

Application Clinic

Agenda

I. Welcome & Introductions

Michael Clark, President, Nonprofit Coordinating Committee of New York (NPCC)

II. What Are the Awards?

Michael Clark

III. Application Review Process

Michael Clark

Melkis Alvarez-Baez, Director of Programs, NPCC

IV. Questions?

Handouts

Frequently Asked Questions

Application & Selection Process

2015 Selection Committee – Draft List

Eight Key Areas of Nonprofit Excellence

2014 Examples of Excellence

2015 Application

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Application Information

Deadline: 10:00 AM, May 1, 2015

Definition

Nonprofits play a critical role in enriching and improving communities and the lives of people throughout the New York City area. The **2015 New York Community Trust Nonprofit Excellence Awards** will be presented to three New York City area nonprofit organizations for excellence in organizational management. The Awards recognize and promote management excellence and highlight best practices that help nonprofits better serve their communities and achieve their missions. The 2015 Awards mark the ninth year of the program. The program is managed by the Nonprofit Coordinating Committee of New York (NPCC).

Eligibility

The Awards competition is open to any 501(c)(3) nonprofit organization based in the **New York City area: Manhattan, the Bronx, Brooklyn, Queens, Staten Island, Nassau County, Suffolk County and Westchester County**. National and international nonprofit organizations based in the New York City area are eligible, but can only apply if management activities are focused in the New York City area. The competition is free to all applicants.

Applications are welcome from **small as well as large organizations, relatively new or well-established organizations, and any type of nonprofit, regardless of its mission, religious affiliation, ethnicity, or socio-economic community**. Organizations do NOT need to be members of NPCC or Philanthropy New York to apply. In reviewing applications, the Selection Committee will take into account the management resources available to each organization in terms of funding, staff and volunteers. Start-up nonprofits are eligible, but the application and Awards process focus on management track record and results, not future plans.

Once an organization has received an award, that organization will become ineligible to participate in the competition for the following three years (e.g., 2015 award-winners cannot participate again until the 2019 Awards competition).

The Awards

A total of \$60,000 will be awarded to three organizations: \$30,000 to a Gold Prize winner for Overall Management Excellence, \$20,000 to a Silver Prize winner, and \$10,000 to a Bronze Prize winner. Winning organizations must demonstrate excellence in multiple key areas of management (see *Eight Key Areas of Nonprofit Excellence*). Winning organizations will also receive scholarships towards tuition at the Columbia Business School Executive Education Programs in Social Enterprise.

Winning organizations are required to participate in the Awards Presentation and Best Practices Workshop, to be held on November 19, 2015, featuring management strengths and strategies identified through the selection process. Winners will also be asked to participate in later workshops and educational efforts designed to showcase excellent management practices.

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The 2015 New York Community Trust Nonprofit Excellence Awards

Frequently Asked Questions

- QUESTION:** Is my organization eligible if we are an international nonprofit? **ANSWER:** The Awards competition is open to any 501(c)(3) nonprofit organization based in the New York City area: **Manhattan, the Bronx, Brooklyn, Queens, Staten Island, Nassau County, Suffolk County and Westchester County.** National and international nonprofit organizations are eligible, but the application must focus on management activities in the New York City area.
- QUESTION:** Can my organization win if we have only *one* example of excellence in nonprofit management? Is it “worth it” to apply? **ANSWER:** Winners must show examples of excellence in many areas of nonprofit management. It may be worth applying if you value free expert feedback on your management strategies!
- QUESTION:** If my organization applies and does not make it to round two or round three, is it realistic for us to bother to apply again? **ANSWER:** Yes! We encourage organizations to apply for the award again, especially if your management practices have strengthened.
- QUESTION:** Will having strong programs and services compensate for average management practices? **ANSWER:** No. This program rewards excellence in nonprofit management, including but not limited to program management. Program information is useful only when it provides context for management achievements.
- QUESTION:** Will the Selection Committee favor only new/established, small/large, or local/national scope organizations? **ANSWER:** The Selection Committee seeks excellence in nonprofit management regardless of the organization’s age, size or purpose. (Start-up nonprofits are eligible, but the application and awards process focuses on management track record and results, not future plans.)
- QUESTION:** Must my organization have gone through a *major* crisis or turnaround in order to win? **ANSWER:** The Selection Committee will value organizations with consistent, solid management, as well as organizations that grow and become great after a management crisis.
- QUESTION:** My organization is not widely known, so do we have a chance? **ANSWER:** The Selection Committee considers what is written in your application, rather than the organization’s name or stature in the community. The Selection Committee is firmly committed to judging all applicants fairly.
- QUESTION:** Is it really worth so much work to complete the application? **ANSWER:** Many past participants have recognized the value of self-assessment and report that their organizations benefited from the process. Applicants may request follow-up feedback on their applications, including summaries of Selection Committee comments about the organization’s management strengths and weaknesses.
- QUESTION:** Won’t the Selection Committee know who is going to win even before they see the applications? **ANSWER:** No. The Selection Committee’s selections are based on the information included in submitted applications and the site visit experience (for finalists). New members are added to the Selection Committee each year and the applicant pool is never the same.
- QUESTION:** If one type of organization wins this year, can we assume a different type will win next year? **ANSWER:** No. The Selection Committee does not solely focus on program area or size when making a decision.
- QUESTION:** Who should be involved in preparing our application? **ANSWER:** The strongest applications are from those organizations where discussion and reflective time has been invested by staff, board, volunteers and other stakeholders prior to completing the application. We would hope that the 2015 New York Community Trust Nonprofit Excellence Awards application questions will stimulate this work!



2015
NONPROFIT
EXCELLENCE
AWARDS

2015 Awards
Application &
Selection Process

March 2, 2015

- Part One Application available online

May 1, 2015 (10:00 AM)

- **Part One Applications DUE**

July 31, 2015

- 10 Semifinalists announced
- Semifinalists invited to submit Part Two Application

September 9, 2015 (10:00 AM)

- **Part Two Applications DUE**

October 8, 2015

- 6 Finalists announced
- Finalists invited to participate in final round

October 16, 21, 23, 28, 2015

- **In-Person Presentations:** Finalists will be asked to present to a team of Selection Committee members at **either 10:00 am or 2:00 pm on one of these four dates.** Please hold these time slots for all four days.

November 19, 2015

- 3 Winners present winning strategies at Best Practices Workshop
- 3 Winners announced at Awards Presentation

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Selection Committee Members – DRAFT List

Diana Davenport, (*Committee Chair*), Vice President, Administration, The Commonwealth Fund

Miguel Bonilla, Director of Organization Development, NYC Department of Youth and Community Development

Richard Burns, Interim Executive Director, Funding Exchange

Jen Chau Fontán, Director of Talent Development, Harlem RBI

Lillian Cho, Arts Management Consultant

Michael Davidson, Board Coach

Anne Marie Fell, Philanthropy Consultant

Sandy M. Fernandez, Executive Director, National Partnerships & Strategy, JPMorgan Chase

Yancy R. Garrido, Senior Program Officer, The Clark Foundation

Patrick Germain, Director of Strategy and Evaluation, Project Renewal

Anat Gerstein, President, Anat Gerstein, Inc.

Lupita Gonzalez, Executive Coach & Organizational Development Consultant

Joan Grangenois-Thomas, Principal, JGT Communications

Dawn Khan, Director of Technology Services, RoundTable Technology

Barbara Krasne, Managing Director, KrasnePlows

Hoong Yee Lee Krakauer, Executive Director, Queens Council on the Arts

Judy Levine, Executive Director, Cause Effective

Aaron J. Levitt, Director, CUCS Institute

Tara Linh Leaman, Program Director, Westchester Building Futures

Hester Lyons, Consultant, Lonschein Accounting Services

Linda S. Manley, Legal Director, Lawyers Alliance for New York

Carolyn McLaughlin, Retired Executive Director, BronxWorks

Pavitra Menon, Senior Consultant, Community Resource Exchange (CRE)

Laurel Molloy, Founder & Chief Consultant, Innovations Quantified

Tanya M. Odom, Global Diversity and Inclusion Education Consultant and Executive Coach

Jina Paik, Associate Director, Advisory Services, Nonprofit Finance Fund

Russell Pomeranz, President & CEO, Claverack Advisory Group

Norman Reiss, Project Manager, Technology, Center for Court Innovation

Robin L. Robin, Vice President of Human Resources, New York Hall of Science

Angelie Singla, Director of Institutional Giving, Big Brothers Big Sisters of New York City

David M. Sturm, Interim Vice President and Chief Information Officer, Bank Street College of Education

Ann Marie Thigpen, Director, Center for Nonprofit Leadership, Adelphi University

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Selection Process

Winners will be chosen after a three-stage selection process, including two stages of written applications and an in-person presentation (previously, the site visit). The Awards Selection Committee is an all-volunteer expert group selected by the program's Management Committee made up of representatives of NPCC, The New York Community Trust, and Philanthropy New York.

The Selection Committee for these Awards is firmly committed to judging all applicants fairly, only taking into account their size, age, purpose and other factors in order to realistically adjust expectations of and assess achievements of their specific management practices. Past winners have included small, mid-sized and large organizations. All information submitted for consideration remains confidential to Selection Committee members and staff managing the Awards. After the Selection Committee reviews all Part One applications, the pool will be winnowed down to a maximum of 10 semifinalists for consideration. The 10 semifinalists will be asked to complete a Part Two application. You will be notified whether or not you qualify for Part Two of the competition by July 31, 2015.

In-Person Presentations: The pool of 10 semifinalists will be narrowed down to a maximum of 6 finalists. You will be notified whether or not you qualify for the final round of the competition by October 8, 2015. Finalists will be asked to present to a team of Selection Committee members at **either 10:00 am or 2:00 pm** on one of the following days: **Friday, October 16, 2015; Wednesday, October 21, 2015; Friday, October 23, 2015; or Wednesday, October 28, 2015.** Please hold these time slots for all four days.

Feedback

All applicants may request feedback on their applications, including summaries of Selection Committee comments and scoring, as well as useful feedback on particular management areas, by contacting Awards program staff at NPCC. Contact information and instructions will be included in a notification email that you will receive no later than July 31st.

The purpose of this feedback is to provide observations on management strengths and weaknesses, and to encourage your organizational growth and improve your management.

Collaborators & Supporters

The Nonprofit Coordinating Committee of New York serves as the tax-exempt manager of this program, in collaboration with The New York Community Trust and Philanthropy New York. The program is sponsored by WNYC. Additional financial and in-kind support is provided by The Clark Foundation, Ford Foundation, Google, McGladrey LLP, and Columbia Business School Executive Education Programs in Social Enterprise.

Identifying Nonprofit Excellence

Key factors considered by the Awards Selection Committee in reviewing applications and selecting awardees are outlined in a separate *Eight Key Areas of Nonprofit Excellence* document. The 8 areas are:

- Overall management focus on results
- Governance structure that moves the organization forward
- Strong, transparent and accountable financial management
- Diversity and culturally competent organizational practices
- Enlightened use of human resources
- Appropriate and reliable information technology (IT) systems
- Regular and effective communications and use of communications technology
- Effective and ethical fundraising and resource development

Applicants must document significant accomplishments in more than one of these areas. The strongest applications are expected to be from those organizations where discussion and reflection have been invested by staff, board, volunteers and other stakeholders prior to and during completion of the application. The Awards identify and promote excellent management practices that provide useful examples for other nonprofits. We hope that the questions in this application will stimulate that goal.

HOW TO APPLY

Content

This application is designed to give considerable flexibility for your organization to tell its management story. **In formulating responses, bear in mind that the Awards competition focuses on management (including program management), as opposed to program content.** Discussion of program content should be limited, and should enhance the explanation of your management practices. For instance, *“We changed our methods for serving clients at our food bank to allow them to make their choices online and schedule their pick up time, thus enabling our organization to serve more people more efficiently, with less waste,”* is an example of using program information to explain an excellent management practice. It is also expected that applications will reflect management **results**, not only process. **What has improved in your organization’s operations or progress toward achieving its mission as a result of this exemplary management practice?**

Page Requirements

Online submissions are strongly encouraged, though paper applications will also be accepted. Your Part One application narrative addressing Questions 1 through 10 must be **no more than a total of seven (7) pages**. Please submit only one copy of the application form. All submissions must be typed single-spaced with no less than **1/2 inch margins**. **The text must be a minimum 11-point size in Times New Roman font.** Online submission of the application narrative must be in Microsoft Word format. **You do not have to repeat each question, but each question must be clearly numbered.** *Applications not meeting these margin and font size requirements will **NOT** be considered.* Materials submitted by mail should be sent to the address below.

Supporting Documents

In addition to the 10 questions, **you must submit supporting financial documents (see page 7)**. This material is not included in the 7-page maximum covering questions 1-10. If you submit these documents by mail, they must be **unbound and on 8 ½ by 11 paper**. *Applications missing required supporting documents will **NOT** be considered. Do **NOT** send books, videotapes, manuscripts or other unrequested materials.* These will not be reviewed or returned.

Applying Online

Go to <http://npexcellence.fcny.org> to apply online. If you are not able to upload supporting documents (see page 7 for specifics), please email them to malvarez@npccny.org or mail them under a separate cover to NPCC (address below) with a note indicating that you submitted the rest of the application online.

Paper Submissions

Completed applications and supporting documents can be mailed to:

Nonprofit Coordinating Committee of New York
Nonprofit Excellence Awards
135 West 36th Street, 15th Floor
New York, NY 10018

All materials must be received by 10:00 AM on Friday, May 1, 2015.

Questions? Contact Melkis Alvarez-Baez at malvarez@npccny.org or 212-502-4191 ext. 225.

The 2015 New York Community Trust Nonprofit Excellence Awards

Note: This page must be completed and submitted with your application.

PART ONE APPLICATION COVER PAGE (Deadline: 10:00 AM, May 1, 2015)

Name of Organization: _____

Based in: **New York City Area** (this is required; see "Eligibility")

Primarily Serves (check all that apply):

NYC Area (5 boroughs, Nassau, Suffolk, Westchester Counties) **National Constituency**

International Constituency **Other** _____

Type (e.g. Arts, Healthcare, Environment, Youth Development, etc.): _____

Address: _____

City: _____

State: _____

Zip: _____

Telephone: _____

Website: _____

Facebook Page: _____

Twitter Handle: _____

Primary Contact Person's Name, Title, Email Address & Phone Ext.: _____

Executive Director's Name, Email address & Phone Ext.: _____

(Please provide contact information for more than one person in your organization)

Finance Manager's Name, Email Address & Phone Ext.: _____

Communications Manager's Name, Email Address & Phone Ext.: _____

Number of Paid Staff Members: Full-time #: _____

Part-time #: _____

Number of Volunteers (excluding Board members): _____

Number Serving on your Board of Directors: _____

Organization Began Operations In (year): _____

Most Recent Fiscal Year Ended (date): _____

Total Revenues for that Year: _____

Total Assets: _____

Excess (deficit) of support and revenue over expense during the most recent fiscal year: _____

PART ONE QUESTIONS (Deadline: 10:00 AM, Friday, May 1, 2015)

Limit your answers to no more than 7 pages total. Please refer to page 3 for specific margin and font size requirements. Applications that do not conform to these specifications will not be considered. Questions can be answered in narrative and/or bullet point form. **Be specific: answer all boldface questions, describing examples of your actual, existing management policies and practices and their results.** Questions not in boldface suggest the kinds of management practices and issues you might address in describing your excellent practices; you are **NOT** required to address all of the non-boldface questions. **Emphasize areas of excellent practice within your organization that represent excellent, sustainable and/or replicable practices from which other nonprofit organizations might benefit.** (Consult *Eight Key Areas of Nonprofit Excellence*.)

- 1. Please provide your mission statement (in italics).** If your mission statement does not make clear what your organization aims to do – its core purpose – then state in 1-2 sentences what change your organization is trying to make in the lives of the community(ies), people and/or cause(s) you serve.
- 2. How does your organization’s management focus on both mission-related AND organizational results? Give specific examples of regular planning and feedback that have led to measurable results in advancing your mission and other organizational goals. Summarize your track record of mission-related AND organizational results over the last 3-5 years.** How are results or outcomes defined, verified, tracked and reported? Who follows up and/or tracks results, how often, and what does this encompass? How has impact been sustained? How will you sustain and/or improve key results going forward?
- 3. Cite specific examples of how your Board of Directors adds value to your organization and helps it perform better, and how the Board leads in concert with management?** Do you have a regular and transparent process for filling Board positions? How are Board members recruited, recognized, informed, involved and effectively engaged in policy oversight? Leveraging resources? Assuring accountability, ethical practices, transparency and effectiveness? Publicly representing the organization? Do Board members have job descriptions or clear descriptions of their responsibilities? How is Board performance evaluated? Does the Board monitor and evaluate the CEO’s performance and compensation? Do you have a Board Conflict of Interest policy that regularly discloses material conflicts of interest and leads to appropriate recusals to prevent self-dealing? Is it monitored regularly for compliance? How are Whistleblower policies for Board members enforced? (Also see Checklist #2.)
- 4. How does your organization’s financial strategy support your mission? How do financial considerations get incorporated in major decision-making? Describe the roles of your Board and senior staff in setting financial expectations and goals, creating, approving, reviewing and revising your budget annually and throughout the year.** How does your budget planning incorporate operating, capital and cash flow needs? **Describe the magnitude and purpose of your reserves** (number of months of liquid reserves (excluding fixed or donor-restricted assets) you had at the end of the most recent fiscal year). **How do you think strategically about your growth of unrestricted net assets?** How do you track, report, and communicate financial milestones and results to your Board, key staff, and other key stakeholders? **Describe your biggest financial challenge(s) in the past 3-5 years, how you met it/them, and what preventive steps you took for the future.** Describe internal controls to assure integrity, accuracy and transparency and prevent fraud and waste. How do you ensure that required local, state and federal reports (e.g. IRS Form 990, etc.) are filed in a timely manner, reviewed by senior managers and the Board and publicly available? (Organizations with revenues greater than \$100,000 are required to complete the Financial Information sheet. Electronic copies are available at <http://npexcellence.fcny.org>.)
- 5. How does your organization utilize and care for its human resources? Cite specific examples of how your policies and practices recognize the importance and needs of staff and volunteers. What makes your organization a special place to work?** What benefits do you offer to ensure high morale and staff retention? How are staff and/or volunteers celebrated and supported? Are written personnel policies communicated to staff and volunteers and reviewed at the Board level? Are job descriptions and annual performance reviews tied to achieving program and organizational results? How is staff and/or volunteer talent identified and cultivated? Are internal or external professional development opportunities available?

6. **How does your organization ensure that its staff, volunteers, and board are diverse, culturally competent, and responsive to emerging issues or communities? Cite specific examples of how your organization’s policies and practices are inclusive and culturally competent** – i.e., in tune with and responsive to the varying languages, cultures and expectations of your organization’s constituencies and stakeholders. **How does your organization regularly assess and address changing needs and emerging challenges and issues within the constituencies, communities and issue areas your organization serves?** What forms of diversity (e.g., gender, ethnic and racial, cultural, religious, immigrant/refugee, linguistic, generational, sexual orientation, etc.) policies and/or practices are important for sustaining high quality in your program work in your organization? Does your organization’s staff and governance reflect this diversity? **How has the diversity of your staff and board changed in the last 5 years? Cite current numbers and percentages in Checklist #2.** How does your organization assure these results? How are your organization’s policies and practices culturally competent?
7. **How do your organization’s policies and practices appropriately manage your information technology resources? Cite specific examples of how you regularly use technology and other resources to increase efficiency and effectiveness. Cite specific examples of how technology planning is integrated into short- and long-term strategic operational AND mission-related goals. What is the most significant technology upgrade your organization has implemented? What impact has it had on the management of your organization?** Does your organization invest in appropriate equipment, up-to-date, compatible hardware and software to enhance your ability to achieve your mission? Do you regularly back up important electronic files and check to see if those back-ups actually work? How else do you protect users’ confidentiality and security? Is there at least one staff person responsible for updating software and hardware? Is staff adequately trained in the use of technology to carry out their responsibilities? How is technology inventory tracked and managed?
8. **How do you communicate with your constituencies? Cite specific internal and external communications with key stakeholders that clearly convey your communications strategies and your results from these strategies. Are you effectively telling the core story of how your organization makes a difference? Do you have a communications plan that is integrated with your programmatic and development efforts and that promotes your organization’s brand consistently through print, broadcast, and online materials? How are social media and technology integrated into your strategic communications objectives?** Do your plans, practices and actual communications assure that regular, accurate information reaches your various publics? How do you know? **Cite examples of how you regularly listen to key stakeholders.** How do you regularly assess the impact and reach of your communications relative to your competitors, clients, donors and others? Cite evidence that your messages are understood or “working.” Describe your strategies to protect consumer privacy and confidentiality. Cite evidence that your organization actively and effectively “brands” itself and maintains its brand (public identity and reputation) in telling its story.
9. **How does your organization effectively and ethically develop resources? Cite specific, concrete examples of how you assure sustainable revenues as well as ethical and transparent fundraising practices and communications. With what results?** Describe your fundraising policies, strategies and actual practices for leveraging financial and other resources. What roles do your Board, organizational leadership, staff, volunteers, constituents or clients and community(ies) play in resource development? Are your development plans, policies and activities ethical, effective, regularly reviewed by the Board and accountable to donors? How do you balance between publicly recognizing contributions and donor confidentiality when needed? What practices do you have in place to ensure that donor names are not shared or traded without donor permission? (Also see Checklist #2.)
10. **Cite up to three examples of how your mission guides the management strategies of your organization. These should be concrete examples of “best” program management or organizational management practices that distinguish your organization’s work.** Each example highlighted can cover one or more of the management areas identified above.

APPLICATION CHECKLIST # 1: Applications missing any of these documents will NOT be forwarded to the Selection Committee for consideration. If submitting by paper, submit in the following order. Check off that you have included:

- 1. Completed **cover page**.
- 2. **Checklist #1** (This Checklist).
- 3. **Checklist #2**.
- 4. Completed **Application** (answers to questions 1-10; 7 page maximum). Online submission of the application narrative must be in Microsoft Word format.
- 5. Completed **Financial Information Worksheet** (required of organizations with revenues of more than \$100,000. Electronic copies are available at <http://npexcellence.fcny.org>). On the Notes tab of the Excel spread sheet, explain any significant discrepancies between the information in the financial documents described below, information on the worksheet, and your answers to Question 4 of the application.
- 6. If your organization is required to obtain an annual audit, include your **latest audited financial statement**. Include any management letter or other formal communications from your auditor. If this letter reflects any material deficiencies, please provide a copy of your response to this letter sent to your auditor.
 - NY State nonprofits with revenues above \$500,000 (other than religious congregations) that solicit funds from the public are required to have an annual audit.
 - Organizations with revenues between \$250,000 and \$500,000 are required to have an annual independent accountant's review report and financial statements with accompanying notes.
 - Organizations with revenues below \$250,000 should submit the most recent internal financial statement.
- 7. If your most recent audit (or financial review) covers a period that ended prior to March 31, 2015, provide an **interim financial statement (statement of income and expenses and balance sheet)** covering the period through March 31, 2015.
- 8. Copy of your **organizational budget for the current fiscal year**.
- 9. Copy of your **most recent IRS Form 990**, including all schedules.
 - Organizations with revenues above \$200,000 or total assets greater than \$500,000 must file Form 990. Private Foundations must file Form 990-PF.
 - Organizations with revenues between \$50,000 and \$200,000 and total assets less than \$500,000 must file Form 990-EZ (but may choose to file a Form 990).
 - Organizations with revenues below \$50,000 must file Form 990-N (but may choose to file a Form 990 or Form 990-EZ).
- 10. A description of your **process for determining executive compensation**. (Use the Microsoft Word form online at <http://npexcellence.fcny.org>).
- 11. Copy of your **IRS 501(c)(3) determination letter**.
- 12. A list of your **Board of Directors** and their organization affiliations. (Complete the Microsoft Excel form online at <http://npexcellence.fcny.org>).

APPLICATION CHECKLIST # 2: Applications missing this document will NOT be forwarded to the Selection Committee for consideration.

1. Board:

- a. Percentage of Board members who make personal gifts: ____%
- b. Do you have Whistleblower and Conflict of Interest policies in place for Board members? YES NO

2. Financial Management:

- a. # Months of cash: ____
- b. # Months of liquid unrestricted net assets: ____
- c. # Months of designated unrestricted net assets: ____

3. Diversity:

- a. Do you have a written diversity policy and/or affirmative action plan? YES NO
- b. Please complete this diversity composition chart for your organization. **Please provide # and %.**

		Staff		Board		Volunteers		Other: _____	
		#	%	#	%	#	%	#	%
Gender:	Male								
	Female								
Ethnicity:	Asian								
	Native American								
	Black/African American								
	Caucasian, Non-Hispanic								
	Hispanic/Latino								
	Other								
Age:	0 – 18								
	18 – 40								
	41 – 65								
	65 +								

4. Human Resources

- a. Are there job descriptions for all positions? YES NO
- b. Are there annual performance reviews for all positions? YES NO
- c. Do you have Whistleblower and Conflict of Interest policies in place for staff? YES NO

5. Information Technology

- a. Is there a designated staff person responsible for updating software and hardware? YES NO
- b. Do you use a CRM (customer relationship management) or database management software? YES NO
- c. Do you have a disaster recovery plan? YES NO
- d. Do you have a document retention and destruction policy, including electronic files? YES NO

6. Fundraising

- a. Do fundraising professionals engaged by your organization adhere to the highest ethical standards, such as the [Association of Fundraising Professionals’ Code of Ethical Principles and Standards of Practice](#)? YES NO
- b. Does your organization comply with all applicable local, state and federal laws and regulations concerning fundraising practices? YES NO
- c. Do fundraising communications clearly convey accurate, honest information about your organization, its activities, and intended use of funds? YES NO
- d. Please provide a % breakdown of sources of funding for the most recent audited year:

Funding Source	%	Funding Source	%
Government		Major Donors	
Corporate		Annual Appeal	
Foundation		Other: _____	
Special Event(s)			

7. Communications

- a. Do you use a web tracking tool to monitor activity on your website? YES NO
- b. Do you have a social media policy in place? YES NO
- c. Do you track social media activity on a regular basis? YES NO



Financial Information Worksheet

ORGANIZATIONS WITH BUDGETS LESS THAN \$100,000 ARE NOT REQUIRED TO COMPLETE THIS WORKSHEET.

(Please submit this form as a Microsoft Excel file. Electronic copies are available at <http://npexcellence.fcny.org>. If submitting by paper, also email this form as a Microsoft Excel file to Melkis Alvarez-Baez at malvarez@npccny.org.)

Do not fill out the black cells. Instructions are available under the *Instructions* tab.

Enter explanations/additional information on the *Notes* tab.

Questions? Contact Melkis Alvarez-Baez at 212-502-4191 x. 225; malvarez@npccny.org

Line #	Name of Organization: (enter name on line 2)	Current Year	Prior Year Actuals	
		Budget	PY1	PY2
4	Year End Date			
5	DESCRIPTION			
6	Financial Position			
7	Assets			
8	Cash and cash equivalents			
9	Contributions receivable			
10	Investments			
11	Fixed assets			
12	Other assets			
13	Total assets	\$ -	\$ -	-
14	Liabilities			
15	Accounts payable and accrued expenses			
16	Debt - fixed asset related			
17	Debt - other			
18	Other			
19	Total liabilities	\$ -	\$ -	-
20	Net assets			
21	Unrestricted			
22	Unrestricted - net invested in fixed assets			
23	Unrestricted - undesignated			
24	Unrestricted - Board designated (provide list of purposes)			
25	Total Unrestricted net assets	\$ -	\$ -	-
26	Restricted			
27	Temporarily restricted			
28	Permanently restricted			
29	Total Restricted net assets	\$ -	\$ -	-
30	Total net assets	\$ -	\$ -	-
31	Change in Net Assets			
32	Revenues:			
33	Contributions and grants - government			
34	Contributions and grants - other			
35	Investment income			
36	Earned income			
37	Other			
38	Total revenues	\$ -	\$ -	\$ -
39	Total Unrestricted Revenue			
40	Expenses:			
41	Program			
42	Management and general			
43	Fundraising			
44	Total expenses	\$ -	\$ -	\$ -
45	Other (provide list)			
46	Operating Surplus/Deficit	\$ -	\$ -	\$ -
47	Audit/990 Information			
48	Are financial statements audited, reviewed, compiled?			
49	Did auditor report any deficiencies or other management comments? (If yes, email a copy of management letter or other report to malvarez@npccny.org)			

The 2015 New York Community Trust Nonprofit Excellence Awards
Financial Information Worksheet

Instructions

The Financial Information input sheet provides summarized financial information on the same basis for all entrants. Most of the information will come directly from your financial statements or current period budget. If you need to explain any information, please provide the explanation with your application. **You can use additional sheets, in addition to the application, or enter the information on the third worksheet (the "Notes" tab) in this Excel Workbook.**

<u>Line #</u>	<u>Instructions</u>
2	Enter the name of your organization.
4	Enter the year end date for the current year and the two preceding periods (PY1 and PY2) for which you have provided financial statements in the format dd/mm/yy.
8-12	Enter assets by these categories. These numbers should agree with your financial statements. Provide a listing of any significant other assets under the <i>Additional Information</i> tab of this workbook or a separate sheet.
15-18	Enter liabilities by these categories. These numbers should agree with your financial statements. Provide a listing of any significant other liabilities under the <i>Additional Information</i> tab of this workbook or a separate sheet.
22	Enter the amount of unrestricted net assets invested in fixed assets. If not separately identified in your financial statements this is computed as: Fixed assets less fixed asset-related-debt.
23	Enter the balance of unrestricted net assets.
24	Enter any portion of your unrestricted net assets that has been designated by your board for a particular purpose and provide a listing under the <i>Additional Information</i> tab of this workbook or a separate sheet.
27-28	Temporarily and permanently restricted net assets should agree with your financial statements.
33-37	Enter all forms of revenue, support or other income. Provide a listing of any significant other income. (Line 12 on an additional sheet).
38	Total revenues should agree with your budget and financial statements. If they do not agree, please provide an explanation that will reconcile these under the <i>Additional Information</i> tab of this workbook or a separate sheet.
41-43	Enter expenses by these categories. These numbers should agree with your financial statements. You may need to prepare an allocation so that your budget can be presented on the same basis.
44	Total expenses should agree with your budget and financial statements. If they do not agree, please provide an explanation that will reconcile these under the <i>Additional Information</i> tab of this workbook or a separate sheet.
45	Any item that is a change in net assets and is not included in revenue or expenses should be entered on this line. Provide a listing of any significant other items under the <i>Additional Information</i> tab of this workbook or a separate sheet.
46	Operating surplus/deficit should agree with your budget and financial statements. If they do not agree, please provide an explanation that will reconcile these under the <i>Additional Information</i> tab of this workbook or a separate sheet.
48	Select from the drop down menu to indicate whether your financial statements are audited, reviewed or compiled. If there is no involvement of an independent accountant, indicate other.
49	Select 'yes' or 'no' from the drop down menu. If yes, email a copy of the management letter or other report to malvarez@npccny.org.

Explain any significant discrepancies between the information in the supporting financial documents (audit, financial review, budget, and/or IRS Form 990), the information on the "Input" tab of this Excel file, and your answers to Question 4.

(Press "Alt enter" if trying to space down to the next line.)

The 2015 New York Community Trust Nonprofit Excellence Awards Application

Executive Compensation Determination

Describe the process for determining compensation of the following persons:

- **The organization's Executive Director, Chief Executive Officer (CEO), or top management official**
- **Other officers or key employees of the organization**

