

APEX PROJECT



NCMI

Quick Reference Guide

The following assessment tool was developed by Nazarene Compassionate Ministries, Inc. (NCMI) with consultation from BTW Informing Change. This tool is designed for the following:

- To provide Faith-Based Organizations/Non-Government Organizations (FBOs/NGOs) with a learning and development opportunity.
- To identify areas of organizational capacity and areas that need development.
- To prioritize those needs and inform NCMI how best to support the participating organizations in the form of consulting, training, and other resources.

If you have any questions, email APEX@ncmi.org

I. Legal Documentation Checklist

Item	Description	Yes	No	In Progress	Not Applicable
Articles of Incorporation	Articles of Incorporation filed with state and kept in active status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Articles of Incorporation filed with NCM and are up-to-date	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bylaws	Bylaws written and approved by the Board and filed with state and NCM and periodically reviewed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
501(c)(3) Status	501(c)(3) filed with IRS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	501(c)(3) acceptance letter filed with NCM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Payroll Documentation	Filed and received an Employer Identification Number	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	If paid staff, make proper payroll deductions and file and maintain payroll tax documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IRS 990 Form	For 501(c)(3) approved organizations, IRS 990 form completed and filed annually	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Insurance	Initial and periodic review of insurance needs with agent and creation of the proper policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Officers Liability Insurance Policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	If paid staff, Workers Compensation Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal/Financial Advisors	Maintains legal and financial advisors for consultation on legal documentation or transactions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Registered Agent	Registered agent and contact address current with state	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II. Mission / Vision / Values / Strategic Planning

Category/Topic	Level 1	Level 2	Level 3	Level 4	Organization's Level
Mission	Verbal statement that expresses the reasons for the organization's existence; held by very few and rarely referenced	A simple, written mission statement of values and purpose that expresses the reason for being; held by some within the organization and referenced occasionally	A refined and concise mission statement that accurately reflects the values and purpose of the organization; held by many within the organization and often referenced	A clear mission statement that accurately reflects the values and purpose of the organization that is easy for staff and Board Members to articulate and is frequently referenced	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Vision	The ability to articulate a vision for future ministry; little shared understanding of what the organization aspires to become beyond the stated mission	A clear understanding of what you want the ministry to become; held by a few, but rarely used to direct actions or set priorities	A clear and specific understanding of what you want the ministry to become; held by the Board and staff and often used to direct actions and set priorities	A clear and specific understanding of what you want the ministry to become; held by the Board and staff and used consistently to direct actions and set priorities and is periodically reviewed	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Core Values	Shared values are not recognized nor articulated within the organization	A common set of core values exists and is articulated, but is not shared broadly	A common set of core values exists and is articulated and written by the Board to guide the organization; the core values are shared broadly and discussed with respect to how they affect operations	A common set of core values exists and is widely shared; provides alignment for the direction and actions of the organization; beliefs are embodied by the leadership; beliefs and values support the purpose of the organization and the values are used consistently to guide the organization and reviewed periodically	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Strategic Planning	Limited ability and tendency to develop a strategic plan; at least a verbal plan of how you will accomplish your mission and vision	Ability to develop a strategic plan; a simple, written short-term plan exists of how you will accomplish your mission and vision that is used at times to guide management decisions	Ability and periodic tendency (at least once a year) to engage in strategic planning process; board fully engaged in planning process and actively developing a written plan that is used to guide management decisions	Ability and tendency to develop realistic and detailed three to five year strategic plan and an annual Board retreat for review and planning; strategic plan is used extensively to guide management decisions	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable

III. Board Development

Category/Topic	Level 1	Level 2	Level 3	Level 4	Organization's Level
Board Member Roles and Expectations	Each Board Member agrees to support and encourage others to support the mission and vision of the organization	Level 1 requirements plus a written Board Member job description exists with roles and expectations; and Board Members are actively involved in fundraising and networking on behalf of the organization	Level 1 and 2 requirements plus Board members are actively involved in strategic planning and governance decisions	Level 1, 2 and 3 requirements plus each member of the Board annually contributes financially to the organization	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Board Meetings	Regular Board of Director meetings are held and attended	Regular Board of Director meetings are held and attended; Board meeting agenda and minutes are written and filed	Regular Board of Director meetings are held and attended; Board meeting agenda and minutes are written and filed; Board Chair (separate from Executive Director) convenes and facilitates each meeting	Regular Board of Director meetings are held and attended; Board meeting agenda and minutes are written and filed; Board Chair (separate from Executive Director) convenes and facilitates each meeting; Board assesses the performance of its structures and policies annually	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Board Development	An official Board of Directors is established to govern and raise resources for the organization	The Board of Directors establishes a set of policies addressing board recruitment, retention and rotation	Policies addressing board recruitment, retention and rotation are in effect; new Board Member orientation program exists that conveys the organization's mission and vision, outlines roles and expectations, and alerts them to their fiduciary responsibility	The Board assesses its overall performance annually and engages in focused board development either in regular meetings or special retreats	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable

IV. Financial Accountability

Category/Topic	Level 1	Level 2	Level 3	Level 4	Organization's Level
Banking	Basic checking account	Basic checking account; gifts and grants deposited; bills paid regularly	Basic checking account; gifts and grants deposited; bills paid regularly; additional bank account (savings or Money Market) for designated gifts and/or savings	Basic checking account; gifts and grants deposited; bills paid regularly; additional bank account (savings or Money Market) for designated gifts and/or savings; Well established relationship with local bank	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Book-keeping	Establish a fiscal year end and set-up basic bookkeeping practices (checks and balances)	Established dual approval system in place where one person approves the expense and a second signs the check, and two signatures required for checks over a pre-determined amount	Established dual approval system in place; Make proper bookkeeping adjustments as directed by auditor or reviewer and track restricted funds separately	Established dual approval system in place; Make proper bookkeeping adjustments as directed by auditor or reviewer and track restricted funds separately; consider EFCA Certification (if applicable)	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Reporting System	Establish basic internal financial controls; appointment of a Treasurer who reviews the check-book and reports monthly	Monthly Treasurer's review; written financial reports provided for each Board meeting and an annual financial report	Monthly Treasurer's review; written financial reports provided for each Board meeting and an annual financial report; Separate roles for bookkeeper or treasurer	Internal systems and controls that govern financial operations and reporting are in place and integrated with budgeting, decision-making and organizational goals; cash flow is actively managed	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Tax/Audit	Consultation with a tax expert to determine what you must file and some kind of donation receipt process for tax purposes	Outside CPA for consulting purposes, all taxes paid, proper paper work filed with IRS and at least one review complete	Outside CPA for consulting purposes, all taxes paid, proper paper work filed with IRS; At least one audit complete	Outside CPA for consulting purposes, all taxes paid, proper paper work filed with IRS; Annual audits conducted	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable
Budget	A rough, but written budget for the whole organization exists that estimates income and expenses	A written, more complete and comprehensive annual budget for the organization exists that is used sometimes to guide financial decisions	A comprehensive annual budget for the organization exists that is used often to guide financial decisions; some attempt is made to isolate specific program budgets within the organizational budget	A comprehensive annual budget for the organization exists that is used consistently to guide financial decisions; specific program budgets exist within the organizational budget; financial planning attempts are made to secure funds for organizational development (e.g. ongoing leadership development)	<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 4 <input type="checkbox"/> Not Applicable

