**The 2011 New York Times Company
Nonprofit Excellence Awards**

**Presented by**

**The New York Times Community Affairs Department**

**Nonprofit Coordinating Committee of New York (NPCC)**

**Philanthropy New York**

***Application Information***

**Deadline: 9am, November 15, 2010**

**Definition**

Nonprofits play a critical role in enriching and improving the lives of people throughout the greater New York City area. The 2011 New York Times Company Nonprofit Excellence Awards will be presented to three New York City area nonprofit organizations for excellence in organizational management. The Awards recognize management excellence and encourage innovation among New York’s large and diverse nonprofit community.

**Eligibility**

The Awards competition is open to any 501(c) (3) nonprofit organization based in the following areas: **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 mission, religious affiliation, ethnicity, socioeconomic grouping, ideological perspective or sexual orientation.** 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 focuses 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., 2011 award-winners cannot participate again until the 2015 awards competition).

**The Awards**

**A total of $40,000 will be awarded to three organizations, with $25,000 going to the Gold Prize winner for Overall Management Excellence, $10,000 to the Silver Prize winner and $5,000 to the Bronze Prize** winner for outstandingperformance in nonprofit management. Winning organizations must be excellent in multiple key areas of management. (See *Seven Areas of Nonprofit Excellence.*)

Each winning organization will also receive a scholarship towards tuition at Social Enterprise Programs in Executive Education at Columbia Business School.

**Selection Process**

Winners will be selected after a three-stage judging process, including two stages of written applications and a site visit. The Awards Selection Committee is an all-volunteer expert group selected by the Nonprofit Coordinating Committee of New York (NPCC), Philanthropy New York and the New York Times Community Affairs Department. Employees of NPCC, Philanthropy New York or New York Times Community Affairs Department **do not** serve on the Selection Committee or in any way participate in or influence the voting; however, these organizations administer and facilitate the Awards selection process. All information submitted for consideration remains confidential to Selection Committee members and staff administering the Awards. After the Selection Committee reviews all Part One applications, the pool will be reduced to a maximum of 10 semifinalists for consideration. The 10 semifinalists will be asked to complete the Part Two application.

You will be notified whether or not you qualify for Part Two of the competition by February 18, 2011.

Applicants may request follow-up feedback on their applications, including summaries of Selection Committee comments and rankings, by contacting Awards program staff at NPCC. Contact information and instructions will be included in your notification email on February 18th.

Winning organizations are required to participate in the June 23, 2011, awards presentation and Best Practices Workshop, featuring management strengths, ideas and strategies identified through the selection process. Winners may also be asked to participate in workshops and educational efforts designed to showcase excellent management practices.

**Collaborators and Supporters**

The Nonprofit Coordinating Committee of New York serves as the tax-exempt manager of this program, in collaboration with The New York Times Community Affairs Department and Philanthropy New York. Additional financial and in-kind support in the past year was provided by The Clark Foundation, Google Inc., the Surdna Foundation, McGladrey & Pullen, LLP, the Fund for the City of New York, Social Enterprise Programs in Executive Education at Columbia Business School, The New York Community Trust, New York Life Foundation, The Venable Foundation, Wells Fargo, Community Resource Exchange and the Altman Foundation.

**Identifying Nonprofit Excellence**

Key factors considered by the Awards Selection Committee in reviewing applications and selecting awardees are outlined in the *Seven Areas of Nonprofit Excellence* document. The 7 areas are:

* Overall management focus on results
* Governance structure that moves the organization forward
* Strong, transparent and accountable financial management
* Inclusive, diverse and responsive organizational practices
* Enlightened use of human resources and technology
* Regular and effective communications
* Effective, ethical fundraising and resource development

The strongest applications are expected to be from those organizations with excellent management practices in a majority of these areas and where discussion and reflection have been invested by staff, board, volunteers and other stakeholders prior to completing the application. The Awards are designed to identify and promote excellent management practices that will provide useful examples of best practices 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 minimal, and only in support of excellent management practices. 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**

Both paper and online applications will be accepted. Your Part One paper application addressing questions 1 through 9 should be **no more than a total of six (6) pages**. Please submit only one copy of the application form. Paper 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**. You do not have to repeat the 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 9 questions, **you must submit supporting financial documents (see last page)**. This material is not included in the six-page maximum covering questions 1-9. If you submit these documents by regular mail, they must be **unbound and on 8 ½ by 11 paper. Do not send books, videotapes, manuscripts or other unrequested** **materials.** These will not be reviewed or returned.

**Applying Online**

**Go to http://nytawards.fcny.org to apply online.** If you do not have the capacity to upload supporting documents (see last page for specifics), please mail them under separate cover to NPCC (address below) with a note indicating that you submitted the rest of the application online.

***All materials must be received by 9:00 AM on Monday, November 15, 2010***.

(NPCC’s offices close at 5:00pm on Friday, November 12th. Applications will be accepted during the weekend through midnight on Sunday if submitted electronically or sent via mail.  In-person application submissions over the weekend cannot be accepted.)

**Send application and supporting documents to:**

**2011 Nonprofit Excellence Awards**

**Nonprofit Coordinating Committee of New York**

**1350 Broadway, Suite 1801**

**New York, NY 10018**

**IMPORTANT: Applications lacking supporting documents will not be considered.**

**The 2011 New York Times Company Nonprofit Excellence Awards

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

**PART ONE APPLICATION COVER PAGE
(Due November 15, 2010 by 9:00AM)**

**Name of Organization**

**Based in: \_\_\_ NYC area (This is required; see “Eligibility”) Primarily Serves: \_\_\_NYC area \_\_\_National constituency \_\_\_International constituency \_\_\_Other (Check all that apply)**

**Type (e.g., arts, healthcare, environment, youth development, etc.):**

**Address**

**City State Zip**

**Telephone FAX**

**Web Address**

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

**Finance Manager’s Name, Email Address & Phone Ext.**

**Executive Director’s Name, Email Address & Phone Ext.**

**(Please provide contact information for more than one contact at your organization.)**

**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**

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**How did you hear about the Awards? \_\_\_\_postcard \_\_\_\_e-blast \_\_\_\_\_other (explain \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_)**

**PART ONE QUESTIONS (Due 9am, November 15, 2010)**

Limit your answers to no more than 6 pages total (not counting this page). Please refer to page 3 for specific margin and font size requirements. Applications that do not conform to these limitations 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 answer all of these non-boldface questions. Emphasize areas of excellent practice within your organization that represent innovative, sustainable and/or replicable practices from which other nonprofit organizations might benefit. (Consult *Seven Areas of Nonprofit Excellence*.)

**1. Please provide your mission statement. (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) or people you serve. Explain how this mission guides the management of your organization. Cite specific examples.**)

1. **How does your organization’s management focus on 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?
2. **Cite specific examples of how your board of directors adds value to your organization and helps it perform better, and of how your board leads in concert with management.** 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? How is board performance evaluated? Does the board monitor and evaluate the CEO’s performance and compensation? What percentage of board members contribute financially? 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?
3. **Describe the roles of your board and senior staff in creating, approving, reviewing and revising your budget annually and throughout the year.** Do you have a regular and transparent process for filling Board positions?

How, are board members regularly informed and involved in the management of your organization? How does your budget planning incorporate operating, capital and cash flow needs? Describe your reserves -how many months/years of liquid reserves (excluding fixed or donor-restricted assets) did you have at the end of the most recent fiscal year? If your organization is required to have an annual audit or accountant’s review, how is it reviewed at the board level? Do you assure key financial milestones are met throughout the year by tracking and reporting financial performance and cash flow to the board, its committees, key staff, supporters and other key stakeholders? How do you communicate results? Describe your biggest financial challenge(s) in the past 3-5 years and 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. Do they work? How do you ensure that required local, state and federal reports (e.g. IRS Form 990, NYS CHAR 500, etc.) are filed in a timely manner, complete, accurate, 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://nytawards.fcny.org>.)

1. **How does your organization ensure that it is diverse, culturally competent, and responsive to emerging issues or communities? Cite specific examples of inclusive and culturally competent service delivery, outreach and hiring policies and practices, and measurable results in how your organization regularly assures that it effectively addresses emerging needs and communities. How has the diversity of your staff and board changed in the last 5 years (cite numbers and percentages)?** Cite evidence for the effectiveness of your specific policies and practices in human resources, governance, management and supervision, and client services. Do you have a written diversity policy? How do you regularly assess and adapt to emerging challenges, issues, needs and demands within the constituencies, communities and issue areas that your organization addresses? What forms of diversity (e.g. gender, racial, cultural, religious, immigrant/refugee, linguistic, generational, etc.) do you think are important for strengthening the quality of the work proposed and why? Does your organization’s staff and governance reflect this diversity?
2. **How does your organization utilize and care for its human resources? Cite specific examples of how your policies and practices recognize the importance, expectations, availability and needs of staff and volunteers and the importance, availability, and responsibilities of managing appropriate technology.** Are written personnel policies communicated to staff and volunteers and reviewed at the board level? Are there job descriptions for all positions and annual performance reviews? Are these tied to achieving organizational results? Do you protect your clients, employees and volunteers from unnecessary risk, ensuring standards of prudent care? Are internal or external professional development opportunities available? Do you have whistleblower and conflict of interest policies for staff that protect confidential reporting of suspected wrongdoing, regularly disclose material conflicts of interest, and lead to appropriate recusals to prevent self-dealing? Are these rigorously monitored?
3. **How do you communicate with your constituencies? Cite specific internal and external communications with key stakeholders that clearly convey your communications strategies. Are you effectively telling the core story of how your organization makes a difference? Cite specific examples of how your policies and practices recognize the importance, expectations, availability and responsibilities of managing appropriate technology. How is technology integrated into your strategic 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 how effective your communications are 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. How do you regularly use technology and other resources to increase efficiency and effectiveness? Do you regularly back up important electronic files and check to see if those back-ups actually work? 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?
4. **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 (customers) 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? 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? Does your organization comply with all applicable local, state and federal laws and regulations concerning fundraising practices? Do fundraising communications clearly convey accurate, honest information about your organization, its activities, and intended use of funds? How do you balance between publicly recognizing contributions and donor confidentiality when needed? Do you assure that donor names are not shared or traded without donor permission?
5. **Highlight up to three specific “best practices” of management excellence in your organization over the past three years that you believe merit consideration for this award. Cite concrete examples of creative program or organizational management practices that distinguish your organization’s work.** How might these practices be taken to scale? Each example highlighted can cover one or more of the management areas identified above.

**NOTE:**

**Applicants must document significant accomplishments in more than one of the areas described above. Competence does not equal excellence.**

**The New York Times Company Nonprofit Excellence Awards recognize and reward excellence!**

**APPLICATION CHECKLIST: *Applications lacking 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. This **checklist.**

🞎 3. Completed **6 page (maximum) application** (answers to questions 1-9).

🞎 4. Completed **Financial Information sheet** (Required of organizations with revenues of more than $100,000. Electronic copies are available at <http://nytawards.fcny.org>.) On the Notes tab of the Excel spread sheet, explain any significant discrepancies between the information in the financial documents described below, the information on the attached Excel spreadsheet, and your answers to Question 4.

🞎 5. 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 $250,000 (other than religious congregations) that solicit funds from the public are required to have an annual audit.
* Organizations with revenues between $100,000 and $250,000 are required to have an annual independent accountant’s review report and financial statements with accompanying notes.
* Organizations with revenues below $250,000 should provide the most recent review report and financial statements covering your organization’s finances.
* Organizations with revenues below $100,000 should submit the most recent internal financial statement.

🞎 6. If your most recent audit (or financial review) covers a period that ended prior to August 31, 2010, provide an **interim financial statement (statement of income and expenses, plus balance sheet if available)** covering the period through September 30, 2010.

🞎 7. Copy of your **budget for the current fiscal year**.

🞎 8. Copy of your most recent **IRS** **Form 990**, including all schedules (if required).

🞎 9. Copy of your **IRS 501(c) (3) determination letter.**

🞎 10. A list of your **Board of Directors** and their organization affiliations. (**Complete the Microsoft Excel form online at http://nytawards.fcny.org.**)

**\*Questions: Contact Awards program staff at 212-502-4191 x. 25.**