

MAYOR'S FUND
TO ADVANCE
NEW YORK CITY

ATTACHMENT 3

BACKGROUND FORM/CAPACITY STATEMENT

I. Background information for the lead applicant (CBO)

1 Legal name of organization: _____

2 Mailing address of organization: _____

3 Date organization was established: _____

4 Date of IRS approval as a tax exempt organization (attach IRS determination letter): _____

5 Tax ID Number: _____

6 Organization's website: _____

7-8 Chief Executive Officer:

Name: _____ Title: _____

Telephone: _____ Email: _____

9-10 Chief Financial Officer (or the senior official responsible for overseeing the organization's finances):

Name: _____ Title: _____

Telephone: _____ Email: _____

II. Demonstrated Level of Organizational Capacity

1 Fiscal year end date: _____

2 Please attach the organizational budget for last fiscal year, the current fiscal year and the projected budget for next fiscal year (Please indicate if the funds requested in this proposal are included in the projected budget).

- 4 List the three largest awards (if any) from a Federal/State/City government agency received in the in the past five years:

<u>Agency</u>	<u>Amount</u>	<u>Award Period</u> <u>(Beginning/End Date)</u>

- 5 Please attach the last two (2) most recent audits and management letters with organizational response (if applicable).

- 6 Please attach a copy of the most recently submitted Return of Organization Exempt From Income Tax- IRS Form 990, if applicable.

- 7 Has your organization been the subject of an A-133 audit in the past five years?

Yes No If yes, please attach a copy of the audit.

- 8 Does your organization have a negotiated indirect cost rate agreement approved by the federal government?

Yes No If yes, please attach a copy of the rate agreement letter. If No, please explain how indirect costs are determined and allocated by your organization.

- 9 A. Does your organization have written financial and/or accounting policies and procedures?

Yes No If yes, please attach a copy of the policies and procedures.

B. Does your written financial and/or accounting policies and procedures conform to federal regulations covered under [2 CFR Part 200](#) (formerly OMB Circulars A-122 or OMB Circulars A-21)?

Yes No

- 10 Please describe your organization's check signing policies and procedures (or reference page number in attached policies)

11 Are bank reconciliations performed and approved monthly for each account?

Yes No

12 Please describe how approvals of purchases are formally documented.

13 Please describe how journal entries are approved for entry into the general ledger.

14 Provide a brief description of your organization's accounting system, including the name of the software used.

15 A. Is a timesheet system in place that requires staff to submit signed timesheets?

Yes No If yes, how frequently are time sheets submitted for approval?

B. On the timesheet, is time worked allocated to specific projects or grants?

Yes No

16 Does your organization have experience with track match funding requirements for federal contracts or other restricted grants?

Yes No If yes, provide an example and describe how matching funds are identified and tracked in the general ledger.

17 Are monthly reports prepared and reviewed to compare budgeted vs. actual income and expenditures for grants?

Yes No

18 Where will grant funds be maintained? If not in a separate bank account, describe the process(es) in place to track receipts and expenditures by grant and/or funding source.

19 Does your organization have written travel policies?

Yes No

20 Total number of full-time () and part-time () staff (Attach an organizational chart).

21 Explain any significant change in the senior/executive management level staff increase and decrease or composition of the staff over past three years.

22 For each of the following three positions, briefly summarize the qualifications (or attach a bio or resume) of the person holding the position, including how long he or she has been in the position as well as his or her relevant previous experience:

- i. Chief Executive Officer
- ii. Chief Financial Officer (or senior person responsible for the organization's finances and accounts)
- iii. Senior member of the program staff in the area for which SIF funding would be sought

23 Describe any other applications that you are planning to submit for funding under the Social Innovation Fund, the U.S. Department of Education's Investing in Innovation (i3) Fund, or other major initiatives.

III. Certification and Signatures

I certify that the information provided in this proposal is accurate to the best of my knowledge:

[Chief Executive Officer]

[Chief Financial Officer]

[Date]