

# THE NONPROFIT INFORMATION INVENTORY



## **Necessary Checklists for Executive Leadership Contingency Succession Planning**

It has been said that a leader is only as good as the information that is provided to help him or her make good decisions about the future course of the organization. Our Information Inventory is provided to help everyone involved in a leadership capacity have access to factual information vital to managing a nonprofit organization.



# Nonprofit Information Inventory

## Necessary Checklists for Executive Leadership Contingency Planning

When a vacancy occurs for any reason in a key leadership position, a checklist of information should be available to enable continued service without interruption. The location of documents, the status of current contracts, understanding promises that have been made and having quick access to vendors with vital information are all essential resources for moving forward.

The following pages are meant to align your organization and its leadership prepare for planned or unplanned executive transition whenever it may occur. Third Sector Company highly recommends that the organization complete and review the Organizational Information Inventory annually and provide copies to the Chairman of the Board, Executive Director, legal counsel, and other senior managers and corporate officers as appropriate.

This document should be completed in tandem with the annual operating budget. When you secure an Interim Executive Director through Third Sector Company, you want the professional to “hit the ground running.” It is only when a leadership team is working from the same body of vital information that a collective wisdom can be cultivated quickly about the short-term strategic direction of the organization.

**Once the Inventory is completed, the information contained in this document is confidential.**  
**Distribution of the completed Inventory should be carefully considered to make sure only**  
**the most appropriate leaders are aware of the current status of the organization.**

At Third Sector Company, our founding principle has been to help nonprofit organizations find higher ground during times of transition. We hope this Organizational Information Inventory proves to be a useful tool for helping you and your organization to achieve that objective each year.

***Third Sector Company gratefully acknowledges the contributions of The Center for Nonprofit Advancement in Washington, DC for providing a significant portion of the content of this document for your use.***  
***The Support Center for Nonprofit Management in New York City and CompassPoint Nonprofit Services in Oakland, California also have contributing to this document.***

We appreciate having the opportunity to support you and your important mission of community service.

**JEFFREY R. WILCOX, CFRE**  
**Senior Managing Partner and Chief Mission Advancement Officer**

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# THE NONPROFIT ORGANIZATIONAL INFORMATION INVENTORY

**Knowing where your organization's key information is located is critical** so that if an emergency succession should occur, your organization will be able to quickly work in the most efficient and effective ways.

The Information Inventory is divided into sections that will let the Board of Directors, the Executive Director and other members of the senior executive staff know how to quickly:

- **ACCESS DOCUMENTS** that are fundamental to the management and operation of a nonprofit organization
- **CONTACT VENDORS** who provide services and counsel to the organization including auditors, attorneys, payroll services, insurance companies and facilities maintenance
- **REVIEW CONTRACTS** which present legal obligations of the organization to provide service or operate in a specific fashion
- **CONTACT MAJOR DONORS** who represent significant sources of charitable contributions

Our experience in interim executive management has proven that vital information needs to be gathered and accessible in the following key areas of operations for review at all times:

- **FINANCES AND PAYROLL**
- **BANKING**
- **INSURANCE**
- **LEGAL**
- **HUMAN RESOURCES**
- **FACILITIES**
- **SERVICE CONTRACTS**
- **FUNDRAISING**

*The Inventory should be completed and reviewed annually to make sure that during unplanned or planned transitions, organizational leadership has direct access to vital information necessary for making strategic leadership decisions. A copy of the Information Inventory should be attached to the organization's annual succession planning policy and be part of the annual budget approval process.*

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Step #1:

## VITAL INFORMATION INVENTORY

Do you know where your most valuable documents are located?

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### Nonprofit Status

	Onsite Location	Offsite Location	Online URL
Charity Determination Letter	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Bylaws	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Mission Statement	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Board Minutes	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Corporate Seal	<input type="checkbox"/> _____		

### Financial Information

Government Employer/Business Number #: \_\_\_\_\_

Current and Previous Tax Returns	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
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Current and Previous Audited Financial Statements	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Financial Statements (if not part of the computer system and regularly backed-up)	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Blank Checks	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Computer Passwords	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Donor Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Client Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Vendor Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Volunteer Records*	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

*\*Note: Nonprofits that are heavily volunteer-based may need to know the following information about their volunteers: who they are, how to contact them (home/work phone, email, cell, etc.), where they live/work, expertise, special skills, or information related to their usefulness or willingness to help the agency (for example, Jane Doe can walk to our satellite office, lift heavy boxes and knows CPR).*

## Auditor

Name: \_\_\_\_\_

Phone Number/Email: \_\_\_\_\_

Additional Vital Information About Auditor or Audit: \_\_\_\_\_

Most Recent Management Letter Reviewed: \_\_\_\_\_

## Step #2:

### KEY CONTACT INFORMATION

*Do you know where your funds are held and by whom?*

## Banking Information

Name(s): \_\_\_\_\_

Account and Account Number: \_\_\_\_\_

Account and Account Number: \_\_\_\_\_

Branch Representative(s): \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email: \_\_\_\_\_

Name(s): \_\_\_\_\_

Account and Account Number: \_\_\_\_\_

Account and Account Number: \_\_\_\_\_

Branch Representative(s): \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email: \_\_\_\_\_

Who are the authorized check signers this year for these accounts?

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### Investments Information

Financial Planner / Broker Company: \_\_\_\_\_

Representative Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email: \_\_\_\_\_

Who is authorized to make transfers? \_\_\_\_\_

\_\_\_\_\_

### Document Security

Is there an office safe? Who has the combination/keys?

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**Step #3:**

### LEGAL INFORMATION

*Do you know your current legal standing and your counselor?*

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*Attorney*

Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

E-mail: \_\_\_\_\_

Most Recent Consultation With Legal Counsel: \_\_\_\_\_

Reason for Consultation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Pending Litigation, If Any: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Additional Vital Information About Legal Counsel: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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Step #4:

**HUMAN RESOURCES**

Do you know your current personnel and payroll information?

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**Personnel Information**

	<b>Onsite Location</b>	<b>Offsite Location</b>	<b>Online URL</b>
Employee Records/ Personnel Info*	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

*\*Names, home addresses, phone numbers, email, emergency contacts, etc.*

Additional Vital Information About Personnel: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Payroll Information**

Company Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

Payroll Rep: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email: \_\_\_\_\_

Additional Vital Information About Payroll: \_\_\_\_\_

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Step #5:

**FACILITIES**

Do you know your current facilities management information?

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	<b>Onsite Location</b>	<b>Offsite Location</b>
Office Lease (for renters)	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Building Deed (for owners)	<input type="checkbox"/> _____	<input type="checkbox"/> _____

***Building Management***

Company Name: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Phone Number/Email: \_\_\_\_\_

***Office Security System***

Company Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Other Vital Information Regarding Facilities: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Building Security Passcode:** \_\_\_\_\_

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Step #6:

**CONTRACTS**

Do you know your current contract obligations?

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**Current Top Five Contracts of the Organization and the Total Contract Amount:**

Contract 1: \_\_\_\_\_

Status: \_\_\_\_\_

Contact: \_\_\_\_\_

Contract 2: \_\_\_\_\_

Status: \_\_\_\_\_

Contact: \_\_\_\_\_

Contract 3: \_\_\_\_\_

Status: \_\_\_\_\_

Contact: \_\_\_\_\_

Contract 4: \_\_\_\_\_

Status: \_\_\_\_\_

Contact: \_\_\_\_\_

Contract 5: \_\_\_\_\_

Status: \_\_\_\_\_

Contact: \_\_\_\_\_

Contracting Supervisor: \_\_\_\_\_

**Current Pending Contracts for Follow-Up:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Additional Vital Information About Contracts:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

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Step #7:

**INSURANCE**

*Do you know your current insurance coverage and have adequate protection?*

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***General Liability / Commercial Umbrella***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Directors & Officers Liability***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Health Insurance***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Unemployment Insurance***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Workers' Compensation***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Long Term Care***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Disability Insurance (short-term)***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Disability Insurance (long-term)***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Life Insurance***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Dental***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_

***Retirement Plan***

Company/Underwriter: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Representative Phone Number/Email: \_\_\_\_\_

Broker Phone Number/Email: \_\_\_\_\_



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Step #8:

**FUNDRAISING**

Do you know the status of your largest charitable gifts?

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Current Top Five Charitable Contributors to the Organization

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Necessary Follow-Up Required With These Contributors

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Current Pending Funding Requests for Follow-Up

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Recently Initiated Funding Requests for Follow-Up

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Additional Vital Fundraising Information

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Step #9:  
**AUTHORIZATION AND APPROVALS**  
Is the information current and correct?

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**Date of Completion of Information Inventory:** \_\_\_\_\_

**Name of Person Completing Document:** \_\_\_\_\_

**Title of Person Completing Document:** \_\_\_\_\_

*Signature of Person Completing Document:*

\_\_\_\_\_

### Signatures of Approval

\_\_\_\_\_  
*Chairman of the Board*

\_\_\_\_\_  
*Executive Director*

- Distribute a copy of the completed inventory to appropriate board members and senior staff who have been determined to be appropriate keepers of vital organizational information.
  - Attach a copy of the inventory to your current operating budget and succession plan.
  - Provide an approved copy to your Interim or Acting Executive Director as soon as an agreement has been reached formalizing that person's role.
  - Review and update this document annually as an essential component of the organization's budgeting process.
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***The Third Sector Company, Inc. is dedicated to fostering a continuity of professional and voluntary leadership for the nonprofit sector through succession planning training and consultation, interim executive management, executive retention support, executive performance planning and review, search committee training and support, and next generation board and executive leadership training.***

*Southern California – (562) 484-8281  
Pacific Northwest – (206) 799-1942*