

## HIP Organizational Assessment and Effectiveness Survey

Effective nonprofit organizations are focused on mission, customers, and outcomes, and they are sustainable and adaptable. This survey (developed through the NC Center for Nonprofits and WNC Nonprofit Pathways) is designed to help organizations think beyond *what* they are doing to *how* they are performing their service to the community.

This hard copy is for your internal use only and is most effective when used with staff and Board members. It will help you to prioritize your capacity-building needs and choose what type of capacity building project to apply for. This survey will take 20-30 minutes.

For this HIP grant round, we require that you complete an online version of this survey prior to submitting your application. Please use the following link: <http://www.surveymonkey.com/s/CX6ZWJN> . In order to ensure that all applicants have participated in this survey, only HIP staff will have access to the individual applicant information. The results of this **online** survey will be presented to funders in aggregate (as a total) without any identifying information that would link responses to particular applicants. **The purpose is to provide the Funders' Collaborative with greater information about the needs and strengths of North Carolina Latino organizations as a whole.**

The following questions cover the foundations needed by nonprofit organizations including documentation, systems and support mechanisms. Much of this information is required to receive grant funding, as well as to demonstrate to the public, your clients, and prospective donors that you are good nonprofit stewards. In sum, these questions can tell you what basics your organization needs to have in place as well as how your organization is operating.

The survey is divided into the fundamental categories of nonprofit management: planning, governance, financial management, legal accountability, fund development, communications, evaluation, and administration with indicators in each one. For each topic there are specific performance indicators with choices, including "Meets," "Needs Work," "Not Applicable", "Don't Know." After reading each indicator, select the appropriate choice regarding how your nonprofit performs in that area.

<b>In <u>planning</u> our organization has:</b>	<b>Meets</b>	<b>Needs Work</b>	<b>Don't Know</b>	<b>N/A</b>	<b>Notes</b>
Clear written mission statement that reflects purpose, values and people served					
Clear organizational mission understood by people on all levels of our organization					
Strategic Plan developed and adopted by Board and Staff to achieve organizational mission (including system to monitor progress)					
Strategic planning process that involves the Board and functional areas of our organization					
Annual Operations Plan developed and adopted by Board and Staff (including system to monitor progress)					
A mission and activities which address a critical community need					
Periodic reviews of the mission statement to assess whether the conditions it addresses still remain and if our organization is still the best organization to address them					
Linkage between our mission, strategic planning and performance					

measurements					
A leadership role in identifying unmet community needs and developing innovative solutions to address those needs					
Methods for clients to have the opportunity to participate in program development					

<b>In <u>governance</u> our organization has:</b>	<b>Meets</b>	<b>Needs Work</b>	<b>Don't Know</b>	<b>N/A</b>	<b>Notes</b>
By-laws: conforming to state statute, current, functional, used regularly					
Articles of Incorporation filed with NC Secretary of State					
Tax exemption – Federal 501c3 and state (IRS determination letter and Form 1023 on file; plus IRS Form 990 filed annually)					
Board of at least five members, preferably more than seven, meets regularly (at least four times per year), operates with a quorum, and records minutes of all meetings					
Written Conflict of Interest Policy and Confidentiality Policy applicable to all Board and Staff and appropriate volunteers; disclosure statement to be signed annually					
Clear Board roles and responsibilities; published job descriptions, orientation and evaluation process in place					
Committee descriptions (purpose, structure, goals, activities)					
Board serves without compensation, unless the agency has a policy identifying reimbursable out-of-pocket expenses					
Term limits in place; leadership succession and transition plan for Board and Staff					
Board membership reflects diversity of constituents served					
Clear lines of authority and responsibility					
A supportive, engaged and knowledgeable Board that relates well with the Staff leader and the broader community					
Board meetings that have written agendas and materials relating to significant decisions are sent out in advance of the meeting					

<b>In <u>fund development</u> our organization has:</b>	<b>Meets</b>	<b>Needs Work</b>	<b>Don't Know</b>	<b>N/A</b>	<b>Notes</b>
NC Solicitations License for organizations that raise \$25,000 or more; renewed annually					
Annual Fund Development Plan developed and adopted by Board and Staff (including system to monitor progress)					
Donor database (contributions/restrictions)					
Grants management system, including copy of every proposal, acceptance/denial, evaluation, related correspondence, reporting requirements, due dates					
Reasonable fundraising costs over time; nonprofit should realize charitable contributions from fundraising activities that are at least three times the amount spent on fundraising					
Accurate and truthful solicitation and promotional materials					
Written gift acceptance and recognition policy					
Uphold restrictions placed on contributions by donors, including anonymity					
Solicitations are free from undue influence or pressure					

<b>In <u>evaluation</u> our organization has:</b>	<b>Meets</b>	<b>Needs Work</b>	<b>Don't Know</b>	<b>N/A</b>	<b>Notes</b>
Evaluation system in place to measure progress in achieving results (including outcome evaluation, documenting how the organization is making a difference; plus formative evaluation, identifying ways the organization can improve)					
Stakeholders involved in the evaluation process and informed about evaluation results					
Programs and activities with well-defined outcomes that we evaluate annually to determine if we have a real impact on society					
A process in place that monitors the needs of our constituency					

<b>In <u>communications</u> our organization has:</b>	<b>Meets</b>	<b>Needs Work</b>	<b>Don't Know</b>	<b>N/A</b>	<b>Notes</b>
Communications and Marketing Plan					
Process for informing stakeholders about our plans, programs and services					
Process for educating the Board and Staff to communicate effectively					
Process for ensuring customer satisfaction which is a primary concern and everyone connected with the organization treats customers with respect and courtesy					
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Process for informing stakeholders about our plans, programs and services					

<b>In <u>financial management</u> our organization has:</b>	<b>Meets</b>	<b>Needs Work</b>	<b>Don't Know</b>	<b>N/A</b>	<b>Notes</b>
Board approves budget, including review of the percentages spent on programs, administration and fundraising					
Timely, accurate financial reports provided to Board, including: Income and expense statement for each program; Balance sheet for organization as a whole; Comparison of actual to budget year-to-date					
For organizations with annual revenue exceeding \$300,000, annual audit by Certified Public Accountant					
Board approved financial policies governing: Accounting policies and systems; Investment of the organization's assets; Internal control					

procedures; Purchasing practices; Reserve funds (unrestricted current net assets)					
Reserve fund, established via written policy, that is sufficient to cover operating expenses for a planned period of time					
Prepared cash flow projections					
A high degree of trust and credibility in the community					
A written fiscal policy and procedures manual and follows it					

<b>In <u>legal accountability</u> our organization has:</b>	<b>Meets</b>	<b>Needs Work</b>	<b>Don't Know</b>	<b>N/A</b>	<b>Notes</b>
A process in place to periodically assess compliance with all applicable federal, state and local laws. These may include, but are not limited to, laws and regulations related to fundraising, licensing, financial accountability, human resources, lobbying, and taxation.					
Insurance coverage commensurate with the risks associated with operations (property, general liability, professional liability, directors and officers liability, fidelity bond, vehicle, etc.)					
Confidential means to report suspected impropriety (whistle blower protection policy to comply with Sarbanes/Oxley)					
Annual Report available upon request					
Written Advocacy Policy					
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Insurance coverage commensurate with the risks associated with operations (property, general liability, professional liability, directors and officers liability, fidelity bond, vehicle, etc.)					
Confidential means to report suspected impropriety (whistle blower protection policy to comply with Sarbanes/Oxley)					