

Non-Profit Organizational Self Assessment

Agency Name: _____ Date: _____

Directions:

Review the categories below; reading each statement and marking an "x" in the appropriate column.

At the end of each category, total the number of "x"s in each column.

Transfer that number to the corresponding section on the last page.

I. Board Governance	Yes	No	N/A
1. Agency has a charter and/or bylaws which clearly define the agency's purpose and organization and the duties, authority and responsibilities of the governing body.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Governing authority is held by a volunteer Board of Directors of at least six members, who are representative of both the community at large and the population served.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Board meetings are held at least once per calendar quarter or in accordance with agency bylaws. Minutes are recorded and maintained in agency files.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. No nepotism exists between board and staff or with the board.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The annual budget and any deviations from the annual budget are approved by the Board of Directors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. No voting board members are employed by the organization unless such employment is provided for in the agency's charter or articles of incorporation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Board members receive regular reports from staff on the status of each principal agency program and activity. <i>(Staff reports are included in the board minutes or attached to the minutes as a handout.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. The bylaws state that the agency does not support partisan organizations, politicians or candidates for political office through public funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Board has a written policy code which addresses potential conflicts of interest.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Board members have received formal training regarding duties and responsibilities of board members.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. The Board has developed and approved policies and procedures related to agency operations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board Governance Total			
II. Human Resources Administration	Yes	No	N/A
12. Time sheets for employees or staff are signed by Immediate Supervisor, Executive Director or Program Administrator	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Agency has formal job descriptions/ specifications and pay schedules on file.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Agency has personnel policies and procedures in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Agency has a formal personnel performance review system that is thorough and equitable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. All personnel working with children or vulnerable populations are screened according to State or comparable guidelines.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Resources Administration Total			
III. Volunteer Management	Yes	No	N/A
17. Agency uses volunteers to enhance organizational capacity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Agency recruits volunteers through:			
A. Americorps	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Retired Senior Volunteer Program (RSVP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. College Interns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Agency has written volunteer job descriptions on file.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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20. Agency has written volunteer policy including selection criteria, retention expectations and recognition opportunities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Volunteer Management Total			
IV. Audits And Records	Yes	No	N/A
21. An audit was performed in the last 12 months:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. The recommendations/findings noted in the compliance report, internal control report, management letter and any corrective action reports have been followed or otherwise cleared. If not, explain discrepancies in notes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Is the IRS Form 990 available (Tax Return for Non Profits)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. The agency maintains the basic books of accounting.			
a. General ledger	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Subsidiary ledger (accounts receivable, accounts payable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Cash receipt journal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Cash disbursement journal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. The provider maintains an agency operating budget detailed by cost center, by source of funds and by expenditure category. If not or a different method is used, explain in notes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Agency's annual operating budget is balanced.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25. Agency maintains a record of fundraising expenses, which demonstrates that such expenses are justified in terms of fundraising results.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. Agency strives to diversify revenue sources and maximize in-kind resources.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. The proportion of financial resources expended on administrative support is less than 25%.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Audits And Records Total			
V. Purchasing	Yes	No	N/A
28. Agency has purchasing policies and procedures, which, at a minimum, prohibit agency purchase of any service or product from an employee or any company in which an employee has a financial interest or could gain from personally, unless approved by the board.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
VI. Retention Of Records	Yes	No	N/A
29. If applicable, a policy is in place for record retention requirements as stated in the contract.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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VII. Insurance	Yes	No	N/A
30. All insurance policies are current.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a.) Workers compensation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b.) Commercial General Liability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c.) Commercial Auto Liability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d.) Liability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e.) Professional Liability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f.) Molestation Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g.) Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Insurance Totals			
VIII. Transportation	Yes	No	N/A
31. Agency provides or coordinates transportation for clients, if needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. Agency has a written plan for providing transportation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Which of the following are included in Agency's transportation policies and procedures?			
a. Escort requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Duties of driver and escort	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Charges (if any) for the transportation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Driving record review and minimum acceptable standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transportation Totals			
IX. Equipment And Physical Facilities	Yes	No	N/A
32. Agency's facilities are safe, well maintained and physically accessible to the consumers served.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33. Agency's facilities and services are accessible to people with disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34. Physical facilities and equipment are sufficient in quantity and quality for their intended purposes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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X. Legal Concerns	Yes	No	N/A
35. Agency has adopted a written policy prohibiting discrimination on the basis of race, religion, sex, nationality, or military status in the following practices and functions: a. Hiring, assignment, training, promotion and termination of staff. b. Selection of board members, and c. Provision of services.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
36. Agency is fully licensed/certified/ accredited by appropriate authorities and/or accrediting bodies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37. Agency has established policies and records management procedures to assure client privacy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38. Agency has a grievance procedure which applicants for and recipients of services may use to present grievances to the agency's governing authority.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39. Agency is registered/incorporated as a nonprofit organization under the laws of their state.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40. Agency possesses a letter of exemption from federal taxes under Section 501 (c) (3), Internal Revenue Code.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Concerns Total			

Total Scores based on Organizational Self-assessment

	Yes	No	N/A
I. Board Governance			
II. Human Resources Administration			
III. Volunteer Management			
IV. Audits And Records			
V. Purchasing			
VI. Retention Of Records			
VII. Insurance			
VIII. Transportation			
IX. Equipment and Physical Facilities			
X. Legal Concerns			