the organization. Do an initial brainstorm of who might be a good fit for each team.

CONSIDER WHO SHOULD ATTEND THE PREPARATION MEETING: If appropriate and logistically feasible, this meeting could be open to all staff so that they understand the system and are involved in its design, even if they are not on one of the PERFORM teams. If this is not feasible (which may often be the case in large or dispersed organizations), be sure to engage people across different departments and at different levels of the organization (i.e., cross-functional and cross-hierarchical). In practical terms, this means including people with knowledge of the organization's programs, finances, resource generation, management, and governance.

Determining the Timing of Phases

Following an explanation of the PERFORM phases, work together to come up with a schedule that best fits the organization's current demands and ongoing activities. How soon will the preparation phase be held? When could mapping best take place? For what duration should the planning and progress monitoring cycles be set? (The PERFORM prototype is 100 working days, which equals approximately five or six calendar months. The cycle could also be quarterly or semiannual, depending on the monitoring needs and preferences of the organization.)

Deciding on a Mapping Method

Explore the organization's comfort with technology, particularly Microsoft Excel, to guide their decision regarding the mapping method to use: Microsoft Excel, Microsoft Word templates on flip charts, or a combination of the two. This decision depends upon the organization's technological capabilities and comfort level with each option. If needed, the decision can be made with the organization's leadership to facilitate the process virtually.

Selecting the Best Location

Sessions should take place in a conference room, if there is one large enough to hold all participants comfortably. Ideally, the room will have furniture that can be arranged to accommodate small work groups of three to five team members; movable tables are perfect for such conversations. Walls are useful for hanging flip charts for the sessions, but an easel can be used if wall space isn't available.

Facilitation Tips

When preparing to facilitate a PERFORM session, the facilitator should keep several things in mind:

TONE: Try to keep the discussion conversational. The discussion questions are not intended to be administered as a checklist but to engage the organization's staff in talking to one another and exchanging perspectives. Active engagement builds understanding and problem-solving skills within the team, preparing it to contribute meaningfully to planning and monitoring activities.

FACILITATOR ROLE: When conducting the review, the facilitator assumes the role of coach, not auditor, to build the organization's ownership of their performance goals. Ask thoughtful, open-ended questions; probe incomplete answers; and help participants remember events, accomplishments, and results. Thoughtful facilitation helps participants develop valuable and new perspectives on their work. Keep in mind that the point of the exercise is to discuss the organization's performance as a whole and discover what helps or hinders it. The purpose is not to point fingers or place blame on individual staff.

EQUAL PARTICIPATION: PERFORM sessions are designed to foster deep dialogue, especially among people who may not be in frequent communication with one another. For this reason, the facilitator should take care to ensure that a mix of perspectives is heard. Listen for any perspectives that might be disproportionately voiced or strongly influence the opinions of others, such as those from senior or middle management.

Some Best Practices

- Invite participants to lead a brief energizer when interest and attention are flagging.
- Make sure you have all the needed materials for each planned activity.
- Maintain a parking lot to store issues that warrant further discussion or action after the session.

- Establish ground rules at the beginning of the session.
- Avoid the "blame game" in discussions. Open dialogue, personal reflection, information sharing, and celebration of successes are the building blocks of social capital in capacity strengthening.
- Adapt the session as you go along. For instance, you might change the order in which the performance domains are discussed to reflect energy lulls, scheduling variations, and the inherent difficulty of a topic under discussion.

FACILITATING PERFORM SESSIONS

This section provides step-by-step instructions for facilitating PERFORM sessions with an organization during each phase of the PERFORM system (outlined in Figure 2). Chapters 3–5 provide an overview of the importance and outputs from each phase and suggest model agendas for individual sessions. The enclosed facilitation plans outline each session's objective, required time and materials, and any preparation work or additional considerations. Annexes contain model documents and planning resources.

No two organizations are alike, and therefore the PERFORM process should not be the same for all. The process has been intentionally designed with flexibility and adaptability in mind to meet the organization where it is. Please use and adapt it to suit the specific context and needs of the organization and the facilitators.

One important consideration is that PERFORM represents a fundamental shift from traditional organizational assessments toward an approach that is more "locally driven". While this leads to powerful new thinking patterns and propels the organization to take ownership and control of their own performance improvement process, this shift takes time as new thought patterns emerge. The first time an organization engages in the PERFORM phases may take more time and greater facilitation support than initially estimated.

The PERFORM schedule and timing have been designed to allow for this slower pace. Having a session and then returning for the next phase after a break might facilitate greater absorption and reflection on the work being done. Alternatively, one organization that piloted the PERFORM system found that a continuous 4-day workshop that included all four phases helped build momentum and enthusiasm. Therefore, users should make scheduling choices that will best suit all organizations involved.

CHAPTER 3: PREPARATION PHASE

PURPOSE

This important phase sets up the trust and ownership necessary for the sustainability of performance improvement efforts. It should begin only after reaching agreement with organizational leadership on using PERFORM to strengthen and monitor capacity and outlining the general timing and organization of the process.

TIMING

Ideally, this phase precedes the mapping phase by one month, but the lead time could be as short at one week. The time between the preparation and mapping phases helps participants understand their roles and clear time in their schedules for full participation.

SESSIONS

There are four parts of the preparation phase which the designated facilitator leads:

1. **INTRODUCING PERFORM:** Orienting the organization to the PERFORM purpose, framework, and schedule so that participants may customize the phase to meet their needs.
2. **ENVISIONING THE PERFORMANCE GOAL(S):** Forming a shared understanding of how the mapping process supports the organization's performance priorities. This step aligns the organization's performance aspirations, performance domains, and supporting and practice statements.
3. **FORMING THE PERFORM TEAMS:** PERFORM is driven by the work of three teams. Multiple teams prevent individuals or teams from becoming overburdened. This step clarifies roles and responsibilities of the teams and team members.
4. **CONTEXTUALIZING PERFORM:** One of the benefits of PERFORM is that it can be adapted to fit the needs of the organization. In this step, the organization sets up the mapping and monitoring schedules that integrate and support their work and align with their priorities. This involves refining PERFORM so it closely reflects the organization's context and culture.

MODEL AGENDA

The preparation phase takes approximately three hours to complete. It may be completed in one half day or in shorter sessions, with a meeting for the PERFORM Core Team scheduled for a few days after completion.

CROSS-REPRESENTATION OF ORGANIZATIONAL PERSONNEL *(2 hours)*	**PERFORM CORE TEAM** *(1 hour)*
• Introducing PERFORM • Envisioning the performance goal(s) • Forming PERFORM teams	• Customizing PERFORM

SESSION OVERVIEW

Purpose:
To give an overview of PERFORM and how it differs from other organizational assessment processes

Participants:
Cross-section of staff

Time needed: 30 minutes

Materials:
Pad of blank flip charts

Pens and markers

Flip chart of PERFORM key terms

Flip chart with the PERFORM framework *(will reuse)*

PERFORM framework handout

Notes:
This session orients participants to PERFORM and allows them to ask questions and express concerns about the process.

Session 1: Introducing PERFORM

1. **WELCOME:** Welcome everyone to the session and thank them for taking time from their schedules. If people do not know one another, begin with a round of introductions.

2. **OVERVIEW OF PERFORM:** Explain that PERFORM is a performance strengthening system to help them achieve their organizational goals and improve the quality of their work.

   Ask the group about their experience with organizational capacity assessments. *What have been the benefits and challenges?* Explain that PERFORM is different from an organizational capacity assessment in the following ways:

   - PERFORM is based on *their* organizational goals.
   - The process helps determine the *why* of identifying capacity strengths and gaps to create an effective performance improvement plan.
   - The initial mapping is done once, with the primary focus being on the ensuing *cycles of planning and monitoring* to support experimentation and timely course correction.
   - *Much less time* is needed for PERFORM activities which, ideally, are linked to regular monitoring cycles.
   - *Results reports* are for the organization's benefit and are shared with others at the organization's discretion.

   Invite participants to turn to the person next to them and discuss two questions: 1) *What benefits do you imagine might come from our use of PERFORM?* and 2) *What questions or concerns do you have about what will happen?*

   Ask for people to call out what they perceive the benefits might be. Then ask about their questions and concerns. Recognize that these thoughts are all present. Address the questions/concerns that are voiced. Then, say you will present PERFORM in greater detail.

3. **INTRODUCTION OF THE PERFORM FRAMEWORK AND PROCESS:** Ask the team what processes and systems an organization needs to achieve its mission. Write their responses on a flip chart. (Look for responses like "project management," "financial management," or "fundraising.")

   Distribute a handout with the PERFORM Mapping and Monitoring Framework (see Annex 1) with its five performance domains. *How does it compare to their list? What is similar? What is different? Do they recognize all the domains of the PERFORM framework in their work?*

   Explain that PERFORM has four main phases:

   - **Preparation phase:** Establishes the purpose, people, and processes that will engage in PERFORM for the organization.

- **Mapping phase:** The Core Team takes stock of how they are doing in the performance domains by rating a set of practice statements by performance and priority to determine where to focus. After analyzing the results, the team creates a 100-day Performance Improvement plan to make changes to the situation.
- **Performance improvement phase:** The Core Team monitors changes in performance and presents evidence of changes to a panel for validation. They then update their 100-day plan to continue their progress.
- **Evaluation phase:** The last phase is a final review of progress that has been made toward the performance goal(s) and the reasons behind that progress. For this phase, the team may use familiar evaluation tools and approaches appropriate to capacity strengthening and called for by any project that may have been supporting PERFORM activities.

  Note that this meeting is part of the preparation phase. Respond to any questions about the PERFORM framework or process.

Session 2: Envisioning the Performance Goal(s)

SESSION OVERVIEW

Purpose:
To establish the 1–2 performance goal(s) that will be the “guiding stars” for the PERFORM improvement efforts

Participants:
Cross-section of organizational staff, including leadership

Time needed: 1 hour

Materials:
Pad of blank flip charts

Stack of blank printer paper for notetaking and group work

Pens and markers

Tape

3x5” sticky notes or index cards with tape

Notes:
This session establishes the focus of PERFORM and grounds it firmly in organizational priorities.

The statements that result may provide key performance indicator reporting data for USAID’s CBLD-9 indicator, if relevant to the project.

1. **VISIONS OF THE ORGANIZATION IN THE FUTURE:** Explain that when following any map, we must first be clear on the desirable destination. We need a “guiding star” by which to navigate. As we map their organization’s capacity, they need to be clear about a desired performance goal (or goals) as the destination for PERFORM.

   Ask participants to take a short trip: Imagine that they are three years into the future and see that their hopes for their organization have come true! (Note: The three-year period may be changed to fit the organization’s interests or correspond with the end of the capacity strengthening project, for example. However, more than one year and less than five is advised.) Everything they had hoped for in terms of program work and internal systems has been realized. Take some time to celebrate all that you see by answering the following questions:

   - What do you do on a daily basis? With whom do you most closely work and interact? What do you talk about?
   - What are you most proud to see in the organization?
   - What is the community you serve saying about you?
   - What are your donors saying about you?

   Invite participants to make some notes of their visions to capture their ideas.

   Divide the participants into groups of three to four. Allow 20 minutes for groups to share their individual visions and discover what they have in common. Invite the small groups to develop a short paragraph (two to three sentences) that describes their shared vision for the three-year period. Provide printing paper and a marker for them to write down their statement.

   Post the statements together on a wall or flip chart to compare. *What are the similarities? What are the differences? What does this point to as the group’s ideal future?*

   If the group is small, work with them to bring the separate statements together into one performance goal statement. If it is large, divide them into small groups again to develop a shared vision statement, then help the group select or modify the one that best describes their ideal future, written in the present tense. Help them sharpen the statements, based on the examples provided at the end of this session.

2. **DEVELOP ORGANIZATIONAL MILESTONES:** Ask everyone to imagine, “If this goal came true, what types of things would they be able to see or touch that are different from the situation now?” Answers could include things like a target number of new funding partners, or low staff turnover, or passing a specific certification. Distribute five sticky notes to clusters of three people sitting next to one another. Give them 10 minutes together to write up to five specific things they would like to see that will indicate that they have achieved their goal.

When groups are finished, ask one group for their best idea, and post it on the wall or flip chart. Ask if other groups had similar ideas. Collect them and cluster them together. Ask another group for their best remaining card and post it, collecting similar cards from other groups. Continue rotating through the groups until all cards are collected and posted together in clusters of similar ideas.

Examine the ideas as a large group. Ask which ones the plenary finds the most exciting or interesting? Have them select one or two that they want to use as performance indicators for PERFORM, either through discussion or individual voting with dots or markers. Help them refine the performance indicators to be specific and measurable. (Use the example indicators below as models.)

Record the group's work in the PERFORM preparation phase worksheet in Annex 1 or in the PERFORM Microsoft Excel data template.

PERFORMANCE GOAL AND MILESTONES EXAMPLES:

Performance goal: In three years, we are a recognized regional service provider in the region for HIV testing and screening.

Milestones:

- Certification of meeting Ministry of Health quality standards for regional registration as an HIV/AIDS service provider.
- Four new testing sites established.

Performance goal: In 18 months, we are recognized by the community for taking action on their most pressing needs.

Milestone:

- In the community satisfaction survey, at least 60 percent of respondents rate us as responding to their needs.

Performance goal: In three years, we have a diverse donor base that provides stability to our program operations.

Milestones:

- Project agreements with two new donors with budgets over $50,000.
- Finalized business plan for a health and hygiene product social enterprise store.

Performance goal: In two years, we are a direct implementor of programs for international donors, such as USAID.

Milestones:

- Successful completion of NUPAS certification.
- Submitted a proposal to one USAID solicitation.

SESSION OVERVIEW

Purpose:
To clarify the right people to serve on the 3 PERFORM teams

Participants:
Organizational leadership and a representation of staff

Time needed: 30 minutes

Materials:
Flip chart describing the three teams

Sticky notes

Pens and markers

Team role descriptions handout

Notes:
Prepare the head of the organization in advance to understand that their role is best served on the Leadership Team and not the Core Team.

Session 3: Assembling the PERFORM Teams

1. **INTRODUCE THE FUNCTION OF THE TEAMS.** Say that with an understanding of the PERFORM process and having set the performance goal(s), the next task is to assemble the PERFORM teams. There are three teams, each with a unique and important role but varying levels of time commitment.

   Present the role and function of the three teams, using the PERFORM team role descriptions in Annex 1 as a handout and on a flip chart:

   - **Leadership Team:** Oversees the PERFORM process to ensure it contributes to organizational goals. Illustrative members include the executive director, heads of departments, and board members (optional). Receives periodic progress reports from the Core Team. Ideal size is three to five people.
   - **Core Team:** The primary group doing the performance mapping and ongoing performance improvement planning and monitoring. Typical members include representatives from both senior and junior staff across all departments. It is recommended that the organization's executive director (or equivalent) not serve on this team. If the executive director serves on this time, (s)he should not engage in the actual mapping (to foster the greatest possible candor among mappers). Ideal size is five to eight people who may change over time as the team's needs change.
   - **Evidence Validation Panel:** Validates evidence of performance improvement collected by the Core Team. Illustrative members include board members, community stakeholders, and senior organizational staff not already on another team. Representatives from donors or implementing partner organizations may be included, but this is not encouraged. Ideal size is three to four people.

   Distribute the team role descriptions and allow participants time to read through them. Answer any questions they may have.

2. **ASSIGN MEMBERS TO EACH TEAM:** Ask everyone to take a sticky note and write their name on it. Then have everyone post their note on the flip chart under the team that is most appropriate for them. If they would like to be on more than one team, they may use two notes.

   Review the names under the Leadership Team, ensuring that at least three and no more than five names are listed. Check that organizational senior leadership is included, either from the executive director and/or the senior management team (or equivalent). Make any additions or adjustments as necessary to fill out this team.

   Moving to the Core Team, check to see that there are at least three but no more than eight names listed. Are these people representative of the organization's programmatic and managerial operations? If the executive director is listed, discuss that the best place for them is on the Leadership Team, not the Core Team. Make any additions or adjustments necessary to fill out this team.

Finally, look at the Evidence Validation Panel. Does it reflect people capable of objectively reviewing evidence? Are they familiar with the organization's work but not too closely tied to it? Ensure it does not include members of the Core Team. Make any additions or adjustments necessary to fill out this team.

Look at the composition of the three teams. *Are they composed of the best possible combinations to provide a valuable PERFORM benefit? Who will communicate to the proposed team members and explain their roles to them? When and how will this be done?*

When the group is satisfied, end the session. Record decisions in the PERFORM Microsoft Word template in Annex 1 or the PERFORM Microsoft Excel data template. Both templates are available on the PERFORM webpage.

Session 4: Customizing PERFORM

This session is for the PERFORM Core Team only. It may be conducted on the same day as the previous sessions after a break or rescheduled for another day within a week of the others.

SESSION OVERVIEW

Purpose:
To understand the practice statements contained in the PERFORM framework and prioritize them in alignment with the organization's performance goal(s)

Participants:
Core Team

Time needed: 1 hour

Materials:
PERFORM framework flip chart *(reused)*

PERFORM framework handout

Pens and markers

Notes:
Teams completing the mapping for the first time should score all practices, as modified for their context. Repeat users may remove or add statements based on relevance.

It is important for the facilitator to record the priority ranking scores in the PERFORM Microsoft Excel data template as advanced preparation for the mapping meeting.

1. **INTRODUCE THE PERFORM FRAMEWORK:** Begin the session by saying that the last step in the preparation phase is to determine the best PERFORM tool and schedule that fits the organization and the Core Team.

   Call the team's attention back to the performance goal(s) they set. Also, review the PERFORM framework, using the flip chart from the previous session. Lead a short discussion of what role they see each performance domain playing in achieving the performance goal(s) to understand how the two connect.

   Distribute the PERFORM mapping and monitoring framework. Note that it is organized to reflect the five performance domains. Call their attention to the five practice statements under each domain. These are what we would expect to see if the organization has capacity in that domain–: *capacity in motion.*

   Take an example of one practice statement, e.g., under "Attract and sustain support": "Regularly communicates with stakeholders about organizational achievements and challenges."

   Ask what they notice about the statement. Probe with the following questions:

   - Is it written as a behavior or a static document? (Answer: behavior)
   - How do they define "regularly," which is the standard they are expected to meet for this behavior?
   - *What type of evidence might they expect to see if this practice is taking place?* (Listen for answers such as annual reports, stakeholder meetings, new ways of working with partners.)
   - *Will this evidence be the same for every organization?* (No, it is dependent on what evidence the organization wants to present.)

   One at a time, introduce each domain and read its description. Ask for a volunteer to read the statements aloud. Invite a member of the group to paraphrase the statements to check for understanding. *Are the statements all understood? Do they fit the organization, or are there any required wording changes to fit the context?*

2. **PRIORITIZE THE PRACTICE STATEMENTS:** Once all the statements are agreed upon, ask the team to discuss each statement to determine whether each is rated *high* (*critical to success), medium (important but not critical),* or low (*not important)* to achieving the performance goal(s). Introduce the priority scales by posting and referring to the flip chart.

Priority Rating
High: Critical to success *at this time*
Medium: Important but not critical to success *at this time*
Low: Not important to success *at this time*

Look again at the list. Of the statements, which eight are the *most critical*? Help the group reach agreement and ask everyone to record this priority rating in the handout. Then look to see which eight are the *least important* to achieving the performance goal(s). Help the group reach agreement and ask everyone to record this priority rating in the handout – noting H, M or L for each practice statement

Note that this automatically leaves nine statements that are considered *important* (but not critical). Examine the list again to ensure the group is happy with their ratings. The facilitator should record the corresponding ratings in the PERFORM Microsoft Excel data template: high priority = 1, medium priority = 2 and low priority = 1.

3. **DETERMINE THE PERFORM SCHEDULE:** The last activity is to set up a PERFORM schedule for the mapping and performance improvement phases.

   Select dates for the Core Team to complete the **mapping phase**. The six to eight hours needed can be scheduled for one day, over two consecutive days, or over several partial days but should occur within a one-week period. All Core Team members should attend all sessions. Next, determine how often they will repeat the planning and monitoring cycle through the **performance improvement phase**. PERFORM is designed for a 100-day cycle (about once per quarter, since the 100 days refer only to working days). Discuss if this timing works well for the organization. *Are there organizational processes that would be good to coordinate with, e.g., quarterly portfolio reviews or project pause-and-reflect meetings?* Set up a timeframe that enables PERFORM to contribute to and maximize these other processes.

4. **DECIDE HOW FINDINGS WILL BE SHARED:** PERFORM is designed to place the organization in control of its performance improvement. Therefore, it is up to Core Team members to determine which stakeholders, if any, should receive reports on mapping and monitoring results.

   Lead the team in a brainstorm, asking, "*What people or groups **need** to see the PERFORM progress results?"* Record their ideas on a flip chart. Then decide, as a team, how and when they will distribute PERFORM progress reports. (Be sure that the Leadership Team is included in this distribution.)

5. **RECORD AND REPORT DECISIONS:** The facilitator should collect all the decisions made in this phase and record them in a downloaded version of the PERFORM Microsoft Excel data template. A record of these decisions will be shared with the Leadership Team as the first PERFORM update for leadership concurrence with the core team's plans.

CHAPTER 4: MAPPING PHASE

The mapping phase occurs at the beginning of a PERFORM cycle and again at its completion. This phase sets up the Core Team with the information and plans needed to engage in the performance improvement phase, which is the focus of PERFORM and where progress monitoring occurs. A team could opt to map more frequently, such as annually or biannually, if the effort is long-term. However, frequent mapping is not recommended or needed if the phase is done well.

In this phase, the Core Team scores each of the 25 practices within the performance domains by deciding **by consensus** whether the organization's performance in each practice is a *strength* (high), an *asset* (medium), or a *challenge* (low). The team also assesses whether each of the five drivers promotes or hinders the practice statement. This is accomplished by determining whether each driver *supports strong performance, exerts little influence, or inhibits strong performance* in relation to the practice being scored.

The use of the PERFORM mapping worksheet or the PERFORM Microsoft Excel data template enables the facilitator to rapidly enter this scoring data and generate the capacity map to review with the Core Team. In debriefing the mapping results, the team identifies patterns in performance and links between performance and driver scores. **The mapping session concludes when the team selects the two to five practice statements they would like to target for improvement**.

NOTE: The team will still need to collect evidence to support their performance claims. It is likely that most (if not all) of the required evidence will have been identified during the consensus scoring process. Collecting evidence of performance claims occurs two to four weeks after the initial mapping. During that phase, evidence to support *strength* or *asset* scoring is collected and presented to the Evidence Validation Panel**,** which determines whether the evidence justifies the Core Team's scoring decisions. In some cases, the panel will revise scores to more accurately reflect the presented evidence.

Once scoring is finalized, the Core Team creates its 100-day performance improvement plan to put their ideas into action. After a break of two to four weeks for evidence compilation and review, the team will reconvene to hold its first performance improvement session (outlined in the next chapter).

SESSIONS

The mapping phase has three parts:

Mapping overview: Provides the team with an understanding of the mapping process and scoring scales.

Score the practices for performance strength and drivers: The team considers the 25 practice statements one by one and reaches consensus on a performance rating for each. They then individually score the adequacy of each of the five drivers (knowledge and skills; resources; external relationships; supportive leadership; and norms or culture) in relation to each practice statement. These individual scores are used to derive a modal score for each driver in relation to each of the practice statements.

Analyze results: Present the results of the team's scoring to help them select practices for performance improvement. These decisions will be finalized after the evidence review is completed.

MODEL AGENDA

The mapping phase takes one full day to complete, which can be done in one day or two consecutive half days, as agreed upon between the facilitator and the organization. Each performance domain takes an average of 30 minutes to complete, although the first few will take longer as the team gets used to the process. Keep in mind that some organizations may need to go through the discussion and analysis questions more slowly, since they might be quite new to them. This is particularly true during the first mapping of the practice statements. Therefore, adapt the agenda to the time you believe the participant organization may need. If translation is being used, this will slow down the agenda further.

MORNING OR FIRST SESSION *(3 hours)*	**AFTERNOON OR SECOND SESSION** *(2–3 hours)*
• Mapping startup • Score the practice statements and underlying drivers	• Finish scoring any remaining practice statements • Analyze results

Session 1: Getting Started With Mapping

SESSION OVERVIEW

Purpose:
To understand the PERFORM principles, process, and schedule

Participants:
Core Team

Time needed: 30 minutes

Materials:
PERFORM framework flip chart (*reused*)

Agenda flip chart

Terms handout

Flip chart of scales for priority, performance, and drivers based on the PERFORM mapping worksheet

Notes:
Teams completing the mapping for the first time should score all practices, as modified for their context. Repeat users may remove or add statements based on relevance.

1. **INTRODUCTION:** Start by noting that we are beginning the PERFORM mapping phase. This phase is an opportunity for the team to reflect on their performance in relation to their performance goal(s) to understand what is working and what they can improve.

   Review the agenda flip chart for the day and briefly highlight the activities. Note that by the end of the day, they will have mapped their capacity according to the PERFORM framework and reviewed and analyzed the results. The next meeting will take place in two to four weeks to review the evidence that supports scoring decisions and create a performance improvement plan.

2. **TERMS:** Explain that they will now learn two more PERFORM terms – *performance rating* and *performance drivers*. Post the performance rating flip charts and distribute a handout with the terms relevant for PERFORM mapping (see Annex 1). Review the first three terms they already know: *performance domain* (refer to the PERFORM framework used previously), *practice statement* (behaviors that demonstrate capacity for each performance domain), and *priority rating* (high or critical to success, medium or important but not critical to success, not important to success).

   Introduce the new terms and the scoring scales by referring to the flip charts based on the PERFORM mapping worksheet. "Today, we will score each of the practice statements according to how well you believe the statement reflects our practice or performance. Do you consider this practice to be a *strength, asset*, or *challenge?"*

Performance Rating
Strength: This statement very accurately describes us
Asset: This statement somewhat accurately describes us
Challenge: This statement is far removed from what we do

   Explain that there are five main influences on organizational behavior by presenting those influences or performance drivers on the flip chart. Often capacity strengthening focuses on two drivers – knowledge/ skills and resources. We will go deeper into what drives performance by either supporting strong performance or holding back challenging performance. Note the difference between *supportive leadership* (the system that sets direction, promotes performance, and holds individuals accountable) versus a *leader* (an individual).

   Performance Drivers

   - Knowledge/skills
   - Resources
   - Supportive leadership
   - External relationships
   - Norms or culture

   Driver is
   ↑ = fully adequate to support strong performance
   ⇨ = partially adequate to support strong performance
   ↓ = inadequate to support strong performance

   Respond to questions about the terms. Keep the flip charts posted where they can be seen throughout the day. Lead a short activity to ensure the scales are understood. Ask everyone to rate their personal performance on the following statement: *I always arrive at work on time.* Have them raise their hand if this practice is an: a) *strength*, b) *asset*, or c) *challenge*. Ask those who answered *strength* to identify the drivers behind their strong performance; ask those who answered *challenge* to identify the drivers that hinder them.

SESSION OVERVIEW

Purpose:
To score all 25 practice statements for performance and performance drivers

Participants:
Core Team

Time needed: ~3 hours

Materials:
PERFORM framework flip chart *(reused)*

Scoring flip charts based on the PERFORM mapping worksheet *(reused)*

PERFORM Microsoft Excel data template

Driver scoresheet handout

Evidence summary grid handout

Notes:
Display the Microsoft Excel template, if used for mapping. If cards and charts are used, use the PERFORM tool handouts to read through and score the practice statements.

Remember that evidence for performance scores is collected, but it does not have to be presented in actual form. Within 30 days, the team will meet again to review evidence for validation.

Having a notetaker to record the discussion, particularly the sources of evidence for each performance score, will greatly facilitate evidence activities later in the process.

Session 2: Scoring the Practice Statements

1. **EXPLAIN THE PROCESS:** Explain that you will now begin with the first performance domain and score each practice statement for a) performance rating and b) performance drivers. Performance ratings will be agreed to by consensus, and drivers will be scored individually and confidentially using the driver scoresheet. (Distribute and explain the scoresheet.)

2. **DEVELOP A COMMON UNDERSTANDING OF EACH PRACTICE STATEMENT:** Each statement is scored after approximately 10 minutes of facilitated discussion. To begin, a team member reads the statement aloud and paraphrases it to ensure that the team shares a common understanding. Call attention to the italicized words in the statement, which generally refer to how much, how well, or how often. Ask team members to define the italicized word so that they agree on the standard to which they are holding themselves. For example, in the statement "*Actively* participates in multi-stakeholder networks," what does *actively mean*? Invite participants to paraphrase the practice statement to ensure that there is a common understanding. (If participants need further help understanding the practice statements and their intended meanings, see Annex 2 for simple paraphrases.)

3. **SCORING:** The facilitator then asks: *How would you rate this practice and why?* Note the scoring for each practice statement as a strength, asset or challenge. Facilitate a discussion among team members to reveal the diversity of opinions. **Probe the reasons for strength or asset ratings by asking what evidence they have that this practice describes the organization**. Keep a running list of evidence ideas using the Evidence Summary Grid (Annex 1), which will also be helpful for preparing materials for the Evidence Validation Panel. If differences arise, help the group discuss, with the goal of reaching consensus. When the team reaches consensus, the score is recorded.

   Suggestion: When facilitating consensus on the scores, use the words *strength*, *asset*, or *challenge*, rather than their numerical scores. Only the Microsoft Excel data manager needs to be mindful that a *strength* receives a score of 3, an *asset* 2, and a *challenge* 1.

   If, after significant discussion, the team cannot reach consensus, the score given by the greatest number of team members is used. This score may be revised later once evidence has been gathered.

4. **ASSESS THE STATEMENT FOR PERFORMANCE DRIVERS:** Once a practice has been scored, team members then **individually** score the five performance drivers for each practice statement (using the driver scoresheet) according to whether they believe the driver *supports performance* (mark with a +), *neither supports nor hinders performance* (leave blank), or *blocks performance* (mark with a -) in relation to each practice statement. The individual scoring keeps the results anonymous, which is important to avoid recrimination or blame.

   Specific emphasis is given to the scoring of drivers by each team member based on the performance rating as follows:

- If the practice was determined to be a strength (score of 3), the individual identifies the drivers that significantly support that performance and mark it with a “+”.
- If the practice was determined to be a challenge (score of 1), the individual identifies the drivers that significantly inhibit or hold back that performance and mark it with a “-”.
- If the practice was determined to be an asset (scoring of 2), the individual identifies the drivers that significantly either support or inhibit that performance and mark it with either a “+” or “-”.

5. **BREAK:** Take a 15-minute break before resuming the process for the next performance domain.

   When scoring for all the domains is completed, take a longer break (15–20 minutes) to allow the facilitator (or Microsoft Excel data manager) to collect the driver scoresheets and enter the scores into the “Mapping – scoring” tab of the PERFORM Microsoft Excel data template. Remember to maintain each scorer’s confidentiality.

CALCULATIONS IN MICROSOFT EXCEL

- **Urgency index:** The practice performance rating score mentioned (strength/asset/challenge) above, along with the practice priority rating (high/medium/low) for each practice statement, will automatically generate the urgency index in the “Mapping – scoring” tab of the PERFORM Microsoft Excel data template.
- To calculate the **modal performance driver scores** for the entire team, enter the individual scores into the “Mapping – scoring” tab in the PERFORM Microsoft Excel data template, translating the symbols into numbers (“+” equals 3, blank equals 2, and “-” equals 1).

Driver: Resources	Driver: Relationships	Driver: Leadership Support	Driver: Skills/Knowledge	Driver: Norms
3	3	1	2	1
2	2	1	1	3
3	2	2	2	2
2	3	1	2	1
1	1	2	1	3

For example, if the team scores were 3, 2, 2, 3, 1, replace the contents of the cell - =MODE(enter scores, separated by a comma) with =MODE(3,2,2,3,1). Microsoft Excel will calculate the mode (most frequent score) and interpret it in the scoresheet, assigning the results with the icon and color of the adequacy result. Note: the result of #N/A means there was no one mode for the driver as some scores were equally frequent.

SESSION OVERVIEW

Purpose:

To present the results of the team's scoring and debrief their reaction to it, drawing initial reactions from what they see.

Participants:

Core Team

Time needed: 2 hours

Materials:

Performance goal(s) flip chart

PERFORM framework flip chart

PERFORM Microsoft Excel results

Projection equipment (if possible) for joint viewing of the PERFORM results

Evidence summary grid handout

Sticky notes

Notes:

Prepare the room in advance by posting the performance goal(s) and PERFORM framework flip charts.

Ensure the data entered into the "Mapping—analysis tab" of the PERFORM Excel data template is ready for review with support from the Microsoft Excel data manager for data entry and sorting functions within Microsoft Excel.

Keep notes from the mapping session available to recall evidence sources for each practice statement.

Session 3: Analyzing Results

1. **PRESENTATION OF RESULTS:** Reconvene the team after all the scores have been entered and the urgency index calculated for each statement. Remind them that previously (during the preparation phase), they assigned a priority rating to each statement, and later scored its strength as well as the drivers. All the practice rating, performance rating, and performance driver scores entered, as well as the urgency index scores calculated in the "Mapping – scoring" tab in the PERFORM Microsoft Excel data template, would have transferred automatically to the "Mapping – analysis" tab in the same data template.

   Begin by discussing the **urgency index scores**. Introduce the index by posting a flipchart or picture of the urgency index matrix, shown below. Explain how the urgency index is a cross between each practice statement's priority and performance rating. For example, a statement that is a *high* priority but is a *challenge* needs attention rather *urgently*! Also, for a practice that is a *high* priority and with a high-performance rating (*strength*), the urgency index will be shown with a yellow flag, meaning that additional work in this area *optional*; it is recommended but not required since an organization should always improve on its highest priority practices. Finally, identify a practice that received a strong performance rating but was assigned a low priority score; here, the urgency index is shown with a green flag, meaning that work in this area is *not needed now*.

   Using a data projector or a flip chart, display the data shown on the "Mapping – analysis" tab of the PERFORM Microsoft Excel data template. Note that red flags indicate a high level of urgency ("needs work") in order to help participants understand the urgency concept. The urgency flag for this practice will appear in red. Give an example of a practice that is *high* priority but received a low performance score (*challenge*); the urgency flag for this practice will appear in red implying that there is a need to do work urgently.

Urgency Index

Priority Rating	Challenge	Asset	Strength
High	URGENT	URGENT	OPTIONAL
Med	URGENT	OPTIONAL	NOT NEEDED NOW
Low	OPTIONAL	NOT NEEDED NOW	NOT NEEDED NOW

Performance Rating

Call the team's attention back to the driver scoresheet displayed in the "Mapping – analysis" tab of the PERFORM Microsoft Excel data template. (Display only columns up to the urgency index. (See Figure 3)). Moving through each performance domain, note the urgency index for the statements. Then look at the results overall. Debrief with the following questions:

- Which performance domain has the most red flags? (Hint: Look at the urgency index ratings.) Which domain has the fewest?
- What surprises you about these results? What confirms what you already know?

- What does this mapping tell you about your organization? What insights can you draw?

Figure 3. PERFORM Mapping Phase Driver Scoresheet

Click here to refresh table	Practice Priority.	Practice rating	Urgency	Driver: Resources	Driver: Relationships	Driver: Leadership support	Driver: Skills/ knowledge	Driver: Norms
⊟Attracts & sustains support								
Regularly communicates with stakeholders about organizational achievements and challenges	▼	🔴	⚑🟨	↑	↑	↓	→	↓
Provides stakeholders, on an ongoing basis, with meaningful opportunities to contribute to the organization's work	▼	🔴	⚑🟨	→	→	↓	↓	↑
Actively participates in multi-stakeholder networks	▬	🟢	⚑🟩	↑	→	→	→	→
Frequently shares useful information and valuable resources with peer organizations	▲	🟡	⚑🟥	→	↑	↓	→	↓
Frequently takes joint action with cross-sectoral actors to address issues of common concern	▲	🔴	⚑🟥	↓	↓	→	↓	↑
⊟Aligns systems for agility								
Routinely tasks cross-functional teams to meet objectives	▬	🟢	⚑🟩	→	→	↑	↑	↑
Consistently takes steps to recruit staff members from the local community	▲	🟡	⚑🟥	↑	↑	→	↑	→
Consistently manages finances so that stakeholders receive timely, useful and accurate information.	▼	🟡	⚑🟩	→	→	↓	↑	→
Secures sufficient support from different sources to ensure that funding streams are diversified	▼	🔴	⚑🟨	↓	↓	↑	→	↑
Maintains reserve funds to cover at least two months of operational activity.	▬	🟢	⚑🟩	↑	→	↑	→	→
⊟Fosters self-determination								
Regularly communicates a transformative vision of an ideal future to diverse stakeholder groups	▬	🟡	⚑🟨	↓	↑	→	↓	↓
Routinely takes initiative to mobilize resources as new community needs emerge	▲	🟢	⚑🟨	→	→	→	→	↓
Routinely sets aside times for staff, volunteers, and stakeholders to reflect on values and practices	▬	🟢	⚑🟩	↑	↓	↓	→	→
Consistently demonstrates practices that builds leadership capacity all staff levels	▼	🟢	⚑🟩	→	→	↓	↓	→
Periodically identifies strengths and growth areas as part of an ongoing, self-directed process of capacity developm	▬	🟡	⚑🟨	↓	↓	→	→	↑
⊟Learns & adapts								
Routinely solicits and uses stakeholder feedback to expand impact	▼	🟢	⚑🟩	→	↑	↑	→	→
Regularly scans for trends relevant to organizational mission and services	▬	🟡	⚑🟨	↑	↑	→	→	↓
Regularly uses data to monitor project performance	▲	🔴	⚑🟥	→	↑	↓	↓	↓
Meets regularly to learn lessons from project successes and failures	▬	🟡	⚑🟨	↓	→	→	→	→
Routinely fosters innovations by testing out new ideas	▼	🟢	⚑🟩	↑	→	↓	↑	↑
⊟Produces sustainable results								
Consistently offers services that reflect user needs and preferences	▲	🟡	⚑🟥	→	↓	→	↑	→
Routinely works with stakeholders to create a strategy for sustaining results when external support ends	▬	🟡	⚑🟨	↓	→	↑	→	→
Periodically assesses current practices against quality standards	▲	🔴	⚑🟥	↑	↑	→	→	↓
Regularly works with local communities to build upon their assets and ideas	▬	🟡	⚑🟨	→	→	↓	→	↑
Consistently promotes solution that address root causes for development challenges	▼	🟢	⚑🟩	↓	↓	↓	↓	↑

2. **ANALYZE PERFORMANCE DRIVERS FOR PATTERNS:** Call the team's attention back to the "Mapping – analysis" tab of the PERFORM Microsoft Excel data template. Note that they now see their scoring results for the performance drivers (see Figure 3 above). Remind everyone that in the individual scoring, a ↑ means the driver is fully adequate and supports strong performance, and a ↓ means it inhibits strong performance and is inadequate. → means that it is partially adequate but with opportunities for improvement. Answer any questions they may have about the presentation.

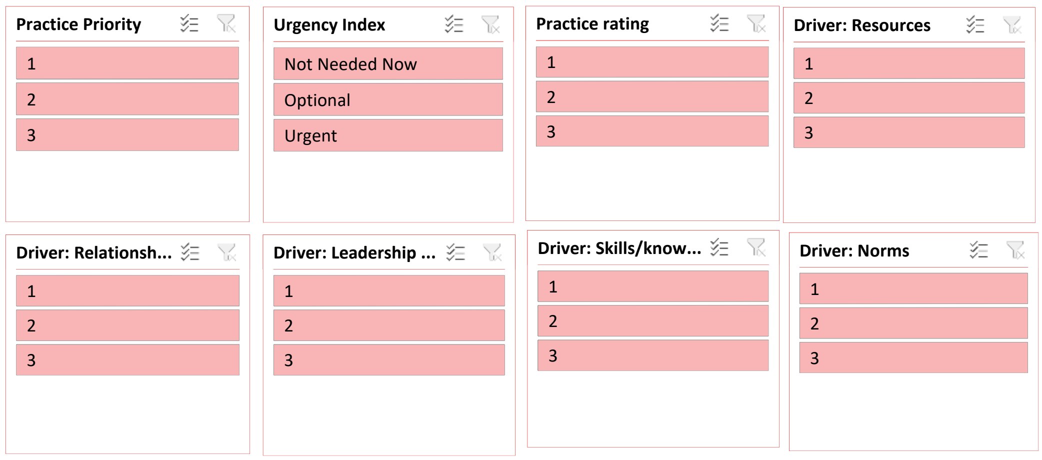
3. **DEBRIEF THESE ADDITIONAL RESULTS:** Invite the team to **analyze the drivers** to find patterns using the following questions:

   - Looking at the rows, which drivers are most likely to explain why we scored low on the practices we NEED to address (those with a red flag urgency index rating)? Which drivers are most likely to explain why we scored especially well on the practices we do NOT need to address (green flag)?
   - Looking down the columns, which drivers are our strongest? How can we build upon these strengths to improve our performance in this area and make progress in reaching our performance goal(s)?
   - Overall, what are our strongest drivers? What did we do to become strong in these areas?
   - For each domain, what are our strongest and weakest drivers? What is there in our history (e.g., past initiatives, investments, or decisions) that helps explain how these strengths and weaknesses evolved?
   - Which drivers, if strengthened, would lead to the greatest improvement in all the other practices and support organizational progress in achieving our performance goal(s)?

4. **USING FILTERS:** Use the results filters to dive more deeply into the results. Instructions for how to use the filters are presented at the top of the "Mapping – analysis" tab of the PERFORM Microsoft Excel data template as well as the Quick Guide to Facilitating the Mapping and Analysis Tasks (Annex 3). Filters give users the ability to rapidly

detect performance patterns and relationships between practice and driver scores by presenting customized views of scoring data. Here are some examples of what filters can do.

- *Display the driver scores only for high priority practice statements.* This view is especially useful when formulating the 100-day performance improvement plan.
- *Display only the highest-scoring drivers.* This view is especially helpful in thinking about why the organization has been able to excel in these drivers. Insights and lessons learned can help inform 100-day plans.
- *Display scores for a selected driver across all practice statements.* This view would help users gain a more holistic view of how a driver is affecting practice across all domains.



- *Display only those practices that received score on two selected drivers.* This view will help users gain insights on how drivers interact to influence specific practices. A more holistic view is likely to generate more thoughtful and comprehensive action plans.

  Hold a discussion and answer questions until the team fully understands their results and has drawn some preliminary conclusions about what they mean.

5. **SELECT PRACTICES FOR PERFORMANCE IMPROVEMENT ATTENTION:** Apply the filters in the "Mapping – analysis" tab of the PERFORM Microsoft Excel data template to rapidly locate practice statements that were identified as high priority (show as an upward-pointing arrow) and those with "red flag" or "yellow flag" urgency ratings. This will help the group focus on a small set of practices and eventually choose the three to five to address.

   In looking at the sorted statements, ask participants to select those they believe would give the organization the greatest lift in reaching its performance goal. They might be practices that most need attention. Alternatively, they might include practices that while only moderately urgent would, if addressed, lead to significant progress toward their performance goal(s). The point is to select the most strategic practices (i.e., those practices that, if strengthened, would offer the greatest lift), not merely those identified as the weakest.

   Identify and record the statements that receive the most attention from the group. Note that this is a preliminary selection that will center their 100-day performance improvement plans. The Evidence Validation Panel will assess this selection once evidence has been collected.

6. **PLAN FOR EVIDENCE COLLECTION AND REVIEW:** Remind them that the next phase is performance improvement, where they will monitor progress in relation to their performance goal(s) and present evidence of the

improvements they claim to be making. This part of the process is what makes PERFORM evidence based and externally verified.

Since we do not yet have a plan to monitor, the first performance improvement phase is a bit different than after each 100-day planning cycle. After the initial mapping, we will take some time to reflect and to collect evidence that supports our performance scores. Then, we will begin formulating a 100-day performance improvement plan. The Evidence Validation Panel's review and scoring adjustments (if needed) should be completed no longer than one month after the initial mapping. At that point, the performance improvement planning process should begin.

Distribute and review the **evidence summary grid** handout (Annex 1) that was used to list supportive evidence for the practice statement and explain that evidence. Explain that supportive evidence can take many forms, including manuals, reports, documents, stakeholder interviews, or surveys, as well as photos from an event or an audio file with stakeholder comments. Think beyond what is normally accepted as evidence to make the process realistic and productive. *What can we show that demonstrates that we are doing what we say we are doing?*

Note: One piece of evidence may be used to support multiple performance claims, so long as it is relevant to each claim. Whenever a piece of evidence is introduced, it must be scored in relation to the practice statement; this means that if a single piece of evidence is presented to support multiple performance claims, it will be scored multiple times.

Anyone on the Core Team can be assigned the task of gathering evidence. However, the process is made easier if the list of possible evidence sources from the mapping phase is used as a starting point. If evidence was not identified during the mapping session, a delegate from the Core Team can work with other team members to gather the necessary evidence.

Ensure the task and evidence collection roles are clear. **Schedule the next meeting to take place within one month.**

7. **WRAP-UP:** Review the work completed in this phase.

- The Core Team mapped their current capacity by scoring the strength of each practice statement and its underlying performance drivers.
- Then, they analyzed the results by looking at the urgency index (a combination of the performance of each statement and its importance/priority in reaching their performance goal).
- This helped them select the practice statement(s) they will focus on to bring about change.
- Last, they looked at the performance drivers for all the practice statements to identify patterns to find leverage points for use in a performance improvement plan.
- Summarize this phase by saying this gives them WHAT practices they will focus on to improve and some clues to WHY they are underperforming in these areas. In the next meeting, we will look at HOW they will make improvements.
- Leave a copy of the work they have finished for the day or be clear on when and how they will receive it.

CHAPTER 5: PERFORMANCE IMPROVEMENT PHASE

The performance improvement phase is the most significant PERFORM step and the one done the most often. This is where the team monitors its capacity strengthening plan, collecting evidence about changes in their performance to understand the effect of changes in performance drivers on performance. Through this iterative process and over the course of its capacity strengthening work, the team develops greater awareness of what drives changes in performance and what inhibits it.

The performance improvement phase ideally begins **one month after the initial mapping phase** and repeats at the conclusion of each 100-day performance improvement plan or at a frequency determined during the team's customization work (refer to the PERFORM preparation phase worksheet in Annex 1 or in the PERFORM Microsoft Excel data template). Performance mapping is typically integrated into the performance improvement phase. However, the first time a team enters into this phase, it will not map here, as mapping was recently completed a month earlier.

→ *If you are facilitating the performance improvement phase for a group that has completed its initial mapping within the past month or so, skip the first step below (Session 1) and resume at "Session 2: Reviewing Evidence of Performance Claims."*

SESSIONS

There are four steps in this phase, which **would be omitted after an initial mapping** (since that mapping was completed no more than a month ago):

1. **IDENTIFY CHANGES IN PERFORMANCE PRACTICE STATEMENTS AND DRIVERS:** Review the selected practices and associated performance drivers for changes, either positive or negative.

2. **COLLECT EVIDENCE OF PERFORMANCE CLAIMS:** The Core Team gathers evidence that can support any practices scored as a 3 (*strength*) or a 2 (*asset*).

3. **EXTERNALLY VALIDATE EVIDENCE:** Evidence gathered for the performance scores is assembled for the Evidence Validation Panel to review and either accept (meaning that the Core Team's score stands) or reject (the Core Team's score will be revised).

4. **DEVELOP A 100-DAY PERFORMANCE IMPROVEMENT PLAN:** PERFORM relies on developing, managing, and monitoring a series of 100-day performance improvement plans (approximately five–six months of working days, assuming 20 working days per month), which can provide the momentum needed to initiate change.

MODEL SCHEDULE

EVIDENCE VALIDATION PANEL	CORE TEAM
• Review evidence of performance claims (2 hours)	• Identify changes in performance (1 hour) • Create or revise a 100-day performance improvement plan (1 hour)

SESSION OVERVIEW

Purpose:

To re-score the practice statements for performance and driver adequacy to identify progress and its effect on the performance drivers. (This phase is omitted following the *initial* mapping activity.)

Participants:

Core Team

Time needed: 1 hour

Materials:

PERFORM Microsoft Excel templates

The practice statements previously selected for improvement filled into the Progress Monitoring template

Driver scoresheet handouts

Projection equipment

Session 1: Monitoring Changes in Practices

1. **MEETING STARTUP:** Welcome everyone to the session. Describe the session as a chance to see the fruits of your capacity strengthening efforts and how it is affecting your performance. We will do this by reviewing the performance improvement plan you made in the last phase and analyzing the performance drivers you prioritized.

2. **REVIEW OF PRACTICE STATEMENTS:** Project or display the sheet in the "Monitoring – Progress scoring" tab in the PERFORM Microsoft Excel data template that has been prepared in advance to reflect the three to five practice statements they previously selected for improvement (see #4 under Mapping Phase Session 3: Analyzing Results). (Note: Statements should be displayed without any previously recorded scores.)

   For each statement or driver, ask one team member to read it aloud and paraphrase it to help the group recall its understanding (see Annex 2 for support in helping the team establish the meaning of each statement). Ask the group to examine the qualifiers and define what they mean in their operational context. For example, in the statement "*Actively* participates in multi-stakeholder networks," what does *active participation* look like for them? If they do not remember the statements or qualifiers, provide support from previous meeting notes.

   Scoring practice statements for performance. For the selected practice statements, ask: *How would you rate this practice and why?* Facilitate a discussion among team members to reveal the diversity of opinions. Probe the reasons for *strength* or *asset* ratings by asking what evidence they have that this practice describes the organization, particularly if there has been an improvement in this practice. If differences arise, help the group compare their reasons with the goal of reaching consensus. If, after significant discussion, the team cannot reach consensus, the score given by the greatest number of team members is used. This score may be revised later once evidence has been gathered.

   When the team reaches consensus, the score is recorded in the "Monitoring – Progress scoring" tab in the PERFORM Microsoft Excel data template. Changes in the scores are recorded to track progress over time. These records will be referenced during the next performance improvement cycle, as well as during the evaluation phase when longer-term patterns are examined for insights and lessons.

3. **ASSESS THE PERFORMANCE DRIVERS.** Distribute the driver scoresheet (Annex 1). Once a practice has been scored, team members individually score the five drivers for that statement on their individual scoresheets according to whether they believe the driver *is adequate to support strong performance* (mark with a 3), *is partially adequate or exerts little influence and to support strong performance* (2), or *is inadequate and inhibits strong performance* (mark with a 1).

   When all the statements have been scored, take a 15-minute break for the facilitator or Microsoft Excel data manager to collect the scoresheets and enter the data into the "Mapping - scoring" tab of the PERFORM Microsoft Excel data template.

Enter the performance score reached by team consensus during mapping on the appropriate line for column D, practice rating of the "Mapping - scoring" tab in the PERFORM Microsoft Excel data template.

Driver: Resources	Driver: Relationships	Driver: Leadership Support	Driver: Skills/Knowledge	Driver: Norms
3	3	1	2	1
2	2	1	1	3
3	2	2	2	2
2	3	1	2	1
1	1	2	1	3

Calculate the modal scores in the same sheet. For example, if the team scores were 3, 2, 2, 3, 1, replace the contents of the cell - =MODE(enter scores, separated by a comma) with =MODE(3,2,2,3,1). Microsoft Excel will calculate the mode (most frequent score) and interpret it in the scoresheet, assigning the results with the icon and color of the adequacy result. Note: the result of #N/A means there was no one mode for the driver as some scores were equally frequent.

Transfer these modal scores for all the performance drivers along with the performance rating for the relevant practice statements into the appropriate cells in the "Monitoring – Progress scoring" tab in the PERFORM Microsoft Excel data template. The modal driver scores will be represented as symbols (⇧ equals 3 or fully adequate, ⇨ equals 2 or partially adequate, and ⇩ equals 1 or inadequate to support strong performance).

ANALYZING CHANGES. Upon returning from break, the Core Team compares the new scores with previous scores to note changes. This information is also noted in the three columns representing progress from the last data collection timepoint. The facilitator helps team members analyze the results and identify patterns using the following questions:

- **Strengths:** What are the underlying causes of your high score? (Where do they come from?) What are their effects? (What do they enable you to do?)
- **Gaps:** What are the underlying causes of your low score? (Where do they come from?) What are their effects? (What do they hinder you from doing?)
- Where a change in practice occurred, what changes, if any, were observed in the associated drivers?
- Looking across all the practices that changed positively along with their associated drivers, what commonalities can you spot?
- Are there any examples of changes that did not take place as expected? Do the scores given to their associated drivers help us to understand this situation?

These insights are used to generate lessons learned that can be applied to development of the next 100-day plan. Use the following questions as a guide:

- To what extent are we making the progress we expected to see?
- What were the key contributors to that progress?
- What three to five important lessons have we learned so far?
- What corrective action is needed for milestones that have not been accomplished on schedule?
- What plan revisions are needed?
- What innovations or new approaches should we pilot during this period?
- What actions we can take to generate and maintain momentum for change?

Record the team's insights in the spaces in the Progress monitoring template in the "Monitoring – Progress scoring" tab.

4. **NEXT STEPS.** Thank the Core Team for their time and thoughtfulness. The next step is to collate their evidence to support their scoring decisions for the Evidence Validation Panel. This pertains to **practice statements they rated as a *strength* or *asset*.** *(Note, if the practice statement was rated as a "challenge," no evidence is required.)*

   Remind them that evidence can take many different forms, including manuals, reports, documents, stakeholder interviews, and surveys, as well as photos from an event or an audio file with stakeholder comments. Think beyond what is normally accepted as evidence to make the process realistic and productive. *What evidence can we marshal that confirms we are doing what we say we are doing?*

   Make a plan to assemble and organize the evidence for the practices scored as an *asset* or *strength* by reviewing the discussion notes related to each practice. Agree on who will be responsible for gathering and organizing the evidence so that it can easily be examined by the Evidence Validation Panel.

   > **Note: The same piece of evidence may be used to support multiple performance claims, so long as it is relevant to each claim. However, when a piece of evidence is reintroduced, it must be re-scored in relation to the practice statement.**

   The recommended way to organize the evidence is to create a file folder for each practice statement scored as a *strength* or *asset*. Each folder's name should include the practice statement's number (0–25) followed by the team's score for that practice (e.g., 03-strength; 05-asset; 10-strength). All evidence pertaining to a practice statement should be placed in its corresponding folder along with a brief justification of why the evidence was selected. Once all 25 folders have been produced, compress them into a ZIP file to be shared with the Evidence Validation Panel via a USB drive or a file sharing site (e.g., Google Drive, Dropbox, or OneDrive). Note: When the same piece of evidence is used to support more than one practice statement, be sure to place a copy of that evidence in *each* relevant folder.

   Wherever practical, evidence should be digitized so that it can be easily shared and transported. This is particularly helpful if the Evidence Validation Panel has members from peer organizations or at varying locations. If important evidence cannot be digitized, determine how best to share it. Be sure that the Evidence Validation Panel knows about all physical evidence and the associated practice statements.

Session 2: Reviewing Evidence of Performance Claims

This session involves the Evidence Validation Panel and takes place between the scoring and planning sessions. It is very important to give a good orientation to the panel's role and what is expected of them, particularly the first time that they perform their duties.

SESSION OVERVIEW

Purpose:

To determine the quality of evidence produced by the Core Team of the organization's performance claims

Participants:

Evidence Validation Panel

Time needed: 2 hours

Materials:

Performance evidence assembled by the Core Team

Evidence quality review scoresheet (1 per panel member)

PERFORM Microsoft Excel data template with projection *or* flip chart and marker

1. **WELCOME AND INSTRUCTIONS:** Thank the panel members for their time and participation in supporting the performance improvement efforts of the organization. Post a description of the panel's role and hold a discussion so that it is fully understood. Make clear the difference between the panel's review of the evidence presented to substantiate a performance claim, vs the panel's agreement with the priority or performance rating itself. (Their role is the former and not the latter!)

   Evidence Validation Panel: Validates evidence of performance improvement collected by the Core Team. Illustrative members include board members, community stakeholders, and senior organizational staff not already on another team. Representatives from donors or implementing partner organizations may be included, but this is not encouraged. Ideal size is three to four people.

2. Give a brief overview of PERFORM, the performance goal(s) the organization has identified, and the practice statements it has selected for enhancement.

   Explain that PERFORM is evidence-based, which helps the Core Team justify their scores. The Core Team is best placed to provide evidence that uniquely applies to their work, rather than using a standard evidence list applied to all organizations everywhere. The Evidence Validation Panel's charge is to evaluate the evidence to determine whether it justifies the performance scores for each practice statement or whether the scores should be revised. This panel's role is solely to assess the *quality of evidence* for each performance claim, and it should refrain from any attempt to assess or score the organization's performance.

   Introduce the evidence quality review scoresheet and answer any question on its use. Review the two key terms used:

   - **Relevance**: The evidence presented is directly linked to the practice statement and is not more than 2 years old (except under special circumstances).
   - **Sufficiency**: The quality and scope of the evidence presented is sufficient to draw conclusions about the degree to which the organization's performance is consistent with the practice statement under consideration.

   An example to walk through with the panel during orientation:

   For practice statement "*Routinely* solicits and uses stakeholder feedback to expand impact":

   → Presenting the results of an organizational SWOT analysis would not be *relevant*;

   → Presenting a 5-year old constituent needs assessment would not be *relevant* (out of date)

→ Presenting an .mp3 recording of the views of 1-2 stakeholders would be *relevant* but not *sufficient* to substantiate the claim.

→ A short output report and/or pictures of a community engagement meeting held within the last 6 months would be relevant and sufficient. (Note: this is true if the organization was working only with that one community. Otherwise, a sample representing ~20% of the communities would be preferred.)

3. **SCORE EVIDENCE.** Panel members can score the evidence they receive individually or as a team. If scoring is done individually, the team will need to resolve any scoring discrepancies through discussion and consensus.

   Explain to the panel that one piece of evidence may be used to support multiple performance claims if it is relevant to each claim.

   The Evidence Validation Panel uses an evidence summary grid and evidence quality review scoresheet available in Annex 1 and the **"**Monitoring Phase – Evidence" tab in the PERFORM Microsoft Excel data template that asks them to determine whether the evidence presented for each practice statement (taken as a whole) was *relevant* and *sufficient* to support the Core Team's score. The following scale is used to make this determination:

   2: The evidence completely supports the rating assigned by the Core Team.

   1: The evidence partially supports the rating assigned by the Core Team.

   0: The evidence does not support the rating assigned by the Core Team *or is determined to lack relevance*. If the evidence is seen as irrelevant, the Evidence Validation Panel does not need to score its sufficiency.

   NE: No *relevant* evidence provided.

   Once the Evidence Validation Panel has concluded its evidence review, it informs the Core Team about any needed scoring changes based on the panel's scoresheet.

   If the total evidence score reported in the last column of the evidence quality review scoresheet in the "Monitoring Phase – Evidence" tab is:

   - 3 or 4: The Core Team's rating is accepted.
   - 2: Core Team's rating is accepted with reservation.
   - 0 or 1: The Core Team's rating should be automatically revised as follows:
     - An original score of 2 (asset) is revised to 1 (challenge).
     - An original score of 3 (*strength*) is revised to either a 2 (*asset*) or 1 (*challenge*) based on the Evidence Validation Panel's discretion.

   Note: A piece of evidence must score at least a 1 on relevance to be considered.

   Once all the work is agreed upon and complete, thank the panelists for their time. Note the next time they will be called upon for a similar meeting will be in approximately five to six months, upon completion of the next performance improvement planning cycle.

SESSION OVERVIEW

Purpose:

To put insights to use by formulating a short-term plan for experimentation and quick wins to improve organizational performance

Participants:

Core Team

Time needed: 3–4 hours

Materials:

Summary of the Evidence Validation Panel's findings

Organizational performance goal statement(s)

PERFORM data templates *(Microsoft Excel or Word)*

Prioritization flip chart

100-day performance improvement plan template *(Microsoft Excel or Word)*

Notes:

This activity is for Core Teams that have recently completed their initial mapping phase. If the team is already in successive cycles of monitoring, they should use the next activity to review and revise their existing plan.

Session 3: Creating a 100-Day Performance Improvement Plan

→ *If the team has already completed its first 100-day performance improvement plan, skip ahead to* *Session 4: Revising the 100-day Performance Improvement Plan".*

1. **PROCESS OVERVIEW FOR FIRST PLANNING CYCLE:** If this is the first time the Core Team is going through this phase, provide an orientation to the activity. Explain that one of the things that makes PERFORM unique is its use of a series of short-term plans. Experience has shown that 100-day plans (approximately five-six months of working days) can provide greater momentum for change than longer-term plans of one to two years. This allows the team to experiment and see what will create the change they seek.

   Note that the team's 100-day performance improvement plan should focus on the drivers underlying the practice statements, rather than the statements alone.

2. **REVIEW CONCLUSIONS FROM THE EVIDENCE VALIDATION PANEL:** Begin the planning by presenting the findings from the Evidence Validation Panel. *Were any score revisions suggested*? If so, review the panel's reasoning. Answer any questions the team may have.

   Lead the team in understanding any revised scores and why the Evidence Validation Panel revised them. Look at the new results. *Did any score changes affect the urgency index results? Are there new practice statements that most need attention or could be addressed and lead to significant progress toward their performance goal(s)?*

   Considering these results, revisit the five to seven practice statements they selected as likely to give them the greatest advancement toward their performance goal(s). The point is to select those practices that, if strengthened, would offer the greatest lift, not merely those identified as the weakest.

3. **PRIORITIZE ACTIVITIES FOR THE NEXT 100 DAYS:** Now it is the time to formulate a performance improvement plan for the next 100 working days. Display the prioritization flip chart to help the team set its priorities. The flip chart should present the practice statements the team has selected for improvement and is meant to help participants select the performance drivers they wish to strengthen in the coming period. Prompt the team to identify where they wish to center their performance improvement efforts. Help them relate their overall performance goal(s) to this priority-setting work.

   Select activities the organization will pursue for the next 100 days to strengthen weak drivers or utilize strong drivers to overcome weak ones. Some options include creating a new policy, product, tool, or strategy; developing new skills with training or new staff; developing relationships with other organizations; or seeking new financial or material resources. Options may also be less tangible; for example, the team might address issues around organizational norms or culture through new team arrangements or accountability practices. Or the team might plan to establish new ways of working with partners (such as joining or creating a collective action hub).

4. **Document the new 100-day performance improvement plan:** Finally, the group brings together all their ideas from the previous steps to create an action plan on a flip chart, using the template in the "Monitoring – 100 day plan" tab of the PERFORM Microsoft Excel data template or the 100 day Performance Improvement Plan (Annex 1) as a model. Introduce the template in whichever format the team is using Guide the group to ensure that their plan addresses the major areas for improvement, leverages existing strengths, and is realistic for the 100-day period.

   Review the steps and work done in the session and the plans developed. Note that they now have their results, analysis, and plans to reach their performance improvement goal(s). Remind the team that their next step is to present a progress report and the next 100-day plan to the Leadership Team.

   Recall the organizational performance goal(s) they developed at the beginning of the PERFORM process. *Are they still relevant? Will this plan further contribute to goal accomplishment?*

SESSION OVERVIEW

Purpose:

Review the last 100-day plan and develop a plan for the next 100 days.

Participants:

Core Team

Time Needed: 3–4 hours

Materials:

Summary of Evidence Validation Panel findings

Organizational performance goal statement(s)

PERFORM data templates *(Microsoft Excel or Word)*

Prioritization flip chart

100-day performance improvement plan template *(Microsoft Excel or Word)*

Notes:

If the Core Team is engaging in this activity as part of its monitoring cycle, it will center its work on revising its existing improvement plan.

Session 4: Revising the 100-Day Performance Improvement Plan

→ *This session should take place after mapping, scoring and evidence validation activities for every 100-day performance improvement cycle.*

1. **REVIEW PERFORMANCE SCORES AND DRIVERS.** Begin the planning by presenting the findings from the Evidence Validation Panel. *Were any score revisions suggested*? If so, review the panel's reasons for revising any scores revised based on evidence considered insufficient or not relevant. Answer any questions the team may have.

2. **REVIEW THE LAST 100-DAY PERFORMANCE IMPROVEMENT PLAN.** Ask participants to recall the organizational performance goal(s) they developed at the beginning of the PERFORM process. *Are they still relevant? Are your efforts moving you toward your goal(s)?*

   Review the 100-day performance improvement plan they are just completing. *Were all the activities achieved according to plan? If any were delayed, what got in the way? What were the significant accomplishments for the period?* Record these insights on the planning template.

   Now it is the time to formulate a plan for the next 100 days (approximately five-six calendar months, assuming 20 working days per month). Return to the insights from the analysis of performance drivers and the underlying reasons for their scores. *What was or was not present? If the team experimented with strengthening a few key drivers, what is yielding progress that they would like to continue? Perhaps some results did not meet expectations. In that case, what might the team like to do to strengthen the drivers?* Lead the team through a learning discussion, using the progress monitoring template in Annex 1 or the PERFORM Microsoft Excel data template to record their insights.

   - What progress are we making that we expected to see?
   - What were the key contributors to that progress?
   - What progress are we not making that we expected to see?
   - What were the key contributors to that lack of progress?
   - What are our three to five most important lessons learned at this point in the plan's implementation?
   - What corrective action is needed for milestones that are not accomplished or on schedule?
   - What revisions are needed to the plan?
   - What actions can we take to generate and maintain momentum for change?

3. **DEVELOP A NEW 100-DAY PERFORMANCE IMPROVEMENT PLAN:** Display the prioritization flip chart containing the practice statements they have selected for improvement. *Are these the practices they would like to continue to work on, or are they changes they would like to make?* (For example, they might achieve

desired progress in one statement and wish to address another, or a statement might not give them the greatest advancement toward their goal.)

Given the old or revised list of practice statements they select to address, which performance drivers do they want to strengthen (or continue strengthening) in the coming period?

Strategically select activities the organization will pursue for the next 100 days to strengthen weak drivers or utilize strong drivers to overcome weak ones. Some options include creating a new policy, product, tool, or strategy; developing new skills through additional training or staff; developing relationships with other organizations; or seeking new financial or material resources.

Finally, the group brings together all their ideas from the previous steps to create an action plan on a flip chart, using the template in the "Monitoring – 100 day plan" tab of the PERFORM Microsoft Excel data template or the 100-day Performance Improvement Plan (Annex 1) as a model. Introduce the template in whichever format the team is using. Guide the group to ensure that their plan addresses the major areas for improvement, leverages existing strengths, and is realistic for the 100-day period.

Review the steps and work done in the meeting and the plans developed. Note that they now have their results, analysis, and plans to reach their performance improvement goal(s). Remind the team that their next step is to present a progress report and the next 100-day performance improvement plan to the Leadership Team.

REFERENCES

Kinghorn, M. & Levinger, L. (2021). Organizational capacity: An enhanced framework. Washington DC: MOMENTUM Knowledge Accelerator. https://usaidmomentum.org/resource/organizational-capacity-an-enhanced-framework/

MOMENTUM Knowledge Accelerator. (2020). A guide to complexity-aware monitoring approaches for MOMENTUM projects. Washington, DC: MOMENTUM Knowledge Accelerator. https://usaidmomentum.org/resource/a-guide-to-complexity-aware-monitoring-approaches-formomentum-projects/

USAID (n.d.). CBLD-9 Capacity Building Indicator Resource Page. https://www.usaid.gov/npi/capacity-building-indicator-resources

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Other PERFORM Supporting Materials

Kinghorn, M., & Levinger, B. (2024). *PERFORM: The Performance mapping and improvement system user guide.* Washington, DC: MOMENTUM Knowledge Accelerator.

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Levinger, B., & Kinghorn, M. (2024). *Templates for PERFORM: The performance mapping and improvement system.* Washington, DC: MOMENTUM Knowledge Accelerator.

MOMENTUM Knowledge Accelerator. (2024). *PERFORM: The Performance Mapping and Improvement System: Overview.* Washington, DC: MOMENTUM Knowledge Accelerator.

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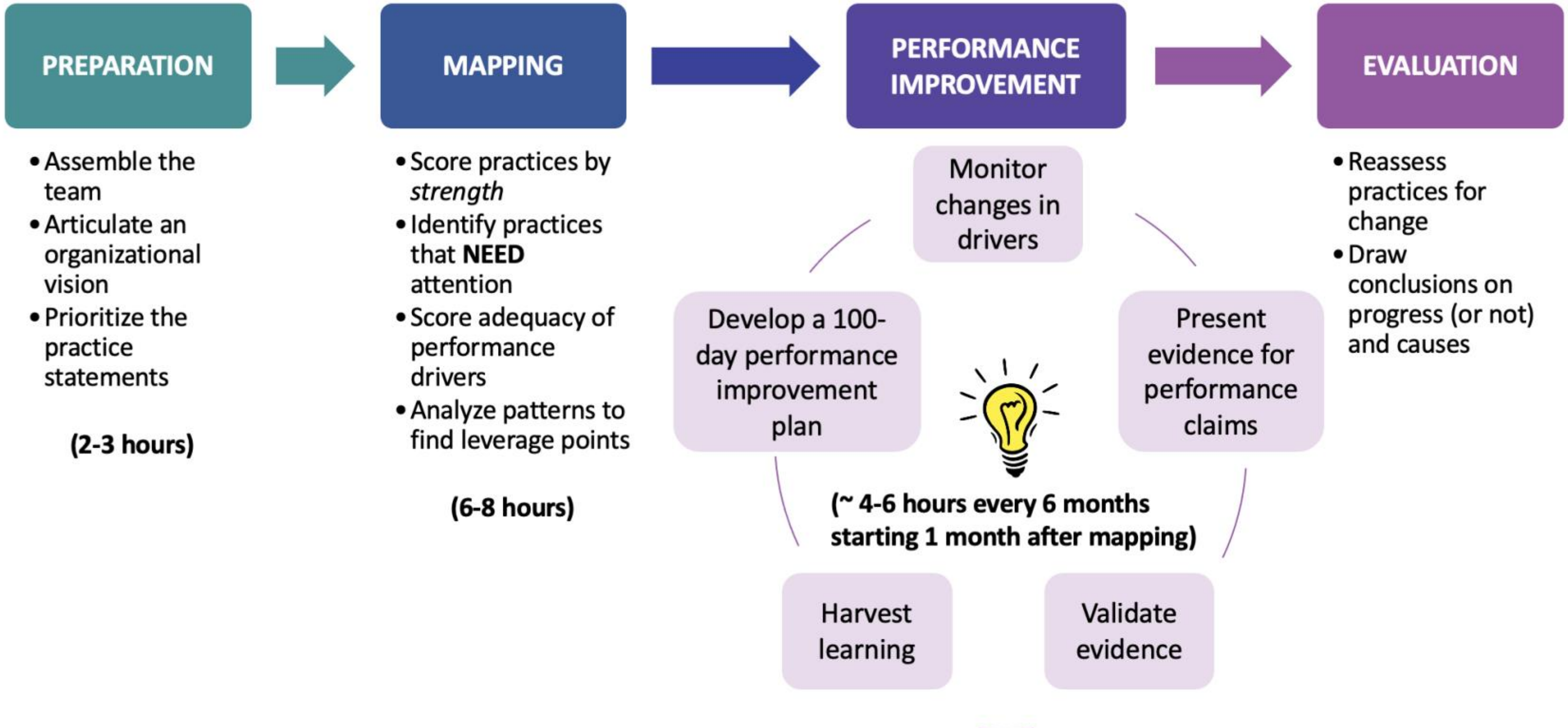
ANNEXES

Annex 1: PERFORM Tools and Templates

Note: Microsoft Excel versions of these templates which provide real-time data calculation for the users, are available on the PERFORM webpage.

THE PERFORM ROAD MAP



RELEVANT TERMS

Behaviors	Organizational practices that demonstrate established knowledge, skills, and values.
Capacity	The attributes that enable an organization to perform and add value to those it serves in conditions of high complexity.
Capacity domains	Five key capacities that work together to create the conditions necessary to achieve an organization's performance improvement goal(s).
Driver Rating	Analyzing and monitoring changes in the performance drivers help PERFORM users manage the organizational improvement process more efficiently and pinpoint where resources should be directed. Drivers are rated as being *fully adequate to support strong performance, partially adequate to support strong performance, or inadequate to support strong performance.*
Organizational performance	The joint effectiveness of processes, functions, and activities that creates the conditions necessary to achieve development results.
Performance	The adequacy of behaviors and processes—individual and joint—to achieve an intended result.
Performance drivers	Performance drivers shed light on the "whys" of organizational performance in each area of practice. For PERFORM, the performance drivers are knowledge or skills, resources, external relationships, supportive leadership, and norms or culture.
Performance goal	This is the high-order change needed to achieve an organization's mission or service delivery goals. The capacity map is created in relation to this goal or goals.
Performance improvement	Changes in an organization's behaviors or practices that enable it to work with greater efficiency or effectiveness.
Performance rating	In a capacity mapping, each statement is rated according to the extent to which the organization demonstrates the practice and meets the criteria in the statement, i.e., as a *strength* accurately describe us, *asset* somewhat describe us, and *challenge* does not describe us.
Practice statements	Observable organizational processes, functions, and activities that illustrate the capacity domains. Practices are written in the form of behavior statements that demonstrate critical knowledge, skills, and/or values. Practice statements include qualifiers that establish clear criteria for the performance of the practice. An example would be "*Regularly communicates with stakeholders about organizational achievements and challenges."*

Priority rating	Each practice is rated on a three-point scale describing the level of importance (priority) it holds for achieving the performance goal. The priorities are rated as high (critical to success at this time), medium (important but not critical), and low (not important).
Urgency index	A rating that is used to sort the mapping results for each practice according to its performance and priority rating. This index is calculated automatically in the PERFORM Microsoft Excel data template.

PERFORM PERFORMANCE MAPPING AND MONITORING FRAMEWORK

CAPACITY DOMAIN	PRACTICE STATEMENTS
Fosters Self-Determination	• *Regularly* communicates a transformative vision of an ideal future *to diverse stakeholder groups.* • *Routinely* takes initiative to mobilize resources as new community needs emerge. • *Routinely* sets aside times for staff, volunteers, and stakeholders to reflect on values and practices. • Consistently *takes steps* that build leadership capacity all staff levels. • *Periodically* identifies strengths and growth areas as part of an ongoing, self-directed process of capacity development.
Produces Sustainable Results	• *Consistently* offers services that reflect user needs and preferences. • Routinely works with stakeholders to create a strategy for sustaining results when external support ends. • *Periodically* assesses current practices against quality standards. • *Regularly* works with local communities to build upon their assets and ideas. • *Consistently* promotes solutions that address root causes for development challenges.
Aligns Systems for Agility	• *Routinely* tasks cross-functional teams to meet objectives. • Consistently takes steps to recruit staff members from the local community. • *Consistently* manages finances so that *stakeholders* receive timely, useful, and accurate information. • Secures *sufficient* support from different sources to ensure that funding streams are diversified. • Maintains reserve funds to cover at least two months of operational activity.
Learns and Adapts	• *Routinely* solicits and uses stakeholder feedback to expand impact. • *Regularly* scans for trends relevant to organizational mission and services. • Regularly uses data to monitor project performance. • Meets *regularly* to learn lessons from project successes and failures. • *Routinely* fosters innovations by testing out new ideas.
Attracts and Sustains Support	• *Regularly* communicates with *stakeholders* about organizational achievements and challenges. • Provides stakeholders, *on an ongoing basis,* with *meaningful* opportunities to contribute to the organization's work. • *Actively* participates in multi-stakeholder networks. • *Frequently* shares useful information and valuable resources with peer organizations. • *Frequently* takes joint action with *cross-sectoral actors* to address issues of common concern.

PREPARATION PHASE

DESCRIPTION OF ORGANIZATIONAL VISION

ORGANIZATIONAL VISION: Describe the vision of the organization in future, operating at its ideal level of performance within a chosen time frame (3 years, 5 years, or end of a specific organization strengthening project.)
DESCRIPTION OF CURRENT SITUATION: (including organizational strengths and challenges)
ORGANIZATIONAL INTERESTS (MILESTONES): (Specify 1–3 accomplishments that will demonstrate successful achievement of the organizational vision, such as meeting specific quality standards, expanded client reach, increased donor base, NUPAS certification, etc.) • • •

Note: This step in the PERFORM can contribute toward CBLD-9 monitoring in that it provides: a) an intentional and documented a process of performance improvement; and b) key performance metrics by which to demonstrate improvement

PERFORM TEAM ROLE DESCRIPTIONS

The following are general descriptions of the PERFORM teams and their composition to help the organization select the right people to engage in the process.

PERFORM Leadership Team

THE LEADERSHIP TEAM oversees the PERFORM process to ensure it contributes to organizational goals. Illustrative members include the Executive Director, heads of departments, optionally board members. Receives periodic progress reports from the Core Team.

Ideal size = 3–5 people.

NAME	POSITION (Board, Staff, Volunteer)	LEVEL OF AFFILIATION (Field Office, Headquarters, Other)

PERFORM Core Team Members

THE CORE TEAM is the primary group doing the ongoing performance mapping and improvement monitoring. Typical members include representatives from both senior and junior staff across all departments. Note: it is recommended that the organization's Executive Director (or equivalent) *not* serve on this team.

Specific roles within the team include members who can act as a) *Facilitator* (someone able to provide objective facilitation to the team) and b) *Data Manager* (someone on the team able to organize and coordinate data files). **Note:** while external facilitation is not necessary, someone with deeper knowledge of the PERFORM process is valuable, particularly for the initial mapping and monitoring cycle.

Ideal size = 5–8 people.

NAME	POSITION (Board, Staff, Volunteer)	LEVEL OF AFFILIATION (Field Office, Headquarters, Other)	ROLE ON TEAM (Facilitator, Data Manager, Reporter, Other)

PERFORM Evidence Validation Panel Members

THE EVIDENCE VALIDATION PANEL validates evidence of performance improvement collected by the Core Team. Illustrative members include board members, community stakeholders, even senior organizational staff not on either of the other two teams. Representatives from donors or implementing partner organizations may be included, but this is not encouraged.

Ideal size = 3–4 people.

NAME	POSITION (Board, Staff, Volunteer)	LEVEL OF AFFILIATION (Field Office, Headquarters, Other)

CUSTOMIZING PERFORM

Use the following template to record agreements on how to adapt PERFORM to be of most value to the organization.

CUSTOMIZATION CHOICES	DECISION
Who will receive the mapping findings and monitoring updates?	(*Check all that apply*) ☐ Internal staff ☐ Board / governing body ☐ Peer organizations ☐ Community members ☐ Implementing or sponsoring partner ☐ Current or potential funders
Over how many sessions will the mapping be done?	(*Fill in the blanks*) # Sessions per day: ________________ # Hours per session: ________________ # Days duration: ________________
How frequently will the 100-day plan be monitored?	(*Check one*) ☐ Quarterly (4x/year) ☐ Semi-annually (2x/year) ☐ Other: ___ number of weeks/months

MAPPING WORKSHEET

Performance Domain	Practice Statements	Priority Rating	Performance Rating	Urgency Index	Performance Drivers				
					Res	Rel	SL	K/S	N/C
Fosters Self-Determination	1. *Regularly* communicates a transformative vision of an ideal future *to diverse stakeholder groups*								
	2. *Routinely* takes initiative to mobilize resources as new community needs emerge								
	3. *Routinely* sets aside times for staff, volunteers, and stakeholders to reflect on values and practices								
	4. Consistently *takes steps* that build leadership capacity at all staff levels								
	5. *Periodically* identifies strengths and growth areas as part of an ongoing, self-directed process of capacity development								

<table>
<tr><th colspan="5">Key Terms</th></tr>
<tr><th>Priority Rating</th><th>Performance Rating</th><th>Urgency Index</th><th>Performance Drivers</th><th>Driver Rating</th></tr>
<tr>
<td>High: Critical to success at this time
Medium: Important but not critical at this time
Low: Not important at this time</td>
<td>Strength: This statement very accurately describes us
Asset: This statement somewhat accurately describes us
Challenge: This statement is far removed from what we do</td>
<td><table>
<tr><td>Priority Rating</td><td></td><td></td><td></td></tr>
<tr><td>High</td><td>URGENT</td><td>URGENT</td><td>OPTIONAL</td></tr>
<tr><td>Med</td><td>URGENT</td><td>OPTIONAL</td><td>NOT NEEDED NOW</td></tr>
<tr><td>Low</td><td>OPTIONAL</td><td>NOT NEEDED NOW</td><td>NOT NEEDED NOW</td></tr>
<tr><td></td><td>Challenge</td><td>Asset</td><td>Strength</td></tr>
<tr><td></td><td colspan="3">Performance Rating</td></tr>
</table></td>
<td>Res: Resources
Rel: External relationships
SL: Supportive leadership
K/S: Knowledge or skills
N/C: Norms or culture</td>
<td>Driver is:
3: Fully adequate to support strong performance
2: Partially adequate to support strong performance
1: Inadequate to support strong performance</td>
</tr>
</table>

Performance Domain	Practice Statements	Priority Rating	Performance Rating	Urgency Index	Performance Drivers				
					Res	Rel	SL	K/S	N/C
Produces Sustainable Results	6. *Consistently* offers services that reflect user needs and preferences								
	7. Routinely works with stakeholders to create a strategy for sustaining results when external support ends								
	8. *Periodically* assesses current practices against quality standards								
	9. *Regularly* works with local communities to build upon their assets and ideas								
	10. *Consistently* promotes solutions that address root causes for development challenges								

Key Terms

Priority Rating

High: Critical to success *at this time*

Medium: Important but not critical *at this time*

Low: Not important *at this time*

Performance Rating

Strength: This statement very accurately describes us

Asset: This statement somewhat accurately describes us

Challenge: This statement is far removed from what we do

Urgency Index

Priority Rating	Challenge	Asset	Strength
High	URGENT	URGENT	OPTIONAL
Med	URGENT	OPTIONAL	NOT NEEDED NOW
Low	OPTIONAL	NOT NEEDED NOW	NOT NEEDED NOW

Performance Rating

Performance Drivers

Res: Resources

Rel: External relationships

SL: Supportive leadership

K/S: Knowledge or skills

N/C: Norms or culture

Driver Rating

Driver is:

3*: Fully adequate to support strong performance*

2: Partially adequate to support strong performance

1: Inadequate to support strong performance

Performance Domain	Practice Statements	Priority Rating	Performance Rating	Urgency Index	Performance Drivers				
					Res	Rel	SL	K/S	N/C
Aligns Systems for Agility	11. *Routinely* tasks cross-functional teams to meet objectives								
	12. Consistently takes steps to recruit staff members from the local community								
	13. *Consistently* manages finances so that *stakeholders* receive timely, useful, and accurate information								
	14. Secures *sufficient* support from different sources to ensure that funding streams are diversified								
	15. Maintains reserve funds to cover at least two months of operational activity								

Key Terms

Priority Rating

High: Critical to success *at this time*

Medium: Important but not critical *at this time*

Low: Not important *at this time*

Performance Rating

Strength: This statement very accurately describes us

Asset: This statement somewhat accurately describes us

Challenge: This statement is far removed from what we do

Urgency Index

Priority Rating	Challenge	Asset	Strength
High	URGENT	URGENT	OPTIONAL
Med	URGENT	OPTIONAL	NOT NEEDED NOW
Low	OPTIONAL	NOT NEEDED NOW	NOT NEEDED NOW

Performance Rating

Performance Drivers

Res: Resources

Rel: External relationships

SL: Supportive leadership

K/S: Knowledge or skills

N/C: Norms or culture

Driver Rating

Driver is:

3*: Fully adequate to support strong performance*

2: Partially adequate to support strong performance

1: Inadequate to support strong performance

Performance Domain	Practice Statements	Priority Rating	Performance Rating	Urgency Index	Performance Drivers				
					Res	Rel	SL	K/S	N/C
Learns and Adapts	16. *Routinely* solicits and uses stakeholder feedback to expand impact								
	17. *Regularly* scans for trends relevant to organizational mission and services								
	18. Regularly uses data to monitor project performance								
	19. Meets *regularly* to learn lessons from project successes and failures								
	20. *Routinely* fosters innovations by testing out new ideas								

Key Terms

Priority Rating	Performance Rating	Urgency Index	Performance Drivers	Driver Rating
High: Critical to success *at this time* **Medium**: Important but not critical *at this time* **Low**: Not important *at this time*	**Strength**: This statement very accurately describes us **Asset**: This statement somewhat accurately describes us **Challenge**: This statement is far removed from what we do	(see grid below)	Res: Resources Rel: External relationships SL: Supportive leadership K/S: Knowledge or skills N/C: Norms or culture	Driver is: 3: *Fully adequate to support strong performance* 2: *Partially adequate to support strong performance* 1: *Inadequate to support strong performance*

Urgency Index

Priority Rating	Challenge	Asset	Strength
High	URGENT	URGENT	OPTIONAL
Med	URGENT	OPTIONAL	NOT NEEDED NOW
Low	OPTIONAL	NOT NEEDED NOW	NOT NEEDED NOW

Performance Rating

Performance Domain	Practice Statements	Priority Rating	Performance Rating	Urgency Index	Performance Drivers				
					Res	Rel	SL	K/S	N/C
Attracts and Sustains Support	21. *Regularly* communicates with *stakeholders* about organizational achievements and challenges								
	22. Provides stakeholders, *on an ongoing basis,* with *meaningful* opportunities to contribute to the organization's work								
	23. *Actively* participates in multi-stakeholder networks								
	24. *Frequently* shares useful information and valuable resources with peer organizations								
	25. *Frequently* takes joint action with *cross-sectoral actors* to address issues of common concern								

Key Terms

Priority Rating	Performance Rating	Urgency Index	Performance Drivers	Driver Rating
High: Critical to success *at this time* **Medium**: Important but not critical *at this time* **Low**: Not important *at this time*	**Strength**: This statement very accurately describes us **Asset**: This statement somewhat accurately describes us **Challenge**: This statement is far removed from what we do	(see matrix below)	Res: Resources Rel: External relationships SL: Supportive leadership K/S: Knowledge or skills N/C: Norms or culture	Driver is: 3: *Fully adequate to support strong performance* 2: *Partially adequate to support strong performance* 1: *Inadequate to support strong performance*

Urgency Index (*Priority Rating* × *Performance Rating*)

Priority Rating	Challenge	Asset	Strength
High	**URGENT**	**URGENT**	**OPTIONAL**
Med	**URGENT**	**OPTIONAL**	**NOT NEEDED NOW**
Low	**OPTIONAL**	**NOT NEEDED NOW**	**NOT NEEDED NOW**

Performance Rating

DRIVER SCORESHEET

PERFORMANCE DOMAIN / PRACTICE STATEMENT	PERFORMANCE DRIVERS				
	Res	Rel	SL	K/S	N/C
Fosters Self-Determination					
• *Regularly* communicates a transformative vision of an ideal future *to diverse stakeholder groups.*					
• *Routinely* takes initiative to mobilize resources as new community needs emerge.					
• Routinely sets aside times for staff, volunteers, and stakeholders to reflect on values and practices.					
• *Consistently* takes steps that build leadership capacity at all staff levels.					
• *Periodically* identifies strengths and growth areas as part of an ongoing, self-directed process of capacity development.					
Produces Sustainable Results					
• *Consistently* offers services that reflect user needs and preferences.					
• Routinely works with stakeholders to create a strategy for sustaining results when external support ends.					
• *Periodically* assesses current practices against quality standards.					
• *Regularly* works with local communities to build upon their assets and ideas.					
• *Consistently* promotes solutions that address root causes for development challenges.					
Aligns Systems for Agility					
• *Routinely* tasks cross-functional teams to meet objectives.					
• Consistently takes steps to recruit staff members from the local community.					
• *Consistently* manages finances so *stakeholders* receive timely, useful, accurate information.					
• Secures *sufficient* support from different sources to ensure that funding streams are diversified.					
• Maintains reserve funds to cover at least two months of operational activity.					

Learns and Adapts					
• *Routinely* solicits and uses stakeholder feedback to expand impact.					
• *Regularly* scans for trends relevant to organizational mission and services.					
• Regularly uses data to monitor project performance.					
• Meets *regularly* to learn lessons from project successes and failures.					
• *Routinely* fosters innovations by testing out new ideas.					
Attracts and Sustains Support					
• *Regularly* communicates with *stakeholders* about organizational achievements and challenges.					
• Provides stakeholders, *on an ongoing basis,* with *meaningful* opportunities to contribute to the organization's work.					
• *Actively* participates in multi-stakeholder networks.					
• *Frequently* shares useful information and valuable resources with peer organizations.					
• *Frequently* takes joint action with *cross-sectoral actors* to address issues of concern.					

PERFORMANCE IMPROVEMENT PHASE

EVIDENCE SUMMARY GRID

Evidence can be in the form of an activity report; manual; newsletter; curriculum; survey results; budgets; excerpts from a strategic plan; meeting minutes or agendas; evaluation findings; etc. It can also include structured observations; interviews with participants; multimedia testimonials; and the presentation of tangible results.

It is not necessary to provide a unique piece of evidence for each practice statement. Occasionally, a single item may provide evidence for several practices across multiple domains. However, each time a piece of evidence is introduced, it must be rescored in relation to the statement of practice.

Select evidence, whenever possible, that is not more than 18 months old.

Attach evidence in hard copy or electronic form to this template.

Name of Organization:

PERFORMANCE DOMAIN:	**FOSTERS SELF-DETERMINATION**	
Practice Statements	**Evidence Presented (by Name) to Support Ratings**	**Source**

Example:

PERFORMANCE DOMAIN:	**FOSTERS SELF-DETERMINATION**	
Practice Statements	**Evidence Presented (by Name) to Support Ratings**	**Source**
A1. Routinely takes initiative to mobilize resources as new community needs emerge		
B1. Consistently demonstrates practices that build leadership capacity all staff levels		

EVIDENCE QUALITY REVIEW SCORESHEET

[for use by the Evidence Validation Panel]

Name of Organization:

Evidence Validation Panel Members:

-
-
-

Date of Validation:

Definitions:

Relevance: Evidence presented is directly linked to the domain and practice and is not more than 18 months old (except under special circumstances)

Sufficiency: The quantity and scope of the evidence presented is sufficient to draw conclusions about the degree to which the domain and dimension under consideration fulfill the criteria delineated in the rubric.

TOTALS	*Subtotal for **Relevance**:*	*Subtotal for **Sufficiency**:*	**GRAND TOTAL:**	
Evidence	*Relevance Score* (0–2)	*Sufficiency Score* (0–2)	**Evidence Score**	**Evidence Accepted?** (Yes/No)
FOSTERS SELF-DETERMINATION				
Sa1				
Sb1				
Sb2				
NOTES:				
PRODUCES SUSTAINABLE RESULTS				
Pa1				
Pb1				
NOTES:				
ALIGNS SYSTEMS FOR AGILITY				
Aa1				
Ab1				
NOTES:				

LEARNS AND ADAPTS				
La1				
Lb1				
NOTES:				

ATTRACTS AND MAINTAINS SUPPORT				
Ma1				
Mb1				
NOTES:				

NOTES

SCORING SCALE:

- 2 = The evidence completely supports the rating assigned by the internal assessment team.
- 1 = The evidence partially supports the rating assigned by the internal assessment team.
- 0 = The evidence does not support the rating assigned by the internal assessment team in any way.
- When no evidence is provided (in the case of "Developing" ratings), record "NE" in the grid

Note: The internal assessment team does not need to provide evidence to justify a rating of "Developing." Evidence is only required to support ratings of "Accomplished" and "Exemplary." Use the comments section of the scoresheet to explain ratings of "Developing."

RESULTS CALCULATION: If the total evidence score reported in the last column is…

- 3 or 4, the internal assessment team's rating is accepted
- 2, the internal assessment team's rating is accepted with reservation
- 0 or 1, the rating should automatically be changed to "Developing."

Note: A piece of evidence must score at least a 1 for relevance to be considered, regardless of how highly it scores for sufficiency.

PROGRESS MONITORING TEMPLATE

Name of Organization:

PERFORMANCE DOMAINS	PRACTICE STATEMENTS	Performance			Drivers					Progress		
		Strength	Asset	Challenge	Resources	External Relationships	Supportive Leadership	Knowledge / Skills	Norms/Culture	Exceeds Expectations	On Track	Obstacles Encountered
1. Fosters Self-Determination	#1											
	#2											
	COMMENTS:											
2. Produces Sustainable Results	#1											
	#2											
	COMMENTS:											
3. Aligns Systems for Agility	#1											
	#2											
	#3											
	COMMENTS:											
4. Learns and Adapts	#1											
	#2											
	COMMENTS:											
5. Attracts and Sustains Support	#1											
	COMMENTS:											

PROGRESS LEARNING

1. **What progress are we making that we expected to see?**

   What were the key contributors to that progress?

2. **What progress are we <u>not</u> making that we expected to see?**

   What were the key contributors to that lack of progress?

3. **List 3–5 important lessons learned at this point in the plan's implementation**

   -
   -
   -
   -

4. **What corrective action is needed for milestones are not accomplished or schedule?**

5. **Needed plan revisions:**

   -
   -
   -
   -

6. **Actions we can take to generate and maintain momentum for change:**

   -
   -
   -
   -

100-DAY PERFORMANCE IMPROVEMENT PLAN

<table>
<tr><th colspan="4">100-DAY PERFORMANCE IMPROVEMENT PLAN</th></tr>
<tr><td>Plan start date: ___________</td><td>Plan end date: _____________</td><td colspan="2">Activity manager: ___________</td></tr>
<tr><td colspan="4">Performance Goal:</td></tr>
<tr><td>Priority Practices Areas
Top 5–7 Practice statements that are the focus of performance improvement</td><td colspan="3">•
•</td></tr>
<tr><td>Measurable Results
Qualitative or quantitative metrics that will provide evidence of enhanced performance</td><td colspan="3">•
•</td></tr>
<tr><td>Performance Drivers
Which performance drivers were identified as critical to the practice performance, either as an enabler or inhibitor?</td><td>Enablers
•
•</td><td colspan="2">Inhibitors
•
•</td></tr>
<tr><td>Change Strategies
What key methods will be tried to shift or leverage the performance drivers? What is the rationale for the methods chosen?</td><td colspan="3"></td></tr>
<tr><td>Actions to be taken</td><td>Person Responsible</td><td>Start</td><td>End</td></tr>
<tr><td>1.</td><td></td><td></td><td></td></tr>
<tr><td>2.</td><td></td><td></td><td></td></tr>
<tr><td>3.</td><td></td><td></td><td></td></tr>
<tr><td>Required Commitments
What commitments or authorizations are needed from recipients, leaders, or change agents regarding time, cost, or change strategies?</td><td colspan="3"></td></tr>
</table>

Annex 2: Unpacking the Performance Domains and Practice Statements

Team members need an accurate and common understanding of what each performance domain and practice statement means. To ensure that this is achieved, the facilitator might invite a team member to pose the question(s) that the team should consider as it gets ready to rate each practice statement. The tables below provide examples of such questions.

The facilitator should not become the expert who provides team members with "correct" responses. At the same time, through careful questioning, the facilitator should ensure that the team's understanding of each practice statement is aligned with the definitions and illustrative questions presented in these tables.

NOTE: Although the tables do not include suggested questions about the italicized words that appear in the practice statements, the facilitator should also prompt the group to agree upon what those words mean before they begin scoring.

PERFORMANCE DOMAIN: FOSTERS SELF-DETERMINATION

KEY TERMS:

- **Fosters self-determination:** This refers to what an organization does to maintain unwavering commitment and passion for its mission and core values and the people it serves. An organization that fosters self-determination is self directed and confidently charts its own future. It does not pursue external support for activities that are out of alignment with its foundational commitments.
- **Transformative vision:** An appealing and inspiring description of the fundamental changes that the organization is working to achieve. Organizations with a transformative vision do not work to maintain the status quo or pursue incremental improvements; rather, they work to reshape existing norms, systems, and structures.
- **Capacity development:** The approaches, strategies, or methodologies an organization embraces to improve its performance.

PRACTICE STATEMENT	SIMPLE PARAPHRASES (Posed as questions)
1. *Regularly* communicates a transformative vision of an ideal future to diverse stakeholder groups.	Does the organization share with stakeholders and others an appealing and inspiring description of the fundamental changes it is working to achieve to engage their support?
2. *Routinely* takes initiative to mobilize resources as new community needs emerge.	Does the organization work to generate support (financial, material, human) to meet emerging needs of the population it serves, not waiting for donors or other stakeholders to identify those needs?
3. *Routinely* sets aside times for staff, volunteers, and stakeholders to reflect on values and practices.	Does the organization regularly schedule opportunities for staff, volunteers, and board members to examine its work in relation to its foundational beliefs, lessons learned, and aspirations?
4. *Consistently* takes steps that build leadership capacity at all staff levels.	Does the organization create opportunities for staff and volunteers at all levels of the organization to enhance their leadership skills and abilities?

5. *Periodically* identifies strengths and growth areas as part of an ongoing, self-directed process of capacity development.	Does the organization, at regular intervals, take stock of its strengths and weaknesses? Does it use these moments to chart its own capacity development work?

PERFORMANCE DOMAIN: PRODUCES SUSTAINABLE RESULTS

KEY TERM:

- **Produces sustainable results:** Refers to an organization's ability to add value for stakeholders and sustain that value over time.

PRACTICE STATEMENT	SIMPLE PARAPHRASES (Posed as questions)
6. *Consistently* offers services that reflect user needs and preferences.	Does the organization's work reflect local wants and needs?
7. *Routinely* works with stakeholders to create a strategy for sustaining results when external support ends.	Does the organization make plans with its partners, staff, and community to ensure that project benefits endure beyond the project funding cycle?
8. *Periodically* assesses current practices against quality standards.	Does the organization compare the methods and practices it uses in its work to professional standards or other benchmarks of professional excellence?
9. *Regularly* works with local communities to build upon their assets and ideas.	Does the organization include the local community's strengths, resources, and ideas as a foundation for its work?
10. *Consistently* promotes solutions to address root causes for development challenges.	Does the organization address underlying causes of the problems it works to solve?

PERFORMANCE DOMAIN: ALIGNS SYSTEMS FOR AGILITY

KEY TERMS:

- **Builds agility:** Describes an organization's ability to manage work, resource, and information flows within cycles of stability, growth, and change. An agile organization can adapt and pivot when situations change and new needs arise.
- **Cross-functional team:** A team with members who have different areas of expertise. Often such teams represent several organizational departments and offer a diverse range of perspectives that is especially valuable when addressing complex challenges.
- **Diversified funding:** Support that comes from multiple donors so that the organization does not depend on just one or two donors for its survival. Diversified funding contributes to organizational stability.
- **Reserve funds:** Money set aside that is only used during an emergency. Reserve funds represent money that enables the organization to continue its work in the absence of any income.

PRACTICE STATEMENT	SIMPLE PARAPHRASES (Posed as questions)
11. *Routinely* tasks cross-functional teams to meet objectives.	Does the organization create teams that represent different areas of expertise or different departments to achieve goals or address complex challenges? Can these teams fill in for one another during absences to keep the work going?
12. *Consistently* takes steps to recruit staff members from the local community.	Does the organization demonstrate that it values local knowledge and engagement by recruiting people from the communities it serves?
13. *Consistently* manages finances so that stakeholders receive timely, useful, and accurate information.	Does the organization work in a way that provides staff, donors, and partners with required information about cash flows, income, and expenditures? Is this information current and correct?
14. Secures support from different sources to ensure that funding streams are diversified.	Does the organization avoid dependence on a very small number of donors?
15. Maintains reserve funds to cover at least two months of operational activity.	Does the organization maintain a fund that would allow it to operate for two months if no income were received?

PERFORMANCE DOMAIN: LEARNS AND ADAPTS

KEY TERM:

- **Learns and adapts:** This describes an organization's ability to innovate and modify its activities on the basis of environmental scanning, project monitoring data, and lessons learned.

PRACTICE STATEMENT	SIMPLE PARAPHRASES (Posed as questions)
16. *Routinely* solicits and uses stakeholder feedback to expand impact.	Does the organization often ask stakeholders about their experiences and views of the organization? Does it use what it learns to improve its work?
17. *Regularly* scans for trends relevant to organizational mission and services.	Does the organization carefully monitor the context in which it operates to detect changes that might influence its work?
18. *Regularly* uses data to monitor project performance.	Does the organization gather information and use metrics to assess how well its projects are doing?
19. Meets *regularly* to learn lessons from project successes and failures.	Does the organization bring stakeholders together to reflect on what went well and what didn't, so it can improve its work?
20. *Routinely* fosters innovations by testing out new ideas.	Does the organization work to identify and try out new and better ways to do its work and achieve its mission?

PERFORMANCE DOMAIN: ATTRACTS AND SUSTAINS SUPPORT

KEY TERMS:

- **Attracts and sustains support:** This refers to an organization's work to establish and manage connections, alliances, or partnerships, including funding relationships, that enhance organizational reach and impact. This domain also encompasses social capital and political neutrality.
- **Stakeholders:** The individuals, groups, or organizations that interact with or are affected by a project or intervention. Stakeholders include clients, implementers, donors, community members, and partners, as well as other actors operating in the same context or system. In some instances, stakeholders may also include project staff.
- **Multi-stakeholder networks:** Formal or informal groups of people and organizations (such as grassroots groups, local businesses, government officials, community leaders, NGOs, donors) that join together to share information and resources to achieve a common purpose.
- **Peer organizations:** Other groups that work on the same or similar issues.
- **Cross-sectoral actors:** Groups or individuals that represent different segments of society (e.g., business, government, citizen or grassroots groups, NGOs). Cross-sectoral actors may also include groups or individuals that work on different but complementary issues (e.g., groups that focus on democracy and governance, education, and health might join forces to improve the well-being of traditionally marginalized communities).

PRACTICE STATEMENT	SIMPLE PARAPHRASES (Posed as questions)
21. *Regularly* communicates with stakeholders about organizational achievements and challenges.	Does the organization keep stakeholders informed about its successes as well as its current or potential problems in a timely way?
22. Provides stakeholders, on an *ongoing basis*, with meaningful opportunities to contribute to the organization's work.	Does the organization actively offer its stakeholders the chance to help shape, engage in, and actively support its activities?
23. *Actively* participates in multi-stakeholder networks.	Does the organization significantly engage in advancing the network's purpose by playing a leadership role, sharing information, contributing ideas, or providing resources?
24. *Frequently* shares useful information and valuable resources with peer organizations.	Does the organization communicate its insights, knowledge, or lessons learned to other groups doing similar work?
25. *Frequently* takes joint action with cross-sectoral actors to address issues of common concern.	Does the organization work with groups and individuals from different segments of society (e.g., business, government, grassroots, the media) or different focus areas (e.g., health, education, democracy and governance) to identify and take action on needs that arise?

Annex 3: Quick Guide to Facilitating the Mapping and Analysis Tasks

→ *It is recommended that facilitators print out this guide for easy reference.*

At the beginning of the mapping session, identify one person who will record any suggestions regarding supporting evidence. These suggestions should flow from the discussion of each practice statement. Each practice statement should be discussed and scored before moving to the next statement.

A **data manager** will record scores in the PERFORM Microsoft Excel data template. Note that the practice rating represents a consensus score that is generated through facilitated discussion. A **notetaker** should record all ideas for evidence that can be used to support the group's scoring for each practice statement.

Here are the steps a facilitator might follow during the mapping phase:

1. Invite a participant to read a practice statement.

2. Invite another participant to paraphrase the practice statement, using their own words to express the same idea. Make certain that everyone understands what each practice statement means.

3. Discuss the words in italics by asking, "What do you think these words mean in terms of a desired or ideal state?" In other words, if the italicized word is *routinely* or *frequently*, how often must the behavior (practice) occur to score well on this practice?

4. Where the statement has a significant bearing on the performance goal (as set during the preparation phase), help the team establish that linkage. You might say, "How does this practice help us to achieve the performance goal we set for ourselves earlier in this process?"

5. Move on to the practice rating. Ask participants what number they would choose (high performance = 3; medium performance = 2; poor performance = 1). As participants share their proposed scoring, ask them about the evidence they might offer to support their preferred score (which the notetaker should capture). If there is consensus, ask the data manager to enter the performance rating in the mapping tab of the PERFORM Microsoft Excel data template. If consensus has not been reached, continue discussing for no more than five minutes. If after five minutes consensus cannot be achieved, choose the modal rating (the score most frequently cited). If there are two ratings that are cited with equal frequency, average them. If the average isn't a whole number, round down to the **lower** value.

Once all five practice statements have been scored within a given performance domain, ask participants to individually score the drivers for each practice statement using the driver scoresheet (Annex 1).

USING THE DRIVER SCORESHEET

Each team member should receive a copy of the driver scoresheet (Annex 1) at the beginning of the mapping session.

Review the five performance drivers to ensure that team members have a common understanding of what each means and how it will be scored. Driver descriptions appear at the top of the scoresheet, along with an explanation of the driver scoring system. The facilitator might ask participants to paraphrase the description of each driver to ensure they have a common understanding of what they will be scoring. Refer to Annex 2 for additional support for developing a shared understanding of practice statements and performance domains.

Using the scoresheet, all team members score drivers individually, confidentially, and without group discussion. Driver scores are entered for each practice statement. Participants can enter driver ratings on their individual scoresheets *either* immediately after discussing each practice statement *or* when the five practice statements in a given capacity area have been scored through consensus.

Facilitators might wish to change the driver scoring procedure to vary the session's rhythm. Regardless of which procedure is used, participants should score all five drivers for all 25 statements. When the scoresheet is not being used, it should be placed face down.

At the end of the mapping session, the facilitator will collect scoresheets. Both the facilitator and Excel data manager must be careful to maintain scorer confidentiality.

HOW DRIVER SCORES ARE DETERMINED

Driver scores are entered into the mapping tab of the PERFORM Microsoft Excel data template after the practice ratings have been entered for all 25 practice statements. Using the individual scoresheets, the data manager determines the *modal score* (the most common score) *for each driver.* These values are entered into the cell that corresponds to the numbered practice statement (1–25) and driver number (D1–D5).

<u>**NOTE**</u>: Occasionally, there may be two modal scores (for example, in a six-member team, three people rated a driver as a 1, and three people rated the same driver as a 2). In this case, average the two modal scores to enter a score into the Excel template. When working on a performance improvement plan, it's better to underestimate driver strength (as would happen when rounding down) than to overestimate it (as might happen when rounding up).

INDIVIDUAL DRIVER SCORESHEET

- Do we have the needed human, financial, material, and technical resources for us to perform well in this area? [Resources]
- Do we have the needed contacts and connections to external actors for us to perform well in this area? [External relationships]
- Does our internal leadership encourage and promote strong performance in this area? [Supportive leadership]
- Do we have the know-how needed for us to perform well in this area? [Knowledge or skills]
- Is our organizational culture closely aligned with strong performance in this area? [Norms or culture]

Driver Scoring Legend:

This driver is…

- **Inadequate** for us to achieve our desired level of performance: 1
- **Partially adequate** for us to achieve our desired level of performance: 2
- **Fully adequate** for us to achieve our desired level of performance: 3

WORKING WITH THE PERFORM MICROSOFT EXCEL DATA TEMPLATE

“MAPPING – SCORING” AND “MAPPING – ANALYSIS” TABS

The data manager supports the work of the facilitator and is the person who enters scores into the PERFORM Microsoft Excel data template.

Before mapping begins, the facilitator should make sure that the template is up to date and includes everything that’s been completed during the preparation phase. Of particular importance are the priority ratings for the 25 practice statements, which must be entered into the mapping tab so that the urgency index scores can be generated.

How to Use the Tabs

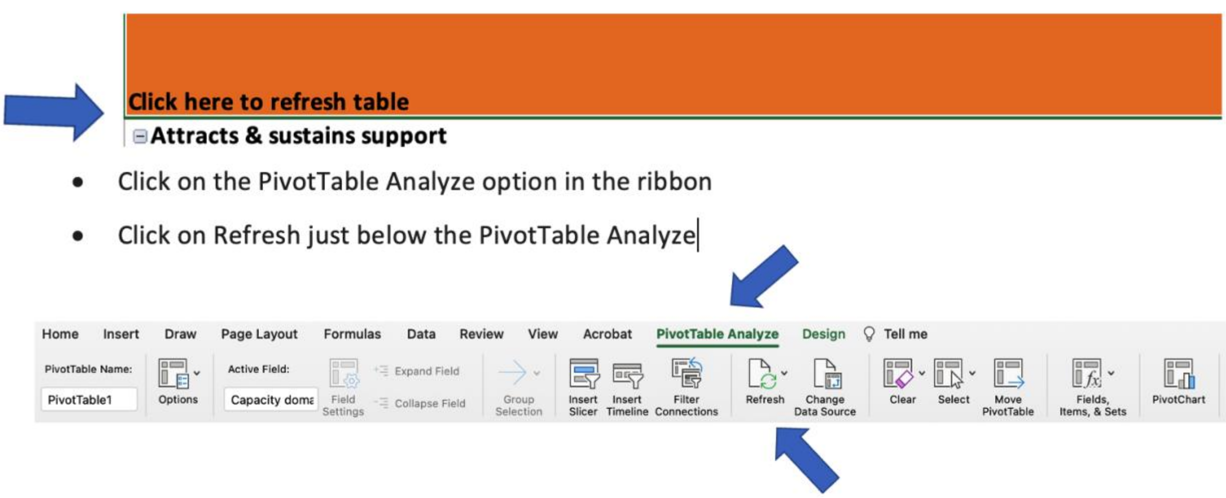
1. Open the “Mapping phase – scoring” tab in the PERFORM Microsoft Excel data template.

2. The template will automatically generate an **urgency index rating** once the **practice rating** (also referred to as performance rating in this guide) has been entered (assuming that the **priority rating** assigned to each practice during the preparation phase has been transferred to the template from information gathered in the Preparation phase).

3. Once the mapping phase is complete, open the “Mapping – analysis” tab.

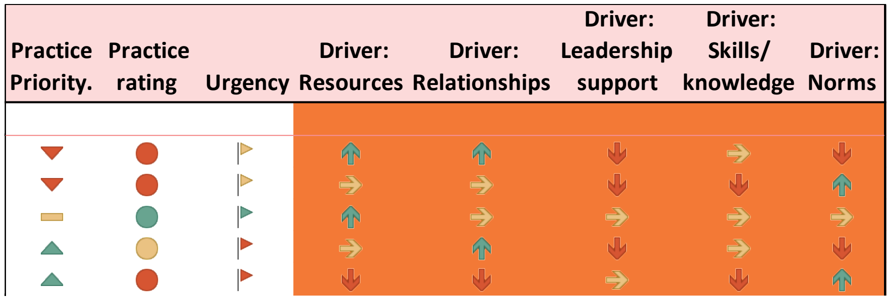
4. To set a graphical representation of the results, do the following:

   - Click on the orange box with the words “click here to refresh table.”
   - Click on the PivotTable Analyze option in the ribbon.
   - Click on Refresh just below the PivotTable Analyze.

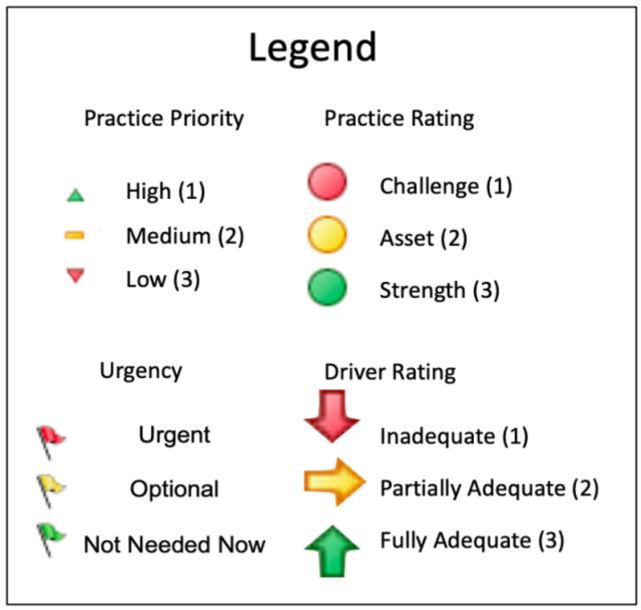


The values that you entered earlier in the “Mapping phase – scoring” tab will now appear in a more graphically appealing and accessible format.

If you do not see “pivot table analyze,” click on the words “click here to refresh table.” This message can be found on Row 16 within the large orange box.

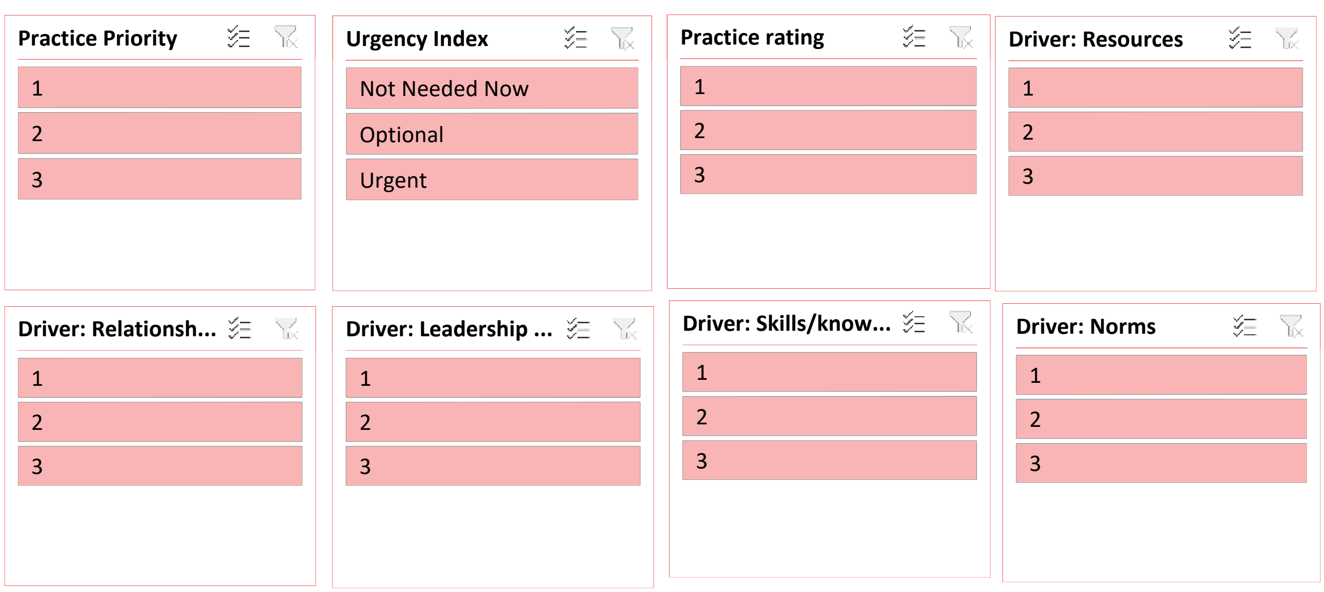


5. Scroll to bottom of the data table to Row 50 and you will see a legend.



6. Below the data table, you will find a set of filters that can be used to present different views of the data.

   The values that you entered will now appear in a more graphically appealing and accessible format.



If, for example, you wanted to view all practices that were ranked "high priority," you would use the practice priority filter and would then click on "1." Scroll up and only those practices that were rated "high priority" will appear. **Once you are finished examining the view, you must close the filter by clicking the filter icon in the top right corner of the filter to reset**. Active filters show the filter icon in bold; closed filters appear whited out as in the image above.

You can also use two or more filters simultaneously. Click on the multi-filter select icon (it resembles a bulleted list and sits to the left of the filter icon) for each filter you wish to use. Then select the values you wish to see. In the example below, the two filters selected will offer a view of all practices that were assigned high priority *and* a high practice rating. Once these views have been reviewed, **be sure to turn them off**. Note the difference between the two filters below. The two filters on the left are active, while the urgency filter is not active. When the filters are reset, they will resemble the urgency filter below. Filters can also be used to identify strong and weak drivers at a glance. In general, filters are very helpful for detecting patterns and generating performance improvement plans. Directions for using the filters can also be found in the PERFORM Microsoft Excel data template.