

# SUSHASAN

Insights on NGO Governance

Vol 2. No. 2.

April 2010

## Editorial

This is the sixth issue of SUSHASAN and CGS has constantly been in an effort to address issues and concerns of good governance to a very diverse nonprofit sector estimated to be more than half a million in our country. We are perhaps aware that in this number lie a vast majority that are small organizations that are in direct contact with the poor and marginalized of our country and contributing to their development.

Many who join the sector are compelled to take up managerial responsibilities very early, often in supervisory or leadership positions, with little formal training in nonprofit management or governance aspects of Law, Finance, Administration and Public accountability. There is a question of awareness of what is expected publicly, morally and financially and not practicing democratic principles has the potential for exploiting organizational assets for personal gain. This leads to questions of credibility and persistent doubts on the motives of organizations and the revelations of self-gain that are damaging. There is more and more restrictive state regulation, an unfavorable funding environment and a questioning of legitimacy of the voice of NGOs in public forums

Therefore there is increasingly a compelling need for us in the sector to constantly improve our systems, practices and policies, especially with those of us that are small. Whatever the size, one realizes the need for professionalism and building competencies to continually improve our efficiency and effectiveness. Quite often the word professionalism is misconstrued to be one of commercialization. Rather it is the need for a more professional work culture that is not only about bringing or developing more competent people but also conceiving and implementing systems, procedures and technology that are relevant for the organization and its activities.

In this issue we share views of those in the sector that engage and support small grassroots organizations and helped set up systems of good governance practices and have been through a similar journey themselves and how it has benefited them. We will also look at a perspective that the need for systems and practices varies with organizations at different stages of their organizational life.

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**Centre for Governance Studies in Nonprofits (CGS)**

A joint initiative of Janvikas and Entrepreneurship Development Institute of India

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Dear Readers,

SUSHASAN in this sixth issue continues to share with you valuable insights on NGO Governance and to increase the outreach to a larger number of NGOs. Our readers have been sending us their feedback and a few are contributing through a subscription. It is our desire that institutions / individuals contribute voluntarily for SUSHASAN. While there is no limit to what one may contribute we request for an annual contribution of Rs. 125/- to continue to promote the understanding of governance in NGOs. You may send in your contribution through Cheque / Demand Draft payable in the name of "Janvikas" to the below mentioned address. Also please feel free to share the experiences, concerns and queries of your organization in dealing with governance related issues through this newsletter at [ngogovernance@gmail.com](mailto:ngogovernance@gmail.com). Send us your letters, case studies, articles, news about your important events, publications and achievements. We will do our best to include as much of your contributions as possible.

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**Editorial Team** Mr. Gagan Sethi, Chair person, Janvikas,  
Mr. Mohan Krishna, Team Leader, CGS

**Announcement: Capacity Building Programme on NGO Governance 2010**

With the changing scenario in the development sector quite a few organizations are facing challenges of transparency and legitimacy due to lack of documentation and efficient organizational systems. More now than ever before, the need and importance of Institutional systems are felt necessary by most vibrant organizations today. For the various systems of the organization to function efficiently, they can be aligned by strengthening the Governance of the organization that necessarily oversees alignment of the organization's purpose, action and processes.

As an organization grows, the need to engage meaningfully with the Governing Board increases and it becomes imperative that the Board receives accurate, timely and vital information to enable informed decisions in an efficient and effective manner. We have been advocating for the role of a "Governance Officer" in NGOs in the same way there are company secretaries in Companies. However, this is a role in the organization that anchors the responsibility of governance and prepares the information system of the organization for the Board. A role that could be performed by an administrative / finance person of an NGO either as part of existing responsibilities or as an exclusive identity depending on the size and scope of the organization.

Bearing in mind this need the Centre for Governance Studies in Nonprofits *A joint initiative of Janvikas and Entrepreneurship Development Institute of India*, ECONET and the Human and Institutional Development Forum (HIDF) jointly announce the Capacity Building Programme on NGO Governance 2010.

**Programme Objective:** To help strengthen governance systems of the organization through building capacity of nominated person/s from the organization and enable him / her to anchor the role of governance in the organization with backstopping support if required

**Eligible Organizations:** NGOs must nominate one staff member who is minimum a graduate and is involved in managing administrative / financial functions over the last 2 years in the organization.

*Continued on last cover page*

# NGOs at the grassroots and their Governance issues

An interview with Vijay Parmar, CEO/Trustee, Janvikas

## What do we mean by grassroots organizations?

Small grassroot NGOs are those that operate within local communities and in limited local areas, very close to communities that they work with, or with population groups that are difficult to reach. By small I mean those with very few full time staff and many associated as volunteers. The financial turnover would normally not exceed beyond 10 lakhs. Some grassroot organizations do not have financial turnover recorded in their books of accounts.

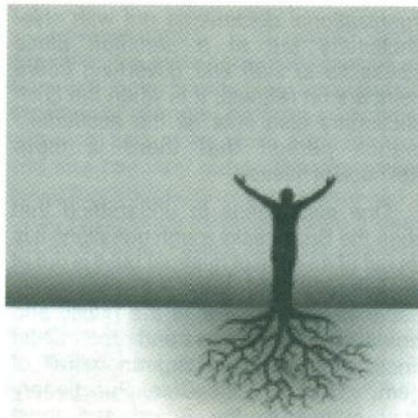
## What are the characteristics of grassroots organizations?

One could broadly differentiate two categories of NGOs, those that are development based and those that are Human Rights based. There are grassroots organizations under both these categories.

The primary purpose of a development based NGO is the design and implementation of development-related projects - large Government poverty alleviation or education projects, where they are engaged in supervising, coordinating and implementation of basic services be it health, education, water and land development while ensuring public participation of alternative development models or environmentally sustainable ways of living, or improving quality of services.

The primary purpose of Human Rights based NGOs is anchored in a system of rights and corresponding obligations established by law national and international. This helps to promote the sustainability of development work, empowering people themselves - especially the most marginalized - to participate in policy formulation and hold accountable those who have a duty to act.

Typically grassroots organizations are led and managed by one person with little if not any staff and volunteers. There are hardly any systems and structures that one might find in larger organizations. The requirements of governance in these organizations are very simple. In several small grassroots organizations the chief functionary keeps all the documents with him or her, signs the cheques, prepares the vouchers, makes the payments and



gets the books of accounts prepared by an external person who may also be the statutory auditor. This leads to potential misuse / mismanagement of funds and also leads to mistrust among the staff, donors and others.

There are hardly professional people involved in its management and led by those we may call para-professionals. There is the need for professionals to engage and improve management and this need not necessarily mean formally qualified but those with the necessary governance perspective. They may have a vision yet the approach is short term. I know of several grassroots NGOs who have developed strategic plans and perspective plans yet it is not only the perspective and the strategy but also resources and the capacity to manage the resources that helps sustain an organization.

## What is the need for grassroots organizations?

The relevance and need for grassroots organizations is probably more crucial in the case of our country than any other. There are several countries where citizens' rights are guaranteed and ensured. However, in our context there is a culture of discrimination and non implementation of basic rights such as for example obtaining a job card, or a ration card. This is where small rights based grassroots NGOs perform a significant role to facilitate the process of proper implementation through various strategies and engage with communities to change the mindsets and behavior with regard to caste, gender and religion based inequalities practiced in day to day life. This can bring about real social change which is about changing mindsets. There is a genuine need to engage with such organizations and there are many

that are not supported. It is only they who can bring about change and it is better to remain small.

Large organizations that are human rights based have their limitations of dealing with this directly either due to their focus on their role as a support organization or in their role of policy advocacy. The question would then be that in adopting such a strategy how cost effective are they? Small organizations are members of many networks. True networks come for the cause and fight for it. However, over time some of these networks have become a vehicle for resource mobilization.

## What are the issues of governance with small grassroots organizations?

Governance related issues vary from small to large organizations. With large organizations the issues relate more to policies at the level of the Board while with grassroots organizations they relate to the fact that they are single person organizations. Typically, one who wants to initiate an NGO would bring in his / her friends and family in the making of the governing body. There are also those who have high profile members lending their names as board members and yet hardly even attend meetings. Even if they do they lay far too much trust on the chief functionary and overlook the need for setting up systems of checks and balances. The Board Members leave so much to the decision of the founder leader offering tremendous scope and potential for exploiting organizational assets for personal gain.



I have witnessed a leader who founded a grassroots organization working for dalit upliftment. The Board of the organization despite being well aware about governance was so enamored by the cause and passion espoused by the leader that they placed a great deal of faith on him and did not find the need to ensure necessary systems of checks and balances within the organization essential for good governance. The chief functionary found himself not answerable to anyone. Donors were so impressed with the cause that they started giving large grants without ensuring whether the organization had the necessary systems and capacity to manage it effectively. The organization witnessed a series of misdeeds. There were steadily reports of alcohol bottles in the office premises, incidents of sexual abuse and money laundering. This finally led to the collapse of the organization and this is not a lone incident.

There is nothing wrong in grassroots organizations managing larger grants but they need to have the capacity and the mindset. While small grassroots organizations are able to manage small amounts of finance the moment larger amounts come there is the need to build the capacity and introduce a system of proper oversight. This is a crucial phase



for an organization.

Therefore, there is a need for maintaining simple systems such as role of book keeping, making payments, joint signatories to operate bank accounts and to keep all relevant project documents / organizational documents not with chief functionary but at a common place accessible to staff and governing board members on request. It is when the chief functionary also acts as the accounts / finance person that there is more likelihood of misuse.

One also needs to understand that when the Board asks tough questions it is not out of a sense of mistrust but it is out of an authority that they are collectively responsible and liable to the public and regulatory authorities and the Chief functionary is only acting on behalf of them. Therefore the Chief Functionary must submit to the Board and must provide whatever information is asked of him / her and not feel hurt nor argue.

#### **What is the role of donors in supporting grassroots organizations?**

In the past donors supported the cause of grassroots organizations sharing the sense and commitment for the cause and less accountability systems. Though there are incidents of misuse of funds the support for grassroots organizations recently has been diminishing as it becomes difficult for a donor to deal with many grassroots organizations both administratively and logistically and it is difficult to gauge the impact at a larger level with supporting many grassroots organizations. While there are some donors that still continue supporting grassroots initiatives, in most cases donors are willing to support large support organizations. This doesn't mean that small grassroots organizations doing meaningful work have no place anymore. In fact the need is for small grassroots that have simple yet credible governance systems and follow a minimum level of standards.

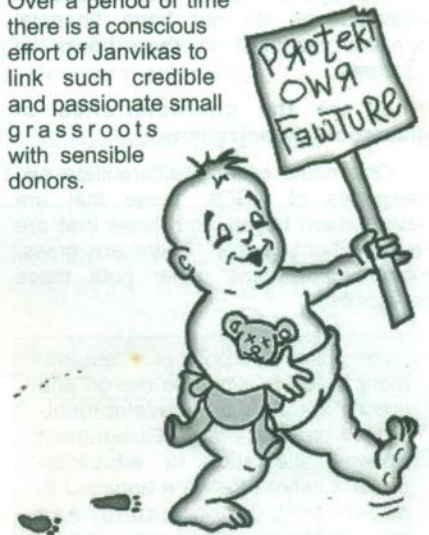
Donors have a significant role in promoting good governance in grassroots organizations such as - demanding for an internal audit system, a system of delegated authorized signatories, documents that are accessible to all or a committee that is empowered to look into accountability issues. It is important that donors must allocate a small percentage of the grant for such costs.

#### **What is Janvikas's approach in supporting grassroots organizations?**

Janvikas has always seen itself as an organization that supports grassroots initiatives for social change. Social change is about changing mindsets, changing unequal relationships and

concrete changes in the lives of the disadvantaged, discriminated communities. Our experience of supporting grassroots organizations is in the form of fellowships and we begin by drafting a terms of reference for the fellowships. The principles of good governance accountability, transparency and democratic governance - are embedded in these terms of reference. We have learnt out of practice in the past and is part of a culture building process. This is reviewed and discussed regularly with the grassroots partners and we also build capacities of small grassroots organizations and the leadership to set up systems of good governance practices.

Over a period of time there is a conscious effort of Janvikas to link such credible and passionate small grassroots with sensible donors.



A Human Rights activist for the past 25 years, Mr. Vijay Parmar began his work with Behavioral Science Centre. Core areas of his work have been social justice and empowerment of marginalized communities, especially Dalits, Adivasis, OBCs, Muslims and Valmikis. He has vast experience of initiating and strengthening grass root organizations, savings & credit cooperatives. He is the convenor of the national Dalit movement like NCDHR. He is the CEO of Janvikas

# Governance and Organizational growth stages

Mr. Mohan Krishna, Team Leader, CGS

An NGO's growth may be compared to five distinct stages of a human lifecycle viz.,

1. Infancy
2. Adolescence
3. Maturity
4. Stagnancy
5. Defunct

It is not necessary that they go through each stage and the rate at which they pass through each stage varies. A new stage in life can happen by surprise rather than by planning with a transition that may be difficult but all NGOs must adapt and grow.

**Infancy:** An NGO is usually conceived when one or more people see a need, formulate an idea to address it, and decide to form an organization to do the necessary work. The founder or group of founders is usually visionary, has a passionate commitment to the mission, and brings a high level of energy to initiate the first simple programs. If there is a single founder, this person usually assembles a small group of enthusiastic staff / volunteers who follow and encourage the founder. If more than one person initiates the organization, they may serve as the core of the board.

This is a phase where the annual operating budget is small but grows. The focus is on developing programmes. Either replicate a program or start something new in response to some disturbing issue or concern. Board members manage staff and largely volunteers, handling all other duties themselves and perform hands-on role in oversight and management.

During this early period which could last a few years an organization is particularly vulnerable, so the leaders need to be persistent, flexible, and resilient to allow programs to take root and begin to blossom. Then the organization grows.



**Adolescence:** This could occur between the third and sixth year of an organization's existence and entails expansion of new programs, broader outreach and more staff. Although age and size can vary widely, With its annual operating budget growing several-fold it could experience instability when it does not adequately anticipate the systems required for supporting growth.

The role of the Board in such cases is to

- Relinquish its operational role and focus more on advice, oversight, and long-term planning.
- Undertake a formal self-assessment process to be sure all board members are clear about their roles and responsibilities
- Develop simple systems for collecting and using data about programmatic outcomes and incorporate all this valuable information into a strategic planning process.
- Board and Chief Executive
- Focus on meeting programmatic goals served and quality of services
- Monitor organization's progress and relate it to developments in the outside world that could influence its effectiveness and viability

**Maturity:** A phase where programs are established and well regarded among its stakeholders with formalized operations and systems with its executive and board leadership capable of directing a complex organization. Normally occurs after five or six years of operations and when the budget exceeds perhaps a crore, roles and responsibilities are more clearly defined and stable programs that begin to be evaluated.

The role of the Board in such cases is to

- Reduce its operational role and focus more on fiduciary responsibilities and oversight of the chief executive
- Expand, become more diverse and specialized, and formalize its structure.
- Continually assess its own performance and modify its composition, roles, responsibilities, and structure to stay effective

**Stagnancy** can occur at any stage, from start-up through maturity. An NGO may descend rapidly into this crisis or it can take years. Though it is often possible for even seriously ailing organizations to renew themselves; but, it is a difficult, sometimes unpleasant, and usually

thankless job to accomplish. Funding support, the demand for services and the number of staff declines. Staff morale suffers and key leaders and managers leave the organization

The board must often begin the first steps of recovery with itself and with cooperation and support from the chief executive as leadership is so often at fault. Board leaders may want to retire some disengaged veteran board members and add new board members who function well in adverse circumstances and support the renewal effort. Board development will need to be directed towards bridging skill gaps, removing unproductive members, and creating new structures and processes to improve decision-making and performance.

**Defunct:** When the NGO's programs are widely considered to be ineffective and its client base has declined significantly. Although decline usually occurs over a period of time, sometimes one significant change, internal or external, is all that is needed to send a troubled organization into a swift downward spiral. Some of the indicators are:

- Loss of a compelling focus in mission and inability to operate programs effectively
- The board takes little interest in the problems of the organization and demonstrating no will or ability to initiate needed change.
- The chief executive is incapable or unwilling to take on the task of renewal and the board can find no one to do the job.
- The organization's public reputation has been damaged and seems beyond repair.

Organizational development is an organic, nonlinear flow, and an NGO can go through dramatic changes forward or back at any point in its lifecycle. Also, different parts of your organization can be in different phases at the same time. You may have mature programmes but adolescent funding. Organizations aren't static and this helps you look at the bigger picture. It's seeing where you are relative to where you want to be. There are some organizations who remain what they are and that's fine. If you have reliable indicators that say you are making good progress toward your goal, then clearly you are doing something right. You have to keep checking that you are moving.

Understanding where an organization falls in its cycle of development and how to build capacity along the way is an effort that must be made. The wilder Nonprofit Life Stage Assessment Tool is a free online tool available at <http://surveys.wilder.org/fieldstone/lifestages/> that helps determine what stage your organization is in the Nonprofit Life Cycle and knowledge about this will help realize some of the challenges your organization is experiencing. We have here a copy of the tool for your perusal.

#### The authors designed this tool

1. To provide insights on the stages of development of nonprofit organizations,
2. To help executive directors, boards of directors, and consultants who want to help nonprofit organizations grow and develop
3. As a discussion tool between board members and staff and
4. To provide benchmarks against which nonprofit organizations can gauge themselves.

The results could be used on several levels.

1. The responses to the assessment tool will place the organization in a "Home Stage" that shows the overall location within the model. While one will have a Home Stage that represents the current functioning level of your organization, the organization will also have elements of all four other stages.
2. It is possible that an organization as a whole might generally be in one Home Stage, but certain programs or arenas might be in a different stage.
3. As the Home Stage progresses from Stage One to Stage Five over time, one must acknowledge and pass through the previous developmental stages. The knowledge, experience, and information gained at each stage are needed to progress to the next stage.

#### Instructions

1. There are seven sections in the instrument, viz., Governance, Staff Leadership, Financial, Administrative Systems, Staffing and Products and Services and Marketing. We have not included marketing here.
2. Each category has 15 questions on a scale of 1-5 (1=Least like us; 5=Most like us), enter the number that best represents the current state of your organization in the box for each question.
3. After every three questions your responses must be added in the Group Total box.
4. Be sure to answer all questions.
5. Once you have answered all the questions, your responses must be totalled.
6. You will find guidance on interpreting your score at the end of this document.
7. Remember, you *must* respond to every item for the instrument to tally correctly.

#### A. Governance

- |  |                       |                       |                       |                       |                       |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. We are in the process of writing our first set of Articles of Incorporation and/or by-laws for our new organization.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 2. We do not yet have an "official, duly elected" board of directors.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 3. We do not have our first written strategic plan with measurable objectives and action steps for the organization.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 4. Our organization has adopted its first set of Articles of Incorporation and by-laws.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 5. Most if not all of the current board members knew each other before joining the board and many agreed to serve on the board because they were personal friends of the founder(s).   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 6. Our board sees itself as more of a "hands-on working Board" rather than a "hands-off policy Board".   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 7. The Board of Directors is about evenly split between those who joined the board at the personal request of the founder(s) of the organization and those who joined after the Board began a formal recruitment / nominating process for new Board members. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 8. The organization recruits Board members as much for their expertise and experience as Board members as for their passion for the organization's work.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 9. The organization is still primarily reacting to external forces more than planning how the organization will take advantage of external forces "on the horizon".  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 10. Our organization needs to complete or has recently completed its first comprehensive strategic planning process.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |

- |   |                       |                       |                       |                       |                       |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 11. The current composition of the Board makes it easier than before to raise questions about our purpose and mission, establish written board policies and begin to set a strategic direction.       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 12. The executive director and the Board have a pretty clear sense of the division of roles and responsibilities for the governance and daily operation of the organization.                          | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 13. Our organization has conducted several formal strategic planning processes since the founding of the organization.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 14. The Executive Director and the Board of Directors have a written document which describes the division of roles and responsibilities for the governance and daily operations of the organization. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 15. Our organization needs a sense of renewal and the Board needs re-energizing and re-focusing.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |

**B. Staff Leadership**

- |   |                       |                       |                       |                       |                       |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. We are not seeing a need, at this time, for a paid Executive Director.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 2. Board members tend to be the contact persons for the organizations.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 3. The vision and concept for the organization resides more in the minds of the founder(s) than anywhere else.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 4. Our leader is more visionary and entrepreneurial than operational.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 5. Our leader makes all the decisions for the organization.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 6. Our leader prefers to act with minimal participation from the Board and staff/volunteers.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 7. The organization has a full-time paid Executive Director.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 8. The executive director makes most but not all the decisions and involves the staff and Board in some of the decisions.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 9. The organization needs the Executive Director to begin separating their time between the daily operations of the organization and meeting with potential funders, community leader and other non-profit executive directors. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 10. Our Executive Director is ready and able to lead the organization in expanding its mission and program offerings to meet the needs of the community.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 11. The addition of program managers/supervisors strengthens the organization and does not hinder decision making or personal flexibility.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 12. The executive director consciously divides her/his time between tending to the daily operations of the organization and community meeting, meeting with funders, participating in non-profit trade associations, etc.       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 13. Our organization has an Executive Director who is decisive and able to work collaboratively.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 14. Our organization has an executive director who understands non-profit finances and organizational development concepts.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 15. Our organization's founder is long gone from the organization.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |

**C. Financing**

- |   |                       |                       |                       |                       |                       |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. Our revenue is primarily donations from individuals. Little if any of the revenue is derived from foundations or corporations or contracts with other non-profit or public sector organizations. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 2. We are discussing the feasibility of writing grants and/or securing contracts for additional revenue.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 3. We need to write our first one year budget. Revenue and expenses are based more on projections than historical financial data.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |

- |   |                       |                       |                       |                       |                       |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 4. Our organization has yet to develop a written plan for financing the work of the organization.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 5. Our organization's current source(s) of funding are sufficient for the work we are doing.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 6. Our organization is in the process of preparing its first grant application for operational support.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 7. Our organization has a fundraising plan, not necessarily written, which generally targets specific funding sources rather than a "shotgun" approach to fundraising.                              | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 8. Our organization can produce all financial documents that could be required by a funding source (e.g. multi-year budget, balance sheet, audit, cash flow analysis).                              | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 9. The executive director, staff and volunteers are discussing additional services and programs which would produce more revenue for the organization.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 10. Our organization's funding is a combination of income sources, i.e., earned income, donated income, contracted income, investment income rather than dependent on one or two sources of income. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 11. Our organization has a steady cash flow, adequate accounting systems and an efficient budget.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 12. As an organization, we are exploring new and expanded revenue sources to supplement our core funding. We have or are about to hire/contract for fundraising staff.                              | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 13. Our organization needs to develop and sustain new financing sources.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 14. Our organization needs to diversify its funding base with several different sources of funds, e.g., public, private, fees, contracts, donations, foundation, endowment.                         | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 15. Our organization has established or are planning to establish investment policies, planned giving an/or endowments.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |

#### D. Administrative Systems

- |  |                       |                       |                       |                       |                       |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. There is not a need for rented or donated office space at this point in time.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 2. There is not a need for the organization to have a written policy and procedure manual at this point in time.                                     | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 3. Setting up payroll, accounting and human resources functions are the least of our concerns at this time.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 4. Administrative duties are the responsibility of board member, volunteers and any paid staff.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 5. Our organization tends to follow mostly what is written in state and federal law because we have not written our own policy and procedure manual. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 6. Our organization uses a volunteer or fiscal agent to manage all of our finances.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 7. Our organization will gain greater credibility and stability when we have our own office space.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 8. Our organization has hired a staff person (or plans to hire a staff person) whose primary duties are to manage the office.                        | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 9. Our organization has grown large enough that it is time to hire a business manager and manage our own finances rather than pay a fiscal agent.    | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 10. The organization has an automated record system which keeps track of people using our services.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 11. Our organization is considering expansion of leased space or purchase of office space.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |



- |   |                       |                       |                       |                       |                       |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 12. The organization has and generally uses personnel policies, salary schedules, annual performance reviews and formal job descriptions.                                       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 13. Our organization needs many of its administrative systems revamped.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 14. The organization has departments and those departments can make administrative decisions which should fall within the approved policies and procedures of the organization. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |
| 15. Our organization is experiencing tension about the level of centralization/decentralization needed in the organization.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|   | 1                     | 2                     | 3                     | 4                     | 5                     |

### E. Staffing

- |  |                       |                       |                       |                       |                       |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. We have few if any written job descriptions.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 2. The organization has no paid staff. Volunteers do all the work of the organization.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 3. The organization does not have clearly identified supervisory and reporting relationships among the volunteers.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 4. Our organization is still predominately run by volunteers but we have paid part-time staff.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 5. Our organization is thinking about what we will eventually need for paid and unpaid staff to run our programs.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 6. Our organization generally relies on in-kind donations of specialized advice, i.e., legal, program, financial.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 7. Our organization has approximately equal number of volunteers and paid staff doing the work of the organization.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 8. As an organization, we believe too many policies and procedures will interfere with meeting community needs.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 9. Our organization is finding a greater need for staff with skills specific to our program needs rather than just generalists or all-purpose staff.                       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 10. Our organization's staff are growing more specialized in their functions and expertise and this is a positive development.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 11. Our organization's management and staff tend to operate using cross-functional, results-oriented work teams, who make most of the decisions affecting their work.      | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 12. Our organization is experiencing a mix of old/new staff plus a diversity of staff (e.g., race, culture, gender, age, graduate degrees, etc.)                           | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 13. Our organization is going through a period of a high staff turnover and low employee morale or other challenges of change and diversity.                               | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 14. Our organization has found a comfortable balance between providing service by the organization exclusively and providing service through joint/collaborative ventures. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 15. Our organization is characterized by high performing, interdependent and self-sufficient work teams.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |

### F. Products and Services

- |  |                       |                       |                       |                       |                       |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. We still are not sure what products or services our organization would offer on an ongoing basis.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 2. We are in the process of assessing the community needs relative to the mission of our organization. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |
| 3. We are generating lots of ideas for what kind of products and services we could/should provide.     | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
|  | 1                     | 2                     | 3                     | 4                     | 5                     |

4. Our organization is moving from talking about products and services to actually offering them.  1  2  3  4  5
5. Although the organization has plans and ideas for more products and services, our resources limit us to smaller activities for the moment.  1  2  3  4  5
6. Our organization thinks our products and services will do well and meet a need but we lack the evaluation systems to know if we are doing well.  1  2  3  4  5
7. Our organization is having to make decisions about whether or not to develop activities that have a high potential for funding but are not entirely consistent with the mission of the organization.  1  2  3  4  5
8. We would like to add additional products and services but lack the staff and space to do that.  1  2  3  4  5
9. We see ourselves refining and improving our current products and services before adding new ones.  1  2  3  4  5
10. The organizations products and services are well-designed and operated.  1  2  3  4  5
11. The organization's success and visibility has led to opportunities for the organization to branch off in a variety of different paths.  1  2  3  4  5
12. The organization has begun to formally evaluate all of its activities. The organization will use the information to enhance, maintain or end programs within the organization.  1  2  3  4  5
13. Our organization has a schedule for conducting evaluation of products and services.  1  2  3  4  5
14. Our organization has 30% to 60% joint programs with other non-profit and/or for profit organizations.  1  2  3  4  5
15. Our organization's products and services need to be re-designed to meet emerging client needs.  1  2  3  4  5

**The Nonprofit Life Stage Assessment**

Life Stage Scoresheet						
Governance	A1	A2	A3	A4	A5	Maximum
	3	3	3	3	3	3
Staff Leadership	B1	B2	B3	B4	B5	Maximum
	3	3	3	3	3	3
Financing	C1	C2	C3	C4	C5	Maximum
	4	9	9	8	6	9
Administrative Systems	D1	D2	D3	D4	D5	Maximum
	6	6	6	6	7	7
Staffing	E1	E2	E3	E4	E5	Maximum
	7	9	9	9	9	9
Products and Services	F1	F2	F3	F4	F5	Maximum
	7	7	8	8	7	8
Totals for each stage	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5	Maximum
	30	37	38	39	35	37
Your Home Stage is highlighted above in green.						

Life Stage Map						
Stage 5	3	3		7	9	
Stage 4	3	3			9	8
Stage 3	3	3	9		9	8
Stage 2	3	3	9		9	
Stage 1	3	3				
	G	L	F	A	S	P
G = Governance, L = Leadership, F = Finance, A = Administration S = Staffing, P = Products/Services						
Your maximum score in each arena is mapped above in gray						

# Setting up Systems for Good Governance

Anuja Krishna, Chief Executive, Econet

My transition from a Programme Director to the Chief Executive role happened gradually and with help from the Managing Trustee who was the immediate person in charge. I have always demonstrated an aptitude and a mindset equally for non-programmatic aspects such as administration and other statutory requirements of the organization.

Econet began as an NGO with more issue based work and had fewer systems. It was later that it evolved into well defined programmatic units. When the need arose to have someone in charge in the role of a Chief Executive this was one of the key reasons why I was offered the responsibility. Therefore the driving force for a Chief Executive that came naturally to me were

- The preparedness to look at institutional administration and governance issues with the skills to match it
- Clarity in understanding statutory requirements and
- The keenness to have systems in place for this.

My initial learning regarding governance began with a great deal of observation and hands on experience of the issues. While there were some areas of the organization that were functioning quite efficiently like documentation of programmatic and financial information what was lacking were policies. Along with my fellow Programme Director I began working on them and we identified about 16 different policy requirements. These were drafted rather comprehensively and were later presented to the Board for approval. After drafting the initial set of policies we encountered teething problems in implementing them in the initial stages which led to amendments with staff getting involved in contribution to policy making bringing the perspective of the user.

Let me take the simple example of "using personal computers for office work". The issue that it raised was about repairs and maintenance. Now this could happen due to a host of reasons and something as simple as frequent power cuts. This raised the issue of damage leading to either repair or replacement costs and who would bear them. We started thinking of cost-benefit assessment for the organization which would save the organization the cost of buying one desktop less and so on.

This experience made us as a group get together and discuss issues threadbare and draw out guidelines to help build policies. Any time any problem arose and gets repeated we would follow this process and see as an organization how we will address it. **A clearly written policy helped bring transparency in the organization and helped avoid difficult situations.**

Another example was about the observance of days regarded important in the voluntary sector such as Women's day, Human Rights day, etc. We discussed how we could develop this as a system within the organization and utilize these days for developing relevant skills and learning within the organization marking the significance of the days and not make it merely a symbolic exercise.

An example that comes to my mind was in the context of frequent staff turnover in the finance department. Every time a new person was recruited I had to repeat the orientation process to the new person which was a time consuming exercise. This led us towards developing a financial manual which is in progress.

One more example was to do with the objective of encouraging staff to build their training capacities as we had a Human and Institution Development orientation. The system we developed was that whenever we had to organize an internal meeting or workshop we offered the opportunity to one of the staff members in rotation to design and conduct the day's proceedings with a feedback given towards the end. With time and patience there were great results.

Also developing policies and setting up systems must be in sync with the spirit of the organization and must be aligned with the spirit of the organization depending on the nature of the issue that the organization works on such as Gender based, Rights based, etc. that determines the nature of the policy itself

As the Chief Executive initially my attention was heavily focused on governance functions and it took quite some time to put systems in place while I always used to think my work on programmes was my mainstay. **Again it is not enough to develop a system unless there is a consistent effort in operationalizing it. Any new system will**

**have problems of being accepted and unless there is enough support and the environment provided for the change people tend to revert back to older ways as they are used to the old style.** Once it is operationalized and smoothly functioning then people start realizing the benefits. Once this was on track I could give more time to the programmes.

Overall the effort improved the efficiency of the organization and once the basics were in place the staff started to point out work growth and we moved ahead. We started thinking of the organization in more strategic terms. This altered the time factor in a big way and brought in new dimensions of work.

As a small organization an advantage we had was the lack of a positional hierarchy and the lack of an information hierarchy that goes along with it. While information hierarchy makes sense sometimes the lack of it also helps bring in more ideas and therefore instead of one brain thinking there are more people involved which helps build the sense of ownership in developing systems and policies. A regular internal review system and taking feedback of reviews seriously both from the board and staff contributed in strengthening the systems.

Regular Board meetings bring about Board members' feedback and perspective on the drafted policies.

- Firstly, there is a plurality in decision making that represents a larger and more diverse set of perspectives from different constituencies. Thus, this tends to be seen as more fair by providing "voice" or input from a greater portion of the body for which the decision is made. This also helps in reviewing the changes and helps utilization of the board meeting in an effective manner. The entire preparation and presentation for the Board Meeting was also a rigor that was guided by the Board. Once it is clarified in a resource group one doesn't need to wait till further implications and it helps in adding to the entire momentum.
- Secondly, the Board also sees the alignment of these systems to objects of the trust, values and the mission of the organization.

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*Anuja Krishna has been working with Econet since 1999 and has been serving as its Chief Executive since 2004. Econet was formally registered as a trust in the year 1993 based in Pune. Econet is involved in Human and Institutional development and Legal and Advocacy support and facilitates networks comprising of grassroots organizations involved with Tribal, Nomadic, Denotified Tribes and other Backward Classes. Anuja has been involved in grass root initiatives with these communities through Human and Institutional Development perspective.*

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# Writing Policy for the Nonprofit

Mr. Gagan Sethi, Chair person, Janvikas,

A written policy is regularly needed to deal with situations that arise in the life of an organization. Many difficult situations can be avoided if an appropriate policy is already in place to serve as a reference for appropriate action, ethical decision making and managing potential or actual conflicts. Simply speaking a policy is an operational guideline for an organization that expresses a desired goal, explains a procedure, clarifies a principle or paraphrases a law.

To understand this better read the following recruitment policy of an NGO.

"The emphasis of ABC Trust's recruitment policy is to ensure a wide degree of diversity so as to ensure that people from a diverse social and economic background form the "critical mass" of the employee profile of the organization. Employment of women, minority, dalit and people from under privileged sections of the society should get priority."

And the compensation policy reads like this,

"Compensation of an employee is related to qualification and background, job content, depth and breadth of know-how and experience, consistency and level of performance, years of service, potential for satisfactorily filing a position of higher complexity and responsibility and such other considerations".

Policies in organizations are a commitment to the intent of demonstrating transparency, fairness, equality and justice and these values underlie the construction of policies internally. Broadly, an organization's policies can be in three categories

Following is a list of policies under these categories

Board-related policies	Personnel policies	Financial policies
<ul style="list-style-type: none"> <li>• Eligibility, powers, duties</li> <li>• Election of Board Members</li> <li>• Conflict of interest</li> <li>• Code of conduct</li> <li>• Confidentiality</li> <li>• Reimbursement</li> <li>• Travel expenses</li> <li>• Personal contribution</li> <li>• Quorum</li> <li>• Board Member Diversity</li> <li>• Board Rotation</li> </ul>	<ul style="list-style-type: none"> <li>• Recruitment</li> <li>• Performance appraisal</li> <li>• Working hours</li> <li>• Compensation and benefits</li> <li>• Travel expenses</li> <li>• Termination</li> <li>• Grievance redressal</li> <li>• Anti Sexual harassment</li> </ul>	<ul style="list-style-type: none"> <li>• Authorization Policies and Procedures</li> <li>• Fund Disbursement</li> <li>• Bank, Cash and Investment</li> <li>• Accounting, Record Keeping and Financial Control</li> <li>• Fixed Assets</li> <li>• Financial Reporting</li> <li>• Risk management</li> <li>• Audit</li> </ul>

The primary policies for an organization are mostly found in the governing instrument and define the role of the general body and governing body, how they are elected, how they function during board meetings and how their work is structured. However, the governing instrument normally only creates the very basic structure for the organization's functioning and not cluttered with details.

The sequence of policy-making can be in sync with the Organizational Life Cycle. In the initial phase it is the norms, then the convention and then the policy. Therefore in the early life of an organization there are more norms and very few at all any policy and by the time the organization reaches maturity the written policies are the largest chunk and it does not mean that the organization doesn't have norms. Thus one is not advocating absence of norms but ensuring that with the growth of the organizational policies, rules, conventions and norms are dove-tailing into each other and not in contradiction to each other. However, old or well thought through an organization's policies may be there must be space for its review and a mechanism to initiate review.

Drafting a policy takes brainstorming, team effort and research as it is necessary to know legal requirements as well. Particularly when dealing with staff related issues and office procedures the need for new policies arises from the staff and staff involvement in policy formulation is important as they put these policies into action. Though it is the board's task to give the final approval both board and staff can be involved in organizational policy formulation. Before approving on a specific policy the board accumulates facts and recommendations from knowledgeable sources, deliberates and take a clear position, and afterwards enforce and / or revises it as needed.

Norms and rules can be made by staff as long as they are not in contravention to policies meaning that they are subservient to the policies of the organizations. Consider the following example, "All employees are entitled to 30 days leave in a year. The leave year is April 1 through March 31. No leave can be availed without prior approval except in case of unforeseen circumstances. Carryover of leave is not permitted and unavailed leave lapses automatically"

Now which leave when to be taken is a matter of rule that the organization may give to different units or individuals to choose. So 15 can be common to the entire organization and 8 can be decided at a unit level and the balance 7 can be a choice of every individual. Thus you can then bring in space for diversity of individuals wanting holidays for their very specific events like birthdays and anniversaries, etc. while agreeing to certain common holidays like, Independence Day, Republic Day, Gandhi Jayanthi, etc. This is a simple example to understand the range between norms and policies. Norms can be revisited anytime, Rules once in a year and policies once in 3 years to ensure that they continue to remain relevant.

# स्वैच्छिक संस्थान के लिए नीति लेखन

गगन सेठी, चेर परसन, जनविकास

संस्था के जीवन काल में उत्पन्न परिस्थितियों के साथ निपटने के लिए लिखित नीति की लगातार आवश्यकता पड़ती है। वास्तविक तकरार, क्षमता, प्रबंधन और नैतिक निर्णय लेने के लिए और उचित कार्यवाही के संदर्भ में अगर उपयुक्त नीति पहले से ही हो तो, कई कठिन परिस्थितियों से बचा जा सकता है। सरल भाषा में कहें तो एक संस्था के लिए परिचालक दिशानिर्देशिका है, जो कि इच्छित लक्ष्य को व्यक्त करता है, प्रक्रिया को समझाता है और सिद्धान्त या कानून के सारांश को स्पष्ट करता है।

इसको अच्छी तरह समझने के लिए, एक संस्थान की निम्नलिखित भर्ती की नीति को पढ़ते हैं। ए बी सी संस्था की भर्ती नीति का जोर, विभिन्नता के स्तर को सुनिश्चित करता है ताकि विभिन्न सामाजिक और आर्थिक पृष्ठभूमि से लोग, संस्था के कर्मचारी के, प्रोफाइल के महत्वपूर्ण समूह का निर्माण करें। महिलाओं, अल्पसंख्यों, दलित समाज के विशेषाधिकृत से वंचित वर्ग के लोगों को, रोजगार में प्राथमिकता मिलनी चाहिए।

और मुआवजे नीति कुछ इस तरह है: “मुआवजा कर्मचारी के योग्यता और पृष्ठभूमि, कार्य प्रणाली और अनुभव, सामानजस्य और प्रदर्शन की जिम्मेदारी, पद को भरने के लिए संतोषजनक क्षमता और इस तरह के विचारों से संबंधित है।” संगठनों की नीतियाँ, पारदर्शिता के प्रदर्शन का आशय, निष्पक्षता, समानता और न्याय से प्रतिबंध है और इन्हीं मूल्यों से, आंतरिक नीतियों के निर्माण को, कायम रखते हैं। मोटे तौर पर एक संगठन की नीतियों को तीन प्रभाग में बाँटा जा सकता है।

(१) बोर्ड से संबंधित (२) कर्मचारी या स्टाफ से संबंधित (३) वित्तीय नीतियाँ

संगठन की प्राथमिक नीतियाँ ज्यादातर संचालन के साधन में पाई जाती हैं और आम सभा और संचालन ढाँचे की भूमिका को परिभाषित करती हैं। बोर्ड की बैठकों के दौरान वो कैसे कार्य करते हैं और कैसे उनका काम संरचित है? हालांकि, संचालन साधन सामान्य रूप से केवल संगठन के काम काज के मूल संरचना को बनाता है और विवरण के साथ अव्यवस्था नहीं करता है।

नीति को बनाने के अनुक्रम को संगठनात्मक के जीवन चक्र के साथ प्रारंभिक चरण में यह मानक है फिर सम्मेलन, फिर नीति, इसलिए संगठन के प्रारंभिक जीवन में ज्यादा मानक लेते हैं आर बहुत कम शायद ही कोई नीति हो और जब संगठन परिपक्वता में पहुंचता है तब लिखित नीतियों सबसे ज्यादा होती हैं। और इसका मतलब यह नहीं है कि संस्था में मानक नहीं होते। इस प्रकार नियमों के अभाव की कोई वकालत नहीं कर रहा है। लेकिन यह, संगठनात्मक नीतियों के विकास के साथ, नियमों, परंपराओं और मानदंड को एक दुसरे के साथ मिलाना सुनिश्चित करते हैं और एक दूसरे से अन्तरविरोध नहीं है। हालाँकि पुराने और अच्छी तरह से सोचे गए संगठनात्मक नीतियों की समीक्षा, की जगह होनी चाहिए और समीक्षा को आरंभ के लिए एक तंत्र होना चाहिए।

एक नीति के आलेखन में बुद्धिशीलता, समूह, प्रयास और संशोधन कि जरूरत होती है जैसे कानूनी जरूरतों की समझ आवश्यक है। विशेषकर जब कर्मचारियों के संबंधित मुद्दों और कार्यालय प्रक्रिया में नई नीतियों की जरूरतों को उठाना

और नीतियों के संवादन में कर्मचारी की भागीदारी आवश्यक है क्योंकि वह इन नीतियों को अमल में लाते हैं। हालाँकि अन्तिम मजूरी देने का कार्य बोर्ड का है, दोनों बोर्ड और कर्मचारी संगठनात्मक नीतियों को बनाने में शामिल हो सकते हैं। विशेष नीति को मंजूरी देने से पहले बोर्ड, स्रोतों से तथ्य और सुझावों को जानकारो से इकट्ठा कर लेता है। समझबुझ कर एक स्पष्ट पक्ष लेता है और/ या बाद में लागू या जरूरत के हिसाब से संशोधन करता है।

मानदंडों और नियमों को कर्मचारियों द्वारा बनाया जा सकता है, जब तक वो नीतियों का उल्लंघन न करें जिसका अर्थ है कि वे संगठन के नीतियों के आधीन हैं।

निम्नलिखित उदाहरण के तौर पर विचार करें तो :-

सभी कर्मचारी साल में ३० दिनों की छुट्टियों के हकदार हैं। १ अप्रैल से ३१ मार्च के दौरान छुट्टियों का समय होता है। बिना पूर्व मंजूरी के कोई भी छुट्टी नहीं ली जा सकती, अन्यथा अप्रत्याशित परिस्थितियों में छुट्टी को आगे बढ़ाने की अनुमति नहीं है। बिना लिए गये अवकाश या न ली गई छुट्टियाँ अपने आप खत्म हो जाती हैं। कौन सी छुट्टी कब ली जाय ये नियमों का मामला है, जो चुनाव के लिए संगठन विभिन्न इकाईयों या व्यक्तियों को दे सकता है। २१ छुट्टियों पूरे संगठन के लिए आम हो सकती हैं, और ८ छुट्टियों का इकाईयों के स्तर पर निर्णय लिया जा सकता है, और शेष ७ हर व्यक्ति का एक विकल्प हो सकता है। इस तरह आप व्यक्तियों कि विविधता के लिए जगह बना सकते हैं। जो व्यक्ति अपने जन्मदिन वर्षगांठ जैसे विशेष अवसरों पर छुट्टी लेने की इच्छुक हो आदि। जब कि कुछ आम छुट्टियों की सहमती से जैसे स्वतंत्रता दिवस, गणतंत्र दिवस, गाँधी जयन्ती इत्यादि से, मानदंड और नीतियों के बीच के अन्तर को समझने के लिए यह सबसे सरल उदाहरण है।

इन निम्नलिखित नीतियों के श्रेणी के तहत यह सूची है :-

बोर्ड से संबंधित	कर्मचारी से संबंधित	वित्तीय नीतियाँ
<ul style="list-style-type: none"> <li>योग्यता, शक्ति, कर्तव्य</li> <li>बोर्ड के सदस्यों का चुनाव</li> <li>हित के संघर्ष</li> <li>आचार संहिता</li> <li>गोपनीयता</li> <li>मुआवजा, अदायगी</li> <li>यात्रा खर्च</li> <li>व्यक्तिगत योगदान</li> <li>बैठक में उपस्थिति</li> <li>विभिन्नता बोर्ड में फेर बदल</li> <li>कार्य से निष्काशन</li> </ul>	<ul style="list-style-type: none"> <li>भर्ती</li> <li>प्रदर्शन की समीक्षा</li> <li>कार्यकाल समयावधि</li> <li>क्षतिपूर्ति और लाभ</li> <li>निष्काशन / समाप्ति</li> <li>शिकायत निवारण</li> <li>यौन विरोधी उत्पीड़न</li> </ul>	<ul style="list-style-type: none"> <li>प्राधीकरण नीतियाँ और प्रक्रियाएँ</li> <li>फंड वितरण</li> <li>लेखांकन वित्त नियंत्रण और</li> <li>रिकार्ड का रखरखाव</li> <li>तय आस्तीयां</li> <li>वित्तीय रिपोर्टिंग</li> <li>योजना और बजट</li> <li>जोरिखम प्रबंधन</li> <li>ओडीट व्यवस्था</li> </ul>

# सुशासन की प्रणालियां स्थापित करना

- अनुजा कृष्णा, मुख्य कार्यपालक, इकोनेट

कार्यक्रम निदेशक से मुख्य कार्यपालक में मेरा संक्रमण धीरे-धीरे और प्रबंधकीय न्यासी, जो मेरा निकटतम प्रभारी था, की मदद से हुआ। मैंने हमेशा कार्यक्रमेतर प्रकार्यों, जैसे प्रशासन, और संस्था के लिए आवश्यक अन्य वैधानिक आवश्यकताओं में रुचि एवं कुशलता दर्शाई है।

इकोनेट ने शुरुआत मुद्धों पर आधारित गैरसरकारी संगठन के रूप में की थी और उसमें कम प्रणालियां थीं। बाद में ही उसमें सुपरिभाषित कार्यक्रम इकाइयां विकसित हुईं। जब मुख्य कार्यपालक की जरूरत महसूस की गई, मेरे लिए इस भूमिका में उतरना निम्नलिखित कारणों से आसान रहा:

- संस्था की प्रशासनिक और सुशासन-संबंधी आवश्यकताओं पर ध्यान देने की इच्छा और इसके लिए आवश्यक कुशलताओं का होना
- वैधानिक आवश्यकताओं की स्पष्ट समझ, और
- इसके लिए प्रणालियां स्थापित करने का उत्साह।

सुशासन के बारे में मेरी प्रारंभिक शिक्षा खूब सारे निरीक्षण और विभिन्न मुद्धों के बारे में व्यक्तिगत अनुभव से हुई। संस्था के कुछ क्षेत्रों में बढ़िया काम हो रहा था, जैसे कार्यक्रमों और वित्तीय सूचनाओं का अभिलेखन, परंतु नीतियों का अभाव था। मेरे सहकर्मी कार्यक्रम निदेशक के साथ मिलकर मैंने इस कमी पर कार्य करना शुरू किया और करीब 16 अलग-अलग क्षेत्रों की पहचान की जहां नीतियों की आवश्यकता थी। इनके बारे में विस्तृत मसौदा तैयार किया गया और उसे अनुमोदन के लिए बोर्ड के समक्ष रखा गया। नीतियों का मसौदा तैयार हो जाने के बाद उन्हें लागू करते हुए प्रारंभ में हमें छोटी-मोटी समस्याओं का सामना करना पड़ा। इन समस्याओं से निपटने के लिए नीतियों का संशोधन किया गया और नीति निर्धारण में कर्मचारियों का दृष्टिकोण भी शामिल किया गया, जिससे प्रयोक्ता के विचारों का लाभ भी प्राप्त हुआ।

एक उदाहरण से इसे समझाना सरल होगा, यानी दफ्तरी काम के लिए निजी कंप्यूटर के उपयोग का उदाहरण। यहां असली मुद्दा रखरखाव और मरम्मत का था। अब कंप्यूटरों में खराबी कई कारणों से आ सकती है, जैसे बार-बार बिजली गुल होना। इससे कंप्यूटरों की मरम्मत करने या उन्हें बदलने से संबंधित लागतों का मुद्दा उठा और यह मुद्दा भी कि इन लागतों को कौन चुकाएगा। हमने लागत को न्यूनतम रखने के तरीकों पर विचार किया - जैसे दफ्तर में एक कंप्यूटर कम खरीदने से होनेवाली बचत।

इस मुद्दे को सुलझाने के लिए हमें परस्पर मिलकर खूब चर्चा करने और मुद्दे को हर पहलू से देखकर सही नीतियों के

लिए उचित दिशा-निर्देश प्राप्त करने पड़े। इसके बाद जब भी कभी कोई समस्या उठती, हम यही तरीका अपनाते और पूरी संस्था मिलकर उसे सुलझाने में जुट जाती। स्पष्टता से लिखी गई नीति संस्था में पारदर्शिता लाती है और इससे कठिन परिस्थितियों से बचना संभव हुआ।

उदाहरण के लिए स्वैच्छिक संस्थाओं द्वारा महत्वपूर्ण समझे जानेवाले महिला दिवस, मानव अधिकार दिवस, आदि को मनाने का विषय लीजिए। हमने चर्चा की कि इस तरह के पवों को संस्था में मनाने के लिए एक प्रणाली कैसे विकसित की जा सकती है और वे कुशलताएं और सीखें कैसे प्राप्त की जा सकती हैं, ताकि इन पवों को मनाना केवल एक रिवाज न रहकर इनके पीछे जो सिद्धांत और विचार हैं, वे लोगों को स्पष्ट हों।

एक अन्य उदाहरण कर्मियों में प्रशिक्षण देने की क्षमता में वृद्धि करना है क्योंकि हम मानव एवं संस्था विकास का काम करते हैं। इसके लिए हमने जो प्रणाली विकसित की, वह यह था कि जब भी हमें किसी अंदरूनी बैठक या कार्यशाला आयोजित करने की जरूरत पड़ती, हम अपने में से एक कर्मी को बारी-बारी से यह काम सौंप देते हैं और वही उसका अधिकल्पन और आयोजन करता है। अंत में हम सब उसे प्रतिपुष्टि देते हैं कि उसने क्या ठीक किया और क्या नहीं। समय और धीरज के साथ काम करने पर इस नीति ने अच्छे परिणाम दिए।

मुझे एक और उदाहरण याद आ रहा है, जो है वित्तीय विभाग में लोगों के अधिक समय के लिए न टिकने की समस्या। हर बार किसी नए व्यक्ति की भर्ती होते ही, मुझे नए सिरे से उसे सब कुछ सिखाना पड़ता था, जिसमें काफी समय खर्च होता था। इसलिए हमने वित्तीय कार्यविधियों को स्पष्ट करनेवाली एक मार्गदर्शिका तैयार करने का निश्चय किया। यह काम अभी चल रहा है।

इसके साथ ही नीतियां विकसित करते समय और उन्हें लागू करने की प्रणालियां विकसित करते समय संस्था की आत्मा को भी ध्यान में रखना चाहिए और उन मुद्धों को भी जो संस्था के लिए महत्वपूर्ण हैं, जैसे जेंडर, अधिकार, आदि।

मुख्य कार्यकारी अधिकारी होने की हैसियत से प्रारंभ में मैं यही सोचती रही कि सुशासन ही मेरा प्रमुख काम है और उसी पर ध्यान देती रही, इसलिए सही प्रणालियां स्थापित करने का काम जरा पीछे रह गया, हालांकि मैं जानती थी कि मेरा मुख्य काम कार्यक्रमों को लागू करना है। यह भी कहना जरूरी है कि प्रणालियां विकसित करना बेमतलब होगा यदि उन्हें लागू करने का सुसंगत प्रयास न किया जाए। किसी भी प्रणाली को अपनाने में लोगों को शुरू-शुरू में तकलीफें होंगी और वह प्रणाली तभी सफल होगी जब उसे पर्याप्त समर्थन मिले और

उसके लिए सही परिवेश निर्मित किया जाए। यदि ऐसा न किया जाए, तो लोग नई प्रणालियों को भूलकर अपने पुराने तौर-तरीकों पर लौट आएं। जब नई प्रणालियां ठीक से काम करने लग जाती हैं तब लोगों को उनके फायदे नजर आने लगते हैं। जब प्रणालियां स्थापित हो जाएं और लोग उन्हें अपना लें, तो मेरे लिए कार्यक्रमों पर ज्यादा समय बिताना संभव हो सकेगा।

समग्र रूप से, इस प्रयास के फलस्वरूप संस्था की कार्यक्षमता बढ़ी और जब मूलभूत चीजें स्थापित हो गईं, कर्मियों ने स्वयं महसूस किया कि काम बेहतर तरीके से हो रहा है और हम तेजी से आगे बढ़ने लगे। हम अपनी संस्था के बारे में अधिक रणनीतिक रूप से सोचने लगे। इससे काफी समय बचा और नए-नए प्रकार के काम सामने आने लगे।

छोटी संस्था होने के कारण हमारी संस्था में कोई पदक्रम नहीं था और जानकारी के आदान-प्रदान भी निर्बाध रूप से होता था। यद्यपि कुछ स्थितियों में सूचनाओं के संबंध में एक पदक्रम रखना उपयोगी होता है, कई बार सूचनाओं के अभाव के कारण नए विचार अवरुद्ध हो जाते हैं। समस्या पर एक व्यक्ति मात्र सोचने के बजाए यदि कई लोग उस पर दिमाग लड़ाएं, तो हल जल्दी निकल सकता है और सही प्रणालियां और नीतियां विकसित हो सकती हैं। प्रणालियों को मजबूत करने में मदद की निमित्त रूप से अंदरूनी समीक्षाएं कराने और बोर्ड और कर्मी दोनों से ही इन समीक्षाओं के बारे में प्रतिपुष्टि प्राप्त करने की व्यवस्था।

बोर्ड की बैठकें नियमित रूप से आयोजित करने से तैयार की गई नीतियों पर बोर्ड के सदस्यों के विचार और सुझाव भी प्राप्त होते रहे।

सबसे पहले, निर्णयन में विविधता आती है जो अधिक विस्तृत दृष्टिकोण और अनुभव को शामिल करता है। इससे नीतियों के बारे में यह राय बनती है कि वह निष्पक्ष हैं और जिन लोगों के लिए ये नीतियां बनाई गई हैं, उनमें से अधिक संख्या में लोगों को लगता है कि ये नीतियां बनाने में उनका भी योगदान रहा है। इससे परिवर्तनों की समीक्षा करने और बोर्ड की बैठकों का इसके लिए प्रभावशाली रूप से उपयोग करने में मदद मिलती है। बोर्ड की बैठक का बंदोबस्त करने और उसकी प्रस्तुतियां विकसित करने की प्रक्रिया को भी बोर्ड ने सक्रिय रूप से दिशा-निर्देशित किया। जब किसी संसाधन गुट में बात स्पष्ट हो जाती है, तो उसे अन्य अनुमोदनों के लिए रुकना नहीं पड़ता और कार्यान्वयन में तेजी आती है।

दूसरा फायदा यह है कि बोर्ड इन चीजों को संस्था के विश्वासों, मूल्यों और मिशन से जुड़ा हुआ देख सकता है।

अनुजा कृष्णा 1999 से इकोनेट में काम कर रही हैं और 2004 से वे उसकी मुख्य कार्यकारी अधिकारी हैं। इकोनेट को एक न्यास के रूप में 1993 में पुणे में औपचारिक रूप से पंजीकृत किया गया। इकोनेट मानव एवं संस्था विकास और कानूनी पैरवी समर्थन के क्षेत्र में काम करता है। वह जमीनी स्तर की संस्थाओं के नेटवर्कन में मदद करता है। इन संस्थाओं में शामिल हैं जनजातियों, घुमंतू समुदायों, अनुसूचित जनजातियों और अन्य पिछड़े वर्गों के साथ काम कर रही संस्थाएं। अनुजा इन समुदायों के लिए शुरू किए गए कार्यक्रमों से जुड़ी रही हैं। उनका दृष्टिकोण मानव एवं संस्था विकास रहा है।

# स्वैच्छिक संस्थान के लिए नीति लेखन

गगन सेठी, चेर परसन, जनविकास

संस्था के जीवन काल में उत्पन्न परिस्थितियों के साथ निपटने के लिए लिखित नीति की लगातार आवश्यकता पड़ती है। वास्तविक तत्कार, क्षमता, प्रबंधन और नैतिक निर्णय लेने के लिए और उचित कार्यवाही के संदर्भ में अगर उपयुक्त नीतियाँ पहले से ही हो तो, कई कठिन परिस्थितियों से बचा जा सकता है। सरल भाषा में कहें तो एक संस्था के लिए परिचालक दिशानिर्देशिका है, जो कि इच्छित लक्ष्य को व्यक्त करता है, प्रक्रिया को समझाता है और सिद्धान्त या कानून के सारांश को स्पष्ट करता है।

इसको अच्छी तरह समझने के लिए, एक संस्थान की निम्नलिखित भर्ती की नीति को पढ़ते हैं। ए बी सी संस्था की भर्ती नीति का ज़ोर, विभिन्नता के स्तर को सुनिश्चित करता है ताकि विभिन्न सामाजिक और आर्थिक पृष्ठभूमि से लोग, संस्था के कर्मचारी के, प्रोफाइल के महत्वपूर्ण समूह का निर्माण करें। महिलाओं, अल्पसंख्यों, दलित समाज के विशेषाधिकृत से वंचित वर्ग के लोगो को, रोजगार में प्राथमिकता मिलनी चाहिए।

और मुआवजे नीति कुछ इस तरह है: “मुआवजा कर्मचारी के योग्यता और पृष्ठभूमि, कार्य प्रणाली और अनुभव, सामानजस्य और प्रदर्शन की जिम्मेदारी, पद को भरने के लिए संतोषजनक क्षमता और इस तरह के विचारों से संबंधित है।” संगठनों की नीतियाँ, पारदर्शिता के प्रदर्शन का आशय, निष्पक्षता, समानता और न्याय से प्रतिबंध है और इन्ही मूल्यों से, आंतरिक नीतियों के निर्माण को, कायम रखते हैं। मोटे तौर पर एक संगठन की नीतियों को तीन प्रभाग में बाँटा जा सकता है।

(१) बोर्ड से संबंधित (२) कर्मचारी या स्टाफ से संबंधित (३) वित्तीय नीतियाँ

संगठन की प्राथमिक नीतियाँ ज्यादातर संचालन के साधन में पाई जाती हैं और आम सभा और संचालन ढाँचे की भूमिका को परिभाषित करती हैं। बोर्ड की बैठकों के दौरान वो कैसे कार्य करते हैं और कैसे उनका काम संरचित है? हालांकि, संचालन साधन सामान्य रूप से केवल संगठन के काम काज के मूल संरचना को बनाता है और विवरण के साथ अव्यवस्था नहीं करता है।

नीति को बनाने के अनुक्रम को संगठनात्मक के जीवन चक्र के साथ प्रारंभिक चरण में यह मानक है फिर सम्मेलन, फिर नीति, इसलिए संगठन के प्रारंभिक जीवन में ज्यादा मानक लेते हैं आर बहुत कम शायद ही कोई नीति हो और जब संगठन परिपक्वता में पहुँचता है तब लिखित नीतियों सबसे ज्यादा होती हैं। और इसका मतलब यह नहीं है कि संस्था में मानक नहीं होते। इस प्रकार नियमों के अभाव की कोई वकालत नहीं कर रहा है। लेकिन यह, संगठनात्मक नीतियों के विकास के साथ, नियमों, परंपराओं और मानदंड को एक दुसरे के साथ मिलाना सुनिश्चित करते हैं और एक दूसरे से अन्तरविरोध नहीं है। हालाँकि पुराने और अच्छी तरह से सोचे गए संगठनात्मक नीतियों की समीक्षा, की जगह होनी चाहिए और समीक्षा को आरंभ के लिए एक तंत्र होना चाहिए।

एक नीति के आलेखन में बुद्धिशीलता, समूह, प्रयास और संशोधन कि जरूरत होती है जैसे कानूनी जरूरतों की समझ आवश्यक है। विशेषकर जब कर्मचारियों के संबंधित मुद्दों और कार्यालय प्रक्रिया में नई नीतियों की जरूरतों को उठाना और नीतियों के संवादन में कर्मचारी की भागीदारी आवश्यक है क्योंकि वह इन नीतियों को अमल में लाते हैं। हालाँकि अन्तिम मजूरी देने का कार्य बोर्ड का है, दोनों बोर्ड और कर्मचारी संगठनात्मक नीतियों को बनाने में शामिल हो सकते हैं। विशेष नीति को मंजूरी देने से पहले बोर्ड, स्रोतों से तथ्य और सुझावों को जानकारो से इकट्ठा कर लेता है। समझबुझ कर एक स्पष्ट पक्ष लेता है और/ या बाद में लागू या जरूरत के हिसाब से संशोधन करता है।

मानदंडों और नियमों को कर्मचारियों द्वारा बनाया जा सकता है, जब तक वो नीतियों का उल्लंघन न करें जिसका अर्थ है कि वे संगठन के नीतियों के आधीन है।

निम्नलिखित उदाहरण के तौर पर विचार करें तो :-

सभी कर्मचारी साल में ३० दिनों की छुट्टियों के हकदार है। १ अप्रैल से ३१ मार्च के दौरान छुट्टियों का समय होता है। बिना पूर्व मंजूरी के कोई भी छुट्टी नहीं ली जा सकती, अन्यथा अप्रत्याशित परिस्थितियों में छुट्टी को आगे बढ़ाने की अनुमति नहीं है। बिना लिए गये अवकाश या न ली गई छुट्टियाँ अपने आप खत्म हो जाती हैं। कौन सी छुट्टी कब ली जाय ये नियमों का मामला है, जो चुनाव के लिए संगठन विभिन्न इकाईयों या व्यक्तियों को दे सकता है। २१ छुट्टियाँ पूरे संगठन के लिए आम हो सकती है, और ८ छुट्टियाँ का इकाईयों के स्तर पर निर्णय लिया जा सकता है, और शेष ७ हर व्यक्ति का एक विकल्प हो सकता है। इस तरह आप व्यक्तियों कि विविधता के लिए जगह बना सकते हैं। जो व्यक्ति अपने जन्मदिन वर्षगांठ जैसे विशेष अवसरों पर छुट्टी लेने की इच्छुक हो आदि। जब कि कुछ आम छुट्टियाँ की सहमती से जैसे स्वतंत्रता दिवस, गणतंत्र दिवस, गाँधी जयन्ती इत्यादि से, मानदंड और नीतियों के बीच के अन्तर को समझने के लिए यह सबसे सरल उदाहरण है।

इन निम्नलिखित नीतियों के श्रेणी के तहत यह सूची है :-

बोर्ड से संबंधित	कर्मचारी से संबंधित	वित्तीय नीतियाँ
<ul style="list-style-type: none"> <li>योग्यता, शक्ति, कर्तव्य</li> <li>बोर्ड के सदस्यों का चुनाव</li> <li>हित के संघर्ष</li> <li>आचार संहिता</li> <li>गोपनियता</li> <li>मुआवजा, अदायगी</li> <li>यात्रा खर्च</li> <li>व्यक्तिगत योगदान</li> <li>बैठक में उपस्थिति</li> <li>विभिन्नता बोर्ड में फेर बदल</li> <li>कार्य से निष्काशन</li> </ul>	<ul style="list-style-type: none"> <li>भर्ती</li> <li>प्रदर्शन की समीक्षा</li> <li>कार्यकाल समयावधि</li> <li>क्षतिपूर्ति और लाभ</li> <li>निष्काशन / समाप्ति</li> <li>शिकायत निवारण</li> <li>यौन विरोधी उत्पीड़न</li> </ul>	<ul style="list-style-type: none"> <li>प्राधीकरण नीतियाँ और प्रक्रियाएँ</li> <li>फंड वितरण</li> <li>लेखांकन वित्त नियंत्रण और</li> <li>रिकार्ड का रखरखाव</li> <li>तय आस्तीयां</li> <li>वित्तीय रिपोर्टिंग</li> <li>योजना और बजट</li> <li>जोखिम प्रबंधन</li> <li>ओडीट व्यवस्था</li> </ul>

# सुशासन

स्वयंसेवी संस्थाओं के लिए एक पत्रिका

खंड २ अंक २

अप्रैल २०१०

## संपादकीय

यह सुशासन का छठा अंक है। इस पत्रिका के जरिए सीजीएस ने भारत के अत्यंत विस्तृत और विविधतापूर्ण स्वैच्छिक संस्थाओं में सुशासन से संबंधित विषयों पर प्रकाश डालने का निरंतर प्रयास किया है। माना जाता है कि हमारे देश में स्वैच्छिक संस्थाओं की संख्या 50 लाख से अधिक है। हम शायद जानते हैं कि इस विशाल संख्या का एक बहुलांश ऐसी छोटी संस्थाएं हैं जो हमारे देश के निर्धन और हाशिए पर दबा दिए गए व्यक्तियों के सीधे संपर्क में हैं और वे उनके विकास में महत्वपूर्ण योगदान कर रही हैं।

स्वैच्छिक संस्थाओं से जुड़नेवाले कई लोगों को अपने कैरियर के प्रारंभ में प्रबंधकीय जिम्मेदारियां संभालना पड़ता है, कई बार पर्यवेक्षीय या नेतृत्व वाली भूमिकाओं में। उन्हें अलाभकारी संस्थाओं के प्रबंधन, सुशासन, विधि-कानून, वित्त, प्रशासन और सार्वजनिक जवाबदेही जैसे महत्वपूर्ण विषयों के बारे में बहुत कम औपचारिक प्रशिक्षण प्राप्त हुआ होता है। सार्वजनिक, नैतिक और वित्तीय दृष्टिकोणों से उनसे क्या अपेक्षित है, इसकी जागरूकता की भी कमी होती है और उनके लोकतांत्रिक सिद्धांतों का पालन न करने से संस्था के संसाधनों का उनके निजी लाभ के लिए हथिया लिए जाने का खतरा बना रहता है। इससे इन संस्थाओं की विश्वसनीयता पर प्रश्न-चिह्न लग जाता है और उनके असली उद्देश्यों को लेकर संदेह पैदा हो जाता है और निजी लाभ के उदाहरणों के खुलासे से उनकी प्रतिष्ठा धूल में मिल जाती है। राज्य उन पर अधिक नियंत्रण लगाता जाता है, दानदाता संगठन असहिष्णु हो उठते हैं और सार्वजनिक मंचों में स्वैच्छिक संस्थाओं की आवाज निष्प्रभावी हो जाती है।

इसलिए, इस क्षेत्र से जुड़े हम सबको अपनी प्रणालियों, कार्यविधियों और नीतियों में निरंतर सुधार लाते जाने पर विशेष ध्यान देना चाहिए। हममें से जो बहुत छोटी संस्थाओं का प्रतिनिधित्व करते हैं, उनके लिए यह और भी अधिक महत्वपूर्ण है। पर हमारी संस्था चाहे बड़ी हो या छोटी, उसमें संचालन में पेशेवरीयता लाना और उसकी प्रतिस्पर्धात्मकता, कार्यक्षमता और प्रभावशीलता में निरंतर सुधार लाना परम आवश्यक है। कई बार पेशेवरीयता का गलत अर्थ व्यावसायिकता से ले लिया जाता है। परंतु पेशेवरीयता का असल तात्पर्य है, संस्था के कामों को अंजाम देने की रीतियों में पेशेवरीयता लाना। पेशेवरीयता अधिक कार्यक्षम कर्मियों का निर्माण मात्र नहीं है, बल्कि ऐसी प्रणालियां, कार्यविधियां और तकनीकें विकसित करना और उन्हें लागू करना भी है, जो संस्था तथा उसके कार्यक्रमों के लिए जरूरी हैं।

इस अंक में हम उन विशेषज्ञों के विचारों से आपको अवगत करा रहे हैं जो छोटी संस्थाओं को समर्थन देते रहे हैं और उनमें सुशासन लाने में सहायक बननेवाली प्रविधियां विकसित करने और इन्हें उनकी संस्थाओं में स्थापित करने में मदद करते रहे हैं। इन विशेषज्ञों ने स्वयं अपनी संस्थाओं में भी ऐसी प्रविधियां स्थापित की हैं और उन्हें लागू किया है और उनके लाभों को चखा है। हम इस विषय पर भी ध्यान देंगे कि संस्थाओं को किस तरह की प्रणालियां और कार्यविधियां चाहिए, यह संस्था के प्रकार के अनुसार और संस्था के विकास की अवस्था के अनुसार भिन्न-भिन्न होती है।

## इस अंक में

जमीनी स्तर की स्वैच्छिक संस्थाएं और उनमें सुशासन  
सुशासन और संगठन की वृद्धि के चरण  
सुशासन की प्रणालियां स्थापित करना  
स्वैच्छिक संस्थान के लिए नीति लेखन

जनविकास के सीइओ/न्यासी श्री विजय परमार से एक भेंटवार्ता १  
मोहन कृष्ण, टीम लीडर, सी जी एस ३  
अनुजा कृष्णा, मुख्य कार्यपालक, इकोनेट ९  
गगन सेठी, चेर परसन, जनविकास १०



## सेन्टर फोर गवर्नेन्स स्टडीस

जनविकास और एंटरप्राइजिज डेवलपमेंट इन्स्टिट्यूट (ईडीआई), का संयुक्त प्रयास

सेवामे