

2017/2018 AGENCY CERTIFICATION ASSESSMENT

Agency Name: _____

Names of People Completing the Assessment:

This tool employs a five-point scale. The scale is designed to depict a certain spectrum along which a typical nonprofit may well evolve over time.

Please note that to reach the next indicator (1, 2, 3, 4, and 5) within a category (A1, A2, etc.), you must also comply with all the components within that lower indicator. For your benefit, please underline the criteria not met within the indicator. For example, if you met everything within A1.1 and A1.2 but don't have one component within A1.3, you will underline that component and stop at A1.3.

Lastly, an explanation box has been included after each category to capture additional explanations or clarifications and assist in subsequent progress evaluation.

A. Strategic Planning

Clarity of purpose and direction is generally regarded as a hallmark of effective organizations. An organization also benefits from clarity on its niche in relation to other similar groups. Once the group's mission has been clearly identified it needs to be internalized and reinforced so that staff and board member alike can readily articulate it. Once a culture of planning has been established in an organization, the group is capable of translating long-term strategic directions into annual plans linked to the resources available to help those plans come to fruition.

A1. Organizational Mission

<input type="radio"/> 1	An imprecise or broad mission does not provide clear direction for the organization.
<input type="radio"/> 2	A specific, focused mission clearly expresses the central purpose of the organization.
<input type="radio"/> 3	A specific, focused mission is readily articulated by staff.
<input type="radio"/> 4	A specific, focused mission is readily articulated by staff and board and directs activities of the organization.
<input type="radio"/> 5	A specific, focused mission is readily articulated by staff and board, directs activities of the organization, is widely recognized by the public, and is reviewed periodically.

Explanations _____

A2. Strategic Planning

<input type="radio"/> 1	No strategic plan exists.
<input type="radio"/> 2	Strategic plan is more than 5 years old and/or not approved by the board.
<input type="radio"/> 3	Strategic plan exists but is either not clearly linked to mission, is not clearly actionable or has limited influence over day-to-day behaviors, but is approved by the board.
<input type="radio"/> 4	Coherent strategy has been developed and is linked to mission but is not fully ready to be acted upon. Strategy is mostly known and day-to-day behavior is partly driven by it.
<input type="radio"/> 5	The strategic plan has clear, coherent medium to long-term strategy that is both actionable and is linked to overall mission and vision. It is universally known and consistently helps drive day-to-day behavior at all levels of the organization.

Explanations _____

A3. Operational Planning

<input type="radio"/> 1	No annual operating plans completed for programs.
<input type="radio"/> 2	Partially completed annual operating plans for most programs.
<input type="radio"/> 3	Annual operating plans, including cost and income projections, completed for most programs in the past year.
<input type="radio"/> 4	Based on strategic planning, annual operating plan, including cost and income projections, completed for each program and for the organization as a whole in the past year.
<input type="radio"/> 5	Based on strategic planning, annual operating plan, including cost and income projections, completed for each program and for the Organization as a whole for at least 2 consecutive years.

Explanations _____

B. Leadership Capacity

In many organizations, one of the most underutilized leadership resources is the board of directors. The potential of unpaid, volunteer leaders from the broader community to help guide the direction of the organization, to contribute pro bono professional expertise, and to lend credibility cannot be overestimated. Many of the most effective nonprofits have been able to forge a working partnership between the executive director and senior staff and the board. In its maximum expression, this partnership tends to lead to collective leadership that is capable of continually renewing itself, facing organizational change in a proactive way, and holding the organization to high standards of conduct.

B1. Board Composition

<input type="radio"/> 1	Organization has no clear distinction between volunteer and staff functions; board members selected without regard to Organization's needs or representation of key sectors of local society.
<input type="radio"/> 2	Majority of board members represent a single important sector (academia, business, press/media, , etc.) of the community and are not selected to adequately fulfill the skill sets needed for governance of the organization.
<input type="radio"/> 3	Board members represent a few important sectors of the community and address some skill sets needed for governance of the organization.
<input type="radio"/> 4	Board members serve for specified terms, represent diverse sectors of the community and address skill sets needed for governance of the organization.
<input type="radio"/> 5	Organization utilizes a written, ongoing board development process, which includes recruitment of representatives of important sectors of the community with appropriate skill sets to replace existing or departing board members.

Explanations _____

B2. Board Effectiveness

<input type="radio"/> 1	Board members are inactive, do not provide guidance and/or funding.
<input type="radio"/> 2	Only a few board members contribute time, effort or money to the organization's governance.
<input type="radio"/> 3	Some board members occasionally assume leadership and oversight, and give or obtain funds for the organization.
<input type="radio"/> 4	Most board members regularly provide leadership, financial oversight, set policies, participate in planning, give or obtain funds, and provide continuity for leadership transitions.
<input type="radio"/> 5	Board members govern actively and effectively to guide the future of the organization and ensure its long-term institutional and financial stability. Committees have been formed to address specific issues such as investments, financial sustainability, fundraising, etc.

Explanations _____

B3. Board Governance

<input type="radio"/> 1	Roles of board and management are unclear, board rarely scrutinizes budgets, holds ED accountable, or operates according to formal procedures.
<input type="radio"/> 2	Roles of board and management are clear, budget is reviewed, by-laws aren't followed.
<input type="radio"/> 3	Roles of board and management are clear; board functions according to by-laws, reviews budgets and occasionally sets organizational direction.
<input type="radio"/> 4	Roles of board and management are clear and function well; board reviews budgets, audits, IRS and state filings; board co-defines performance targets; annually reviews ED's performance.
<input type="radio"/> 5	Board and management work well together from clear roles; board fully understands and fulfills fiduciary duties, board actively defines performance targets and holds ED fully accountable; board is periodically evaluated.

Explanations _____

B4. Board/Staff Relations

<input type="radio"/> 1	Executive Director and senior managers have either hostile relations or no working relations with their counterparts on the board and/or its committees.
<input type="radio"/> 2	Executive Director and senior managers have poor working relations with the board and/or its committees.
<input type="radio"/> 3	Executive Director and senior managers have working relations with their counterparts on the board and/or its committees.
<input type="radio"/> 4	Executive Director and senior managers have reasonable constructive working relations with their counterparts on the board and/or its committees.
<input type="radio"/> 5	Executive Director and senior managers have highly constructive working relations with their counterparts on the board of directors and its committees.

Explanations _____

B5. Innovation

<input type="radio"/> 1	Organization openly prefers the status quo and resists internal and external ideas related to organizational change.
<input type="radio"/> 2	Organization tends to favor organizational inertia and engages in innovative planning when absolutely necessary.
<input type="radio"/> 3	Organization acknowledges the need for change and routinely engages in innovative planning.
<input type="radio"/> 4	Board and staff are proactive in leading organizational change.
<input type="radio"/> 5	Board and staff encourage organizational change and innovation and routinely review and update its agency's strategies, structure and procedures accordingly.

Explanations _____

C. Human Resources

It is often stated that an organization's most important resource is its employees. Unfortunately, too few place sufficient importance and effort into effectively managing and developing human resources. For example, human resource needs are often neglected in the strategic planning process, calling into question the ability of the Organization to successfully implement its plan. In addition to the tangible rewards of paid employment, many employees thrive on less tangible factors, such as contributing to a worthwhile cause, the possibility of career advancement, and professional development opportunities.

C1. Dependence on ED

<input type="radio"/> 1	Very strong dependence on ED. Organization would cease to exist without his/her presence.
<input type="radio"/> 2	High dependence on ED. Organization would continue to exist without his/.her presence but likely in a very different form.
<input type="radio"/> 3	Limited dependence on ED. Organization would continue in a similar way without his/her presence but areas such as fundraising or operations would likely suffer during the transition.
<input type="radio"/> 4	There is reliance but not dependence on ED. A smooth transition to a new leader could be expected. Senior management team can fill in during the transition.
<input type="radio"/> 5	There is reliance but not dependence on ED. There is a succession plan in place to ensure a smooth transition.

Explanations _____

C2. Staff Orientation and Development

<input type="radio"/> 1	Organization provides little access to orientation and training.
<input type="radio"/> 2	Organization provides access to orientation and training on an opportunistic and random basis to a few staff.
<input type="radio"/> 3	Organization provides some staff orientation and training in skills relevant to their job responsibilities and occasionally seeks funding for training.
<input type="radio"/> 4	Organization budgets resources and provides most staff adequate orientation and training in skills relevant to their job responsibilities (including management).
<input type="radio"/> 5	Organization plans for, budgets resources, and provides orientation and relevant skills training (including management) to all staff. Organization obtains funds to carry out its training strategy and continually trains staff in accordance with their written annual objectives.

Explanations _____

C3. Policies and Procedures

<input type="radio"/> 1	The organization does not have written policies and procedures.
<input type="radio"/> 2	Informal policies and procedures are agreed upon by the organization; however they are not documented or regularly followed.
<input type="radio"/> 3	The organization has policies for staff and board which include: Conflict of Interest, financial reporting, professional conduct, confidential and proprietary information, political activities and fundraising, but they are not revised or updated and contain some outdated information.
<input type="radio"/> 4	The organization has board-approved policies and procedures that are reviewed and updated regularly.

<input type="radio"/> 5	A policies and procedures manual is published, and widely used and referenced; individual policies and procedures are regularly revised by the Organization to reflect legal, structural and organizational changes.
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Explanations _____

C4. Volunteer Support

<input type="radio"/> 1	No active recruitment of volunteers (only passive recruitment such people who walk in the door); no defined roles for volunteers to fill.
<input type="radio"/> 2	No clear plan for recruitment of volunteers. Volunteer roles involve a range of time, commitments and skill levels.
<input type="radio"/> 3	Organization has a plan for recruitment but not retention of volunteers. Volunteer work is mostly task-oriented. There is basic training for the volunteers.
<input type="radio"/> 4	Organization has a clear plan for recruiting and retaining volunteers. There is a wide range of volunteer roles with written job descriptions for most of them. There is some system that tracks and manages volunteers. There are volunteer orientations and trainings periodically with staff trained on how to manage volunteers.
<input type="radio"/> 5	Volunteers successfully fill organizational needs with appropriate volunteers. There is a wide range of roles available, including positions of leadership, written job descriptions for all positions; a volunteer assessment is in place. Staff is experienced and/or extensively trained in volunteer management.

Explanations _____

D. FINANCIAL MANAGEMENT

Cash flow projections enable the group to predict and plan for occasional shortfalls. The organization should accurately calculate the cost of doing business. Internal financial controls should facilitate successful external annual audits to ensure donors and the general public are confident their funds are being properly handled. Comprehensive and up-to-date recordkeeping facilitates these and assures institutional memory despite inevitable staffing changes over time.

D1. Financial Controls and Record Keeping

<input type="radio"/> 1	There are no evident systems in place to ensure compliance with applicable financial (Federal, State, IRS and GAP) regulations.
<input type="radio"/> 2	The organization complies with some applicable financial regulations. The board actively reviews finances and internal control standards. Key staff is trained in organization's internal control standards. There are sound financial policies and procedures but the staff is unaware.
<input type="radio"/> 3	The organization complies with all applicable financial regulations. The board actively reviews finances and internal control standards. Key staff is trained in organization's internal control standards. There are sound financial policies and procedures with which all staff is familiar.
<input type="radio"/> 4	The board has a standing Finance Committee which addresses the audit, investments and insurance matters related to the organization and reviews all financial policies. The board monitors the compliance of all contracts or agreements on an ongoing basis.
<input type="radio"/> 5	Staff adheres to operational practices. The financial policies are updated and revised every 2 years. Staff receives ongoing training for implementation.

Explanations _____

D2. External Oversight (Audits)

<input type="radio"/> 1	No internal or external audit or formal board review of organization's financial statements is conducted.
<input type="radio"/> 2	The organization periodically receives an audit/independent review by an independent Certified Public Accountant. The organization has taken corrective action on recommendations from the management letter. The organization files a 990 and/or A133 (if required). A copy of the 990 is not posted on the website nor are copies made available to the public.
<input type="radio"/> 3	The organization receives an audit/independent review by an independent Certified Public Accountant. The organization has taken corrective action on recommendations from the management letter. The organization files a 990 and/or A133 (if required). A copy of the 990 is posted on the website and copies are available to the public.
<input type="radio"/> 4	The organization receives an unqualified audit report. The organization records and reports income and expenses in accordance with generally accepted accounting principles. The organization puts their audit services out to bid at least every five years.
<input type="radio"/> 5	The organization receives a management letter from an independent CPA with no material findings. The Board reviews the external auditor's reports and, where applicable, implements timely and appropriate corrective action.

Explanations _____

D3. Cash Flow

<input type="radio"/> 1	No cash flow analyses done.
<input type="radio"/> 2	Cash flow calculated occasionally or for specific projects.
<input type="radio"/> 3	Cash flow calculated annually, used to guide programmatic decisions.
<input type="radio"/> 4	Cash flow calculated quarterly, used to guide programmatic decisions. No negative annual cash flow exists (annual income is equal to or exceeds expenses).
<input type="radio"/> 5	Cash flow calculated quarterly, used to guide programmatic decision for at least 2 consecutive years. No negative annual cash flow exists for 2 consecutive years (annual income is equal to or exceeds expenses).

Explanations _____

D4. Budget Process

<input type="radio"/> 1	Budget figures are unrealistic and continually revised. The board is not involved in the budget development process.
<input type="radio"/> 2	The budget has board participation but the figures are unrealistic.
<input type="radio"/> 3	There is board participation in budget development with board approval before the start of the next fiscal year. The organization has a realistic annual budget sufficient to support organizational goals.
<input type="radio"/> 4	Income and expense budget projections are based on historical data and strategic plan priorities, not on percentage increases. Appropriate committees make income and expense projection recommendations that result in a budget which addresses priorities in the strategic plan.
<input type="radio"/> 5	The board is involved in developing and continually reevaluating a long-range budget to support the organization's strategic direction focusing on capacity, growth and program.

Explanations _____

D5. Diversified Financials

<input type="radio"/> 1	One funding source (donor) accounts for more than 80% of Organization's revenues.
<input type="radio"/> 2	One funding source (donor) accounts for more than 60% of Organization's revenues.
<input type="radio"/> 3	One funding source (donor) accounts for more than 40% of Organization's revenues; at least three other sources account for remaining.
<input type="radio"/> 4	At least five funding sources (donors) account for 60% of the Organization's overall budget; no one source accounts for more than 25% of the Organization's revenues.
<input type="radio"/> 5	Organization has a broad funding base consisting of at least eight sources (donors); no one source contributes more than 25% of the total annual revenues.

Explanations _____

D6. Fund Development Planning

<input type="radio"/> 1	No systematic resource-generation activities under way.
<input type="radio"/> 2	One individual is responsible for almost all resource-generation.
<input type="radio"/> 3	Organization has begun to systematize resource generation activities; delegation of donor contacts and fund-raising efforts.
<input type="radio"/> 4	Clearly defined fundraising goals and plan developed based on the organization's financial/strategic plans. Responsibilities shared among several individuals as part of a systematic process.
<input type="radio"/> 5	The fundraising process is integrated with financial administrative systems, and monitored and adjusted on an ongoing basis.

Explanations _____

E. Adaptive Capacity

An organization's programs and projects demonstrate the degree to which it is putting its stated mission into action. It is here where organizations that have created a true culture of planning at all levels – strategic, financial, and operational – prove the value they add to their community. Effective organizations also develop the capacity to monitor their projects' progress and can make mid-course corrections as circumstances change. They also acquire the ability to gauge the impact of their work toward achieving their stated mission.

E1. Information and Referrals

<input type="radio"/> 1	The organization doesn't give referrals.
<input type="radio"/> 2	The organization has no formal means for delivering information and referrals and is not familiar with the resources available within the community.
<input type="radio"/> 3	The organization has informal procedures for delivering information and referrals and is familiar enough with the resources available within the community to make appropriate referrals.

<input type="radio"/> 4	The organization's policies and procedures for information and referrals allow for up-to-date resource listings so that accurate and appropriate information and referrals can be given.
<input type="radio"/> 5	The organization has policies and procedures for delivering information and referrals, can make accurate and appropriate referrals, and can track and record referrals made.

Explanations _____

E2. Program Integration

<input type="radio"/> 1	Core programs and services lack clear alignment with mission and overarching goals; programs seem scattered and largely unrelated to each other.
<input type="radio"/> 2	Most core programs and services are well-defined and linked with mission. Program offerings may be somewhat scattered and not fully integrated into clear strategy.
<input type="radio"/> 3	Core programs and services are well-defined and aligned with mission. The program offerings fit together well as part of a clear strategy but have internal silos.
<input type="radio"/> 4	Core programs and services are well-defined and aligned with mission. The program offerings fit and work together well as part of a clear strategy
<input type="radio"/> 5	All programs and services are well-defined and fully aligned with mission, overarching goals and constituency. The program offerings are clearly linked to one another and to overall strategy. Synergies across programs are captured.

Explanations _____

E3. Program Impact

<input type="radio"/> 1	Organization not evaluating impact, relevance and scale of its programs and its project beneficiaries.
<input type="radio"/> 2	Organization has difficulty evaluating impact, relevance and scale of its programs and its project beneficiaries.
<input type="radio"/> 3	Organization sometimes evaluates impact and the relevance and scale of its programs but not its project beneficiaries.
<input type="radio"/> 4	Organization sometimes evaluates impact, relevance and scale of its programs and its project beneficiaries.
<input type="radio"/> 5	Organization regularly evaluates impact, relevance and scale of its programs and its project beneficiaries.

Explanations _____

E4. Partnerships and Alliances

<input type="radio"/> 1	No partnerships or alliances with other for-profit, nonprofit or public sector entities.
<input type="radio"/> 2	Early stages of building relationships and collaborating with other nonprofits. If relations do exist, some may be precarious or not fully "win-win".
<input type="radio"/> 3	Early stages of building relationships and collaborating with other nonprofits, for-profits and public sector entities. If relations do exist, some may be precarious or not fully "win-win".
<input type="radio"/> 4	Some key relationships with a few types of relevant entities in the for-profit, nonprofit and public sector have been built and leveraged. The actions around common goals are generally sort-term.

○ 5

Strong, high-impact relationships with a variety of relevant entities have been built, leveraged and maintained. Relationships are anchored in a stable, long-term mutually beneficial collaboration.

Explanations _____
