

Capacity Building Readiness Assessment

Rev. 02

Last Updated 08/24/09 at 12:15

I. Overview

Heart Menders International, Inc. - 2009

The Capacity Building Readiness Assessment (CBRA) process results in a concise, action-oriented report that identifies areas, both in management functions and program design and delivery, that need improvement. We also provide support in making those needed, high-impact changes. We provide specific recommendations for improved effectiveness. Additionally, through this process we support our clients in building their capacity for self-assessment and ongoing improvement.

II. Instructions

- A. Complete the questions in each section.
- B. Note that some are type "E" for Essential, others are type "R" for recommended.
- C. Possible answers are "Done," "Needs Work," and N/A.
- D. A place for notes is provided. Please provide any expanded notes on a separate sheet of paper.

III. Assessment Questionnaire

<i>Section</i>	<i>Item</i>	<i>Question</i>	<i>Type</i>	<i>Done</i>	<i>Needs Work</i>	<i>N/A</i>	<i>Notes</i>
1. Planning	1.1	Clear written mission statement that reflects purpose, values and people served	E	✓			
	1.2	Strategic Plan developed and adopted by Board and Staff to achieve organizational mission (including system to monitor progress)	E		✓		
	1.3	Annual Operations Plan developed and adopted by Board and Staff (including system to monitor progress)	R		✓		
2. Governance	2.1	By-laws: conforming to state statute, current, functional, used	E	✓			
	2.2	Articles of Incorporation filed with Oklahoma Secretary of State	E	✓			
	2.3	Tax exemption – Federal 501(c)(3) and state (IRS determination letter and Form 1023 on file; plus IRS Form 990 filed annually)	E	✓			
	2.4	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	E	✓			

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2. Govern- ance (cont.)	2.5	Written Conflict of Interest Policy and Confidentiality Policy applicable to all Board and Staff and appropriate volunteers; disclosure statement to be signed annually	E		✓		
	2.6	Clear Board roles and responsibilities; published job descriptions, orientation and evaluation process in place	E		✓		
	2.7	Committee descriptions (purpose, structure, goals, activities)	E		✓		
	2.8	Board serves without compensation, unless the agency has a policy identifying reimbursable out-of-pocket expenses	E	✓			
	2.9	Term limits in place; leadership succession and transition plan for Board and Staff	R		✓		
	2.10	Board membership reflects diversity of constituents served	R		✓		
	2.11	Risk evaluation and management systems in place	R		✓		
	2.12	Disaster recovery plan	R		✓		
3. Fund Develop- ment	3.1	OK Solicitations (Fund Raising) License for organizations that raise \$25,000 or more; renewed annually	E			✓	
	3.2	Annual Fund Development Plan developed and adopted by Board and Staff (including system to monitor progress)	R		✓		
	3.3	Donor database (contributions/restrictions)	R	✓			
	3.4	Grants management system, including: • Copy of every proposal, acceptance/denial, evaluation, related correspondence • Reporting requirements, due dates	R		✓		
	3.5	Reasonable fundraising costs over time; nonprofit should realize charitable contributions from fundraising activities that are at least three times the amount spent on fundraising	R	✓			
	3.6	Accurate and truthful solicitation and promotional materials	R	✓			

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3. Fund Development (cont.)	3.7	Written gift acceptance and recognition policy	R	✓			
	3.8	Uphold restrictions placed on contributions by donors, including anonymity	R	✓			
	3.9	Solicitations are free from undue influence or pressure	R	✓			
4. Evaluation	4.1	Evaluation system in place to measure progress in achieving results (best if this includes outcome evaluation, documenting how the organization is making a difference; plus formative evaluation, identifying ways the organization can improve)	E		✓		
	4.2	Stakeholders are included in evaluation	R		✓		
	4.3	Results are reported to appropriate constituencies	R		✓		
5. Financial Mgt.	5.1	Board approves budget, including review of the percentages spent on programs, administration and fundraising	E	✓			
	5.2	Timely, accurate financial reports provided to Board, including: a) Income and expense statement for each program; b) Balance sheet for organization as a whole; c) Comparison of actual to budget year-to-date	E	✓			
	5.3	For organizations with annual revenue exceeding \$300,000, annual audit by Certified Public Accountant	E			✓	
	5.4	Board approved financial policies governing: a) Accounting policies and systems (to comply with FASB and/or GASB requirements); b) Investment of the organization's assets; c) Internal control procedures; d) Purchasing practices; e) Reserve funds; (unrestricted current net assets)	E		✓		
	5.5	Reserve fund, established via written policy, that is sufficient to cover operating expenses for a planned period of time	E		✓		
	5.6	The organization prepares cash flow projections	E		✓		

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6. Legal Account-ability	6.1	Nonprofits must be aware of and comply 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.	E	✓			
	6.2	Insurance coverage commensurate with the risks associated with operations (property, general liability, professional liability, directors and officers liability, fidelity bond, vehicle, etc.)	E		✓		
	6.3	Confidential means to report suspected impropriety (whistle blower protection policy to comply with Sarbanes/Oxley)	E		✓		
	6.4	Annual Report available upon request	E	✓			
7. Commu-nications	7.1	Communications and Marketing Plan	R		✓		
8. Admin. / Other	8.1	Written personnel policies, Board approved and available to entire Staff (include attendance, leave, grievance, expense reimbursement, etc.)	E		✓		
	8.2	Staff members, including the executive director, are evaluated at least on an annual basis	E		✓		
	8.3	Board reviews the organization's overall salary structure and employee benefits	E	✓			
	8.4	Non-discrimination policy for Staff, governing body, committees and services delivered	E		✓		
	8.5	Job descriptions for all Staff indicating appropriate training and experience, and to whom the person is accountable	E		✓		
	8.6	Standards and policies for working with Contractual Employees and Consultants, if applicable	R			✓	

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8. Admin. / Other (cont.)	8.7	Facilities meet applicable state, federal and local requirements including accessibility, health, fire and safety codes	E		✓		
	8.8	Organization chart	R		✓		
	8.9	Records storage, retention and destruction policy (for personnel, finance, and other) to comply with Sarbanes/Oxley	R		✓		
	8.10	Technology Plan	R		✓		
	8.11	Electronic data backup and storage system in place	R	✓			

IV. Acknowledgement

We wish to acknowledge the contribution of Nonprofit Pathways for their original development of this foundational material.