**SIMPLIFIED ORGANIZATIONAL SELF-ASSESSMENT GUIDE FOR NGOs/FOUNDATIONS**

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| **Name of Applicant Organization** |  |
| **Prepared by:** |  | **Signature** | **Date Prepared:** |

PCNC adheres to a set of organizational standards/indicators to measure an NGO’s practice of good governance and management and accountability and transparency. An NGO that wishes to apply for PCNC certification is advised to first conduct an organizational self-assessment to identify its strengths and areas for improvements. *In case many areas for improvements are identified, it is highly recommended that the NGO first institute the necessary corrective measures before applying for PCNC certification. If applicant organization finds results of the self-assessment satisfactory, include the accomplished instrument to the documents that will be submitted to PCNC. While the organization may be compliant with most standards, the quality of compliance will be looked into.*

It is best to involve the management and concerned staff in the conduct of the organizational self-assessment. The Board should be involved, at least, in the assessment of the governance function.

**In consultation with your Board of Trustees, Management and Staff, objectively answer the following guide questions:**

***Use space to \_√\_ if answer is yes; x if answer is no and: ? if the answer is incomplete or not sure.***

1. **Vision and Mission**

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| 1. Is/are the purpose/s of the organization clearly stated in its Vision and Mission?
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| 1. Are the Vision and Mission of the organization in writing?
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| 1. Are the target beneficiaries and needs being responded to clearly stated in the Vision/Mission?
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| 1. Can the members of the Board of Trustees, management, staff, partners and beneficiaries explain the purpose/s (vision & mission) of the organization in their own words?
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1. **Governance**

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| 1. Are there clearly written processes for selection and election of members and officers of the Board of Trustees (BOT) and practiced accordingly?
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| 1. Are governance practices according to the Articles of Incorporation and By-Laws?
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| 1. Does the Board of Trustees meet regularly? How often? \_\_\_\_\_\_
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| 1. Is there proper documentation of minutes of Board meetings and resolutions?
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| 1. Is the General Information Sheet (GIS) submitted regularly and on time with the SEC?
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| 1. Do BOT members serve as volunteers and do not receive any remuneration or compensation?
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| 1. Is there a written policy on conflict of interest and practiced accordingly?
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| 1. Chair/President is not related to the Treasurer by affinity or consanguinity up to second degree.
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| 1. Is there clear delineation (*evidenced by job descriptions*) of responsibilities of the members and officers of the BOT and the President and/or Executive Director?
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| 1. For family and corporate foundations and those organized by faith-based organizations, there is at least one (1) independent trustee.
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| 1. The organization is fully compliant with reportorial and regulatory requirements of:
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| * Bureau of Internal Revenue
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| * Securities and Exchange Commission
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| * DSWD, DOST, DepEd, CHED, DOH, NYC, TESDA or Another Government Agency (as Applicable)
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1. **Administration**

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| 1. Is there clear organizational structure that shows lines of authority, workflow and accountability?
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| 1. Is there a written set of administrative/personnel policies and procedures and guidelines?
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| 1. Are there enough staff *(even if volunteers or seconded from the affiliate company*) with skills suitable to the operations of the organization?
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| 1. Are there clearly defined job functions (*job descriptions*) that are consistent with current staff responsibilities?
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| 1. Does the organization pay its staff at least the law/government mandated minimum wage and benefits?
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1. **Program Operations**

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| 1. Are the current beneficiaries consistent with the Vision and Mission of the organization?
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| 1. Are there clear program planning, implementation and monitoring and evaluation policies and procedures or guidelines that are in writing and practiced accordingly?
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| 1. Does the organization have a 3 – 5 year program/strategic plan and approved by the Board of Trustees?
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| 1. Are monitoring and evaluation reports regularly prepared?
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| 1. Is there a system used to track and measure the degree of achievement of targeted program goals/results?
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| 1. Are the programs/projects implemented contributory to the achievement of the Vision and Mission of the organization?
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1. **Financial Management**

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| 1. Are funds utilized for the intended purpose/s of the organization??
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| 1. Does the organization have a 3 – 5 year financial plan approved by the Board of Trustees?
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| 1. Are there proper internal controls or check and balance of financial transactions:
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| * separate persons handle disbursement approvals, cashiering and bookkeeping functions

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| * accurate, complete and up-to-date recording in the four (4) books of accounts (cash receipts book, cash disbursement book, general journal and general ledger)
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| * funds are deposited in bank account/s in the name of the organization
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| * there are at least two (2) signatories per check
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| * official receipts are registered with the BIR and properly used
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| * financial transactions are supported with proper documents, including pre-printed and pre-numbered cash/check vouchers and attachments that are stamped paid
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| 1. Total administrative expense for the year not more than 30% of total donations and of total expenditures for the year
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| 1. Financial management policies and procedures or guidelines are in writing and consistent with practices
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| 1. Other financial documents/records that must be kept by an NGO:
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| * Board approved budget for the calendar/fiscal year
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| * BIR permit to use manual, loose leaf or computerized accounting system
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| * Corporate Secretary’s certificate re bank signatories
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| * Tax Exemption Certificate issued by BIR or proof of application for Tax Exemption
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| * Audited Financial Statements and Audit Report with Sworn Statement on the Sources and Usage of Funds, (*duly stamped received by BIR and SEC*) conducted by a CPA duly registered with BOA, BIR, PRC and if applicable, SEC.
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| * Copy of External Auditor’s BOA accreditation, BIR, PRC, and if applicable SEC registration numbers
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| * Latest Unaudited Financial Statements prepared at least quarterly
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1. **Collaborative Linkages/Networking**

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| 1. A member of an NGO network for learning and sharing of good practices and potential partnerships
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| 1. Have partnerships with other NGO/s and/or government agency/ies
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| 1. Partnerships evidenced by MOAs/MOUs
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1. **Organized/Manualized Policies and Procedures or Guidelines**

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| 1. Governance, Administrative, Program, Finance and Networking Policies and Procedures or Guidelines are compiled into the Manual of Operations
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***If most of your answers is no or not present/sure, it is best to first work on these deficiencies before applying for PCNC certification. In case most of your answers are yes, the evaluation team will look into the quality of your compliance.***