

BUILDING HIGHLY EFFECTIVE ORGANIZATIONS

**SELF-ASSESSMENT
TOOL FOR NONPROFIT
ORGANIZATIONS**

**Developed by
Social Entrepreneurs, Inc.**

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Instructions

Introduction

This tool is designed for nonprofit community service providers to use in performing a thorough self-assessment of their organization. It is based on many years of research and experience by Social Entrepreneurs, Inc. (SEI) in organizational development, embodying best practices from the public, non-profit, and for-profit sectors. The elements are adapted from SEI's Organizational Assessment consulting service.

This self-assessment tool is intended to give organizations a practical way to evaluate the extent to which they have the attributes of high performance organizations. The benefits of doing a self-assessment include:

- Evaluate the current functioning of the organization against an objective standard to see “where we are at”;
- Stimulate ideas about where improvements can be made to the organization; and
- Provide a basis for prioritizing and acting on those improvement opportunities.

Structure of the Questionnaire

The self-assessment questionnaire is divided into six categories, each depicting a major functional capability of organizations: Governance, Services, Human Resources, Finance, Management/Operations, and Physical Plant. Each category contains a set of *attributes* that show the specific resources and actions that organizations should consider in order to achieve the best possible results.

Instructions for Completing the Self-Assessment

For every attribute contained in the questionnaire, check one of the three boxes provided to indicate whether your organization has the indicated resource or practice in place. The three response options are:

- | | |
|---------|--|
| Yes | The organization consistently (more than 75% of the time) has the resources or performs the activities described in the attribute definition. |
| Partial | The organization <u>either</u> (a) has some of the resources or practices in place but is missing other elements described in the attribute definition, or (b) has the resources or practices in place but on a less consistent basis (more than 25% but less than 75% of the time). |
| No | The organization rarely (less than 25% of the time) or never has the resources or practices described in the attribute definition. |

Enter “NA” if the attribute is not applicable to your organization. Use the Notes area to write down additional information that will help you use the questionnaire as a management tool. For example, if a Partial rating is given to an attribute, use the Notes area to indicate what portion of the attribute is being met or not met.

GOVERNANCE

This category addresses the structure and functioning of the Board of Directors or other such body that is responsible for the overall governance of the organization.

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
<u>Mission, Vision and Values</u>				
1. <i>Existence and relevance.</i> The mission, long-range vision and core values or guiding principles of the organization are clearly defined and understood by all Board members and staff. The mission, vision and values are relevant to the organization's current situation.				
2. <i>Alignment.</i> The Board utilizes the organization's mission, vision and values as a framework for planning and decision making.				
<u>Organizational Leadership</u>				
3. <i>Strategic thinking.</i> The Board regularly poses strategic questions and identifies and explores alternative courses of action in order to enhance the organization's services, finances and/or position within the community.				
4. <i>Accountability.</i> Objective standards and criteria have been established for assessing the performance of the Board itself and the organization as a whole. The Board lives up to its defined standards of performance.				
5. <i>Decision making.</i> The Board understands its role in decision making, has an effective process for making decisions, and makes timely and clear decisions when needed within those boundaries.				
6. <i>Public image.</i> Board members are champions for the organization within the community and are effective in promoting a positive public image for the organization.				
<u>Planning</u>				
7. <i>Strategic plan development.</i> A current, comprehensive, well-defined long-range plan or "strategic plan" is present that specifies the organization's intended positioning in the community, long-range (3-5 year or longer) goals, and specific and actionable strategies for achieving those goals. The Board periodically reviews and revises the strategic plan.				

GOVERNANCE

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
8. <i>Strategic plan alignment.</i> The Board has communicated the plan with staff, and uses the plan to set annual operating goals and to make decisions about priorities.				
9. <i>Operational planning.</i> The Board and staff jointly define annual operating goals and priorities based on the strategic plan. Progress toward goals is monitored by the Board.				
<u>Board Membership</u>				
10. <i>Composition.</i> The size of the Board and mix of experience and skills within the Board are appropriate for meeting the needs of the organization. The Board is appropriately diverse in regard to gender, ethnicity, cultural background and other key characteristics.				
11. <i>Recruitment.</i> New members are identified and recruited to fill vacancies on the Board in a timely manner. New members bring talents that complement the existing Board.				
12. <i>Orientation and training.</i> A structured and effective process is used to orient new Board members to the organization. On-going training is provided to Board members to enhance their effectiveness.				
13. <i>Passion.</i> The Board is made up of people who are passionate about the work of the organization.				
<u>Board Protocols</u>				
14. <i>Bylaws.</i> Written bylaws exist to guide the functioning of the Board. The bylaws are followed consistently.				
15. <i>Board manual.</i> A written manual is provided to each Board member describing the duties of Board members, the functioning of the Board, and other relevant information about the organization.				
16. <i>Meeting guidelines.</i> Ground rules for meetings have been established to allow meetings to be conducted efficiently while allowing all Board members an opportunity to participate.				
<u>Board Functioning</u>				
17. <i>Participation.</i> Board members participate actively in board and committee activities. A quorum is present for all scheduled Board meetings.				

GOVERNANCE

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
18. <i>Meeting effectiveness.</i> Meetings focus on issues of importance that are appropriate for the Board to address. Meetings have a set agenda, and the items on the agenda are completed in an efficient and effective manner.				
19. <i>Officer effectiveness.</i> The Chair and other officers understand their duties and carry out those duties in a responsible and professional manner.				
20. <i>Committee effectiveness.</i> Committees have been established to a degree that is appropriate for the needs of the organization. Each committee has a defined set of duties and a chairperson. Committees are diligent in carrying out their prescribed duties.				
21. <i>Contributions to organizational success.</i> Board members give contributions of time, money, and/or other resources that are sufficient to make a meaningful difference in the success of the organization.				
22. <i>Fiduciary responsibilities.</i> The Board consistently asks for, receives, reviews, and uses information about the financial position, programs and services, and other major activities of the organization in order to exercise appropriate fiduciary oversight.				
23. <i>Integrity.</i> Board members demonstrate uncompromising personal ethics.				
24. <i>Documentation.</i> Detailed minutes are kept of all Board meetings. Minutes include those in attendance, all issues discussed, reports received, and decisions made.				
<u>Staff Relations</u>				
25. <i>Board-staff roles.</i> The roles of the Board versus staff, and the distinctions between Board and staff roles, are clearly defined. Board members respect the division of duties and do not attempt to fulfill staff roles. The Chief Executive and other staff also respect the division of duties and do not attempt to fulfill Board roles.				
26. <i>Recruitment of Chief Executive.</i> The Board conducts thorough recruiting processes when needed to select a qualified, effective person to serve as the Chief Executive.				

GOVERNANCE

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
27. <i>Supervision of Chief Executive.</i> The Board clearly defines and communicates its expectations of the Chief Executive, sets performance objectives for the Chief Executive at least once a year, and formally evaluates whether objectives have been met.				
28. <i>Support of Chief Executive.</i> The Board provides regular feedback to the Chief Executive and otherwise supports the Chief Executive in carrying out his/her duties.				
29. <i>Relationship with other staff.</i> Board members have a positive and supportive relationship with other staff members aside from the Chief Executive. Relationships are based on mutual respect and trust.				

SERVICES

This category covers all direct client services and other programs and services offered to fulfill the community/human service mission of the organization. The attributes listed here are necessarily broad to apply to a wide range of organizations, and are not intended to be a complete set of service delivery characteristics for all types of community service providers.

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
Service Design				
1. <i>Populations and needs addressed.</i> The target populations to receive services and the needs and interests of those populations that are to be addressed by the services have been clearly defined and are understood by all personnel involved in service delivery.				
2. <i>Theory of change.</i> The organization has defined what outcomes or results are intended from the services and how the services, as they are designed, are expected to produce the intended outcomes.				
3. <i>Best practices.</i> Review of new research, best practices from other organizations and analysis by service staff and partners are regularly used to identify and implement ways to improve service delivery.				
4. <i>Coordination through design.</i> Services were designed to work synergistically, and not unnecessarily duplicate, services available from other organizations that address needs of the same target populations.				
5. <i>Alignment.</i> The services and methods, scope and operations used to provide those services are compatible with the mission, vision, goals and core values of the organization.				
Service Capabilities				
6. <i>Standards of practice.</i> All operations and services provided meet professionally recognized standards of practice within the field, comply with all applicable laws and regulations and comply with provisions of contracts or agreements with funding sources.				
7. <i>Staff qualifications.</i> The staff delivering services is qualified and holds all required degrees, certifications, and licenses to provide the defined services.				

SERVICES

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
8. <i>Training.</i> Staff receives regular continuing education to stay abreast of best and promising practices within their fields.				
9. <i>Accreditation.</i> All services are licensed or certified in accordance with state and/or federal requirements, as applicable.				
10. <i>Diversity.</i> The organization has protocols and staff with the ability to address the cultural, linguistic, and other needs of diverse populations present in the service delivery area (including service to persons with disabilities and other special needs).				
<u>Service Operations</u>				
11. <i>Policies and procedures.</i> Written policies and procedures exist that fully describe how services are to be delivered. All personnel involved in client service activities, including volunteers, have a copy of the policies and procedures.				
12. <i>Public awareness.</i> Effective on-going methods are used for each of the target populations to find potential clients and make them aware of the services. People seeking information about the services are able to receive accurate and timely information in a courteous manner.				
13. <i>Barriers to access.</i> Common factors that may prevent potential clients from accessing the services have been identified, and effective approaches have been developed and implemented to minimize those barriers.				
14. <i>Eligibility/admission.</i> Clients are admitted or denied for services based on clearly articulated criteria.				
15. <i>Confidentiality standards.</i> Written guidelines exist protecting the confidentiality of clients (identity, services received, and other data). The guidelines are adequate, appropriate, and effectively communicated to all personnel.				
16. <i>Scheduling.</i> The organization ensures that individuals and agencies can request and receive services in a timely manner.				
17. <i>Continued service.</i> Clients are regularly assessed to ensure that they meet clearly defined continuing service criteria and are eligible to continue receiving services.				

SERVICES

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
18. <i>Discharge.</i> Clients are discharged from receiving additional services in an appropriate manner when they meet clearly defined discharge criteria.				
19. <i>Coordination of services.</i> Clients are referred to other community services as needed, and the organization works closely with other agencies to ensure that the complete service needs of each client are being addressed.				
20. <i>Respect for clients.</i> The organization ensures that individuals and agencies receive services in a courteous, respectful and appropriate manner.				
21. <i>Case review.</i> A process exists and is followed for periodic review of client records for compliance with service guidelines and to make internal service delivery adjustments.				
22. <i>Trends.</i> Sources of referrals, service delivery levels, client success rates, and other relevant data are tracked each month and analyzed over time to understand service patterns.				
23. <i>Client satisfaction.</i> A systematic approach exists to evaluating client satisfaction with the quality of services and how the services were delivered.				
24. <i>Program design enhancements.</i> Program designs are altered when appropriate to reflect new learning in the field of service and/or learning from internal analysis (such as case reviews and client satisfaction results).				
<u>Documentation</u>				
25. <i>Data collection.</i> The organization collects data on services rendered and client outcomes achieved in a manner that allows client data to be efficiently aggregated and analyzed for management purposes.				
26. <i>Client records.</i> Written guidelines exist regarding the type of documentation to be prepared for each type of client service and filing/maintenance of client records. Complete records are maintained for each client that conform to the guidelines.				
27. <i>Grant reporting.</i> Documentation collected for services meets the requirements established by all funding sources for those services.				

HUMAN RESOURCES

This category covers all aspects of personnel management and human resource practices such as personnel policies and procedures, recruiting, education and training, employee performance evaluations, and other aspects of personnel guidance.

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
<u>Organizational Design</u>				
1. <i>Organization chart.</i> An organization chart exists that accurately depicts the current structure of the organization, including (a) board, paid staff, contractors, and volunteers; and (b) lines of authority and reporting relationships.				
2. <i>Job descriptions.</i> Written job descriptions exist for all positions on the organization chart. Job descriptions define responsibilities, knowledge and skill requirements, and performance evaluation criteria for each position.				
3. <i>Staffing levels.</i> There are a sufficient number and mix of staff positions to provide services in a quality manner while meeting the other attributes of effective organizations contained in this self-assessment.				
4. <i>Alignment of organizational design.</i> Organization structures are consistent with the mission, vision, values, goals, and strategies of the organization.				
<u>Human Resource Protocols</u>				
5. <i>Personnel policies and procedures.</i> The organization has a written human resources (personnel) manual that is regularly reviewed and revised to accurately reflect the organization's human resources practices. The manual addresses conditions of employment, compliance with labor laws, employee benefit plans, absenteeism and leaves, record keeping requirements, performance evaluation processes, and ethics policies.				
6. <i>Volunteer policies.</i> If volunteers are used, policies and procedures exist regarding limits to volunteer duties along with recruitment, background checking, training, and evaluation of volunteers.				

HUMAN RESOURCES

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
7. <i>Independent contractors.</i> Policies exist on the use of independent contractors. Contracts exist for independent contractors to define conditions of work and to provide accountability for performance. Policies ensure that independent contractors are not actually employees according to IRS rules.				
8. <i>Communication of policies.</i> All employees have received the written policies, have been trained on the policies, and indicate that they understand and can follow the policies.				
9. <i>Personnel records.</i> Current and complete personnel records are maintained for all paid staff.				
Recruiting and Orientation				
10. <i>Staff planning.</i> The organization regularly evaluates future staffing needs and identifies current or projected gaps in staffing that need to be addressed through recruiting and/or professional development efforts.				
11. <i>Recruiting efficiency.</i> A consistent process is used for recruiting that allows rapid placement of qualified persons into available job openings in a timely manner; job openings do not go unfilled for extended periods of time.				
12. <i>Candidate screening and evaluation.</i> Interviews, testing, background and/or reference checks, verification of education, and other activities are conducted to ensure that candidates meet all position requirements and that the best candidate is chosen.				
13. <i>Legal compliance.</i> Recruiting activities are conducted in a manner that ensures compliance with state and federal laws, such as non-discrimination laws.				
14. <i>New employee orientation.</i> A structured approach exists to orienting new employees to the organization and their job functions. New employees are oriented in a timely manner after starting work.				
Staff Development				
15. <i>Professional development plans.</i> Professional development goals and strategies are defined for each employee and are documented for future reference.				

HUMAN RESOURCES

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
16. <i>Education and training.</i> Sufficient time and resources are invested in ongoing education and training to allow employees to acquire and maintain job proficiency and credentials.				
17. <i>Cross-training.</i> The organization ensures that personnel are cross-trained to perform a variety of duties and roles, sufficient to ensure smooth operation of the organization when confronted with change.				
18. <i>Volunteer development.</i> Training and on-going support are provided to volunteers at a level sufficient to enable them to fulfill their duties.				
<u>Performance Evaluation</u>				
19. <i>Accountability mechanisms.</i> Objective performance criteria are established for each position. People understand the performance criteria and how their performance will be evaluated at the start of each evaluation period.				
20. <i>Regular feedback.</i> Consistent feedback, covering both areas of excellence and areas for improvement, is given on an on-going basis in formal and informal settings to help employees understand how well they are performing and how they can continue to improve performance.				
21. <i>Written performance evaluations.</i> A structured, written performance evaluation process is conducted with all employees at least once a year. Evaluations are discussed with employees.				
22. <i>Effectiveness of evaluations.</i> Action plans are prepared and implemented to link evaluation results to professional development efforts. The performance evaluation process is positively viewed by staff and is beneficial to the functioning of the organization.				
<u>Leadership</u>				
23. <i>Leadership attributes.</i> Outstanding leadership of the organization is evidenced through leaders who are committed to the mission of the organization, uphold its values, support others in the organization, accept responsibility and personal accountability, serve as positive role models, and are able to flexibly adapt to changing organizational needs.				

HUMAN RESOURCES

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
24. <i>Change agents.</i> The organization fosters a culture of change, where the ability to continually change is highly valued rather than being a source of fear and frustration. People are encouraged to challenge processes and systems in order to continually improve them.				
25. <i>Distributed leadership.</i> Persons exhibiting positive leadership attributes are found throughout the organization, not just within top management.				
Other Human Resources Practices				
26. <i>Compensation and incentives.</i> Pay ranges have been set for each staff position that are competitive with compensation available from other organizations competing for similar talent. Monetary compensation and other incentives are sufficient to attract, retain, and help motivate staff members.				
27. <i>Staff diversity.</i> Diversity of ethnicity, cultural background, age, gender and other factors is actively sought for the staff. Diversity is embraced as a positive.				
28. <i>Decision making.</i> People understand the boundaries of their decision making authority and are allowed to act within the confines of their authority without fear of retribution.				
29. <i>Promotions.</i> Promotions of staff to more senior positions are based on skills and performance, and are not based on seniority or internal politics.				
30. <i>Time keeping.</i> Accurate and up-to-date records are maintained on hours worked by non-exempt employees, and on all employees regarding the amount of vacation time, sick time, and other paid time off that has been earned and taken by each person.				
31. <i>Benefits administration.</i> The organization tracks eligibility and enrollment in all employee benefit plans, and administers plans to ensure coverage for all enrolled staff.				
32. <i>Alignment of human resource practices.</i> Incentive and reward systems, decision making, and other human resource practices are consistent with the mission, vision, values, goals, and strategies of the organization.				

FINANCE

This category covers all aspects of financial management including accounting, internal controls, budgeting and other forms of financial planning, financial reporting, and other fiscal administration activities.

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
Accounting Practices				
1. <i>Policies and procedures.</i> Finance and accounting practices are documented in a policy and procedure manual or comparable form. Policies and procedures are followed consistently.				
2. <i>Generally accepted accounting principles.</i> Accounting is performed in accordance with generally accepted accounting principles. All pronouncements of the appropriate accounting governing body are adhered to.				
3. <i>Chart of accounts.</i> The general ledger chart of accounts is sufficiently detailed to support accurate accounting, budgeting, cost allocations, fund administration, and other such financial management practices.				
4. <i>Timeliness of accounting.</i> Books are closed in a timely manner following the end of each month, e.g. by the 15th of each month, and at year end.				
5. <i>Account reconciliations.</i> All general ledger accounts are reconciled at least quarterly and balanced to supporting ledgers (e.g. accounts receivable ledger, fixed assets ledger, and so on).				
6. <i>Accounts receivable.</i> For organizations that bill for services or have other contractual arrangements (besides grants) for the collection of revenues, an effective accounts receivable (A/R) function is maintained, as evidenced by (a) invoices are issued on a timely basis after services are rendered or when contracts allow for invoicing; (b) a complete A/R ledger is maintained that shows all amounts due; and (c) active efforts are made to collect amounts due in a timely manner.				

FINANCE

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
7. Purchasing. An effective function exists for controlling purchases of outside goods and services, as evidenced by: (a) prices or bids are obtained from multiple sources on larger expenditures, seeking the best price and terms on purchases; (b) purchases must be approved by authorized persons before purchases are made; and (c) tracking occurs to ensure that purchases are made and received according to the approved terms.				
8. Accounts payable. A complete accounts payable ledger is maintained that shows liabilities to be paid in the future, when each one is due, and whether it has been paid. Payments are made according to the terms established by or agreed to with the vendor. Late payment penalties are not incurred. Mechanisms exist to ensure that payment is not made twice for the same item.				
9. Payroll processing. The accounting function performs necessary record keeping related to payroll and personnel. Paychecks are issued to all employees on time and are accurate. Employee payroll taxes are properly withheld from paychecks. Employee and employer payroll tax deposits are made in an accurate and timely manner.				
10. Accounting systems. The organization uses computerized systems for its general ledger and other accounting work. For nonprofit organizations and governmental agencies, the accounting system is specifically designed to handle fund accounting.				
Internal Controls				
11. Separation of duties. No financial transactions are handled by only one person from beginning to end. Persons who perform billing / accounts receivable duties do not perform cash receipts functions. Persons who handle cash receipts do not either (a) prepare or sign checks or (b) reconcile bank accounts, and vice versa (persons with cash disbursement duties do not handle cash receipts). Persons who perform payroll functions do not sign paychecks.				

FINANCE

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
12. <i>Authorized check signers.</i> A policy exists regarding authorized check signers for each bank account, with check signing limited to a minimum practical number of people. Multiple signatures are required for checks above a specified dollar amount.				
13. <i>Disbursement approvals.</i> Policies are defined and followed regarding who can approve new expenditures. Check signers review documentation showing that expenditures are valid and authorized before signing checks.				
14. <i>Bank reconciliations.</i> All bank accounts are reconciled monthly.				
15. <i>Check management.</i> Accounting policies specifically prohibit writing checks that are payable to Cash. Cancelled and voided checks are retained and filed in check number order. Voided checks are appropriately mutilated.				
16. <i>Fixed assets.</i> A fixed assets ledger is maintained showing all capital assets owned by the organization. Inventories of fixed assets are taken periodically to account for the location and condition of all such assets.				
<u>Budgeting</u>				
17. <i>Budget development.</i> The organization develops an annual operating budget that is appropriately detailed, e.g. by program and/or department and by month, to allow it to be used as a management tool for planning expenditures and as means to assess compliance with the budget.				
18. <i>Budget timeliness.</i> Budget is completed prior to the start of each fiscal year.				
19. <i>Budget approval.</i> Budget is formally presented to and approved by the board and executive management.				
<u>Financial Reporting</u>				
20. <i>Financial statements.</i> Three standard financial statements are prepared each month: Statement of Financial Position (Balance Sheet), Statement of Activities (Income and Expenses), and Statement of Cash Flows.				
21. <i>Timeliness of reports.</i> Reports are produced according to an established schedule, and are distributed on time per the schedule.				

FINANCE

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
22. Budget-to-actual reports. Reports compare actual income, expenses, and cash flows against projected amounts per the budget. Budget comparisons are at the same level of detail as the budget itself (by department and/or program) in addition to reports showing the organization as a whole.				
23. Usability. Reports are accurate, and formatted in a way to make them readable and useful for management purposes.				
24. Distribution. Financial reports are provided to all managers with responsibility over program or departmental budget control. The board is also regularly given meaningful information on financial condition and performance.				
Income and Cost Management				
25. Income generation plan. An in-depth income generation plan has been developed, is kept up to date, and is followed. Revenue production goals set in the plan are met.				
26. Diversification of funding sources. The organization obtains significant income from multiple funding sources and is not highly dependent on any single source.				
27. Control over income. Earned income strategies, endowments or other means are used to increase the amount of direct control exerted over future revenues instead of being significantly dependent on outside sources.				
28. Board involvement. The board is actively involved in fund raising efforts and/or is willing to make personal financial contributions.				
29. Grant writing. Grant proposals are thorough, well written, adhere to the requirements of funding sources, and address the priorities of each funding source. A high percentage of grant proposals are funded, at least in part.				
30. Cost management. Expenses are periodically analyzed to develop and implement new strategies to reduce and control costs. The staff is committed to incurring costs only when it is believed the expenditure is needed or is clearly beneficial to the organization and those it serves.				

FINANCE

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
<u>Other Fiscal Management Practices</u>				
31. <i>Grant administration.</i> Funds received from each grant and expended against each grant are tracked separately so that a complete audit trail and accountability exists for each grant. Funds are expended strictly according to the terms of each grant and are not spent on items prohibited by terms of the grant. Timely and accurate reports are submitted to funding sources as specified in the grant agreement.				
32. <i>Acknowledgement of contributions.</i> Reporting to donors meets federal and state requirements, such as acknowledgement and record of donations of \$250 or over per the Revenue Reconciliation Act of 1993.				
33. <i>Restricted funds.</i> Contributions made for a specific purpose or otherwise restricted are clearly identified and are not used for operations. Borrowing against restricted funds is done only with the approval of the board and with a repayment plan.				
34. <i>Regulatory compliance.</i> All required state and federal filings, including IRS Form 990 and FTB Form 199, are completed and filed in a timely and accurate manner.				
35. <i>Investment policy.</i> Organization has a written investment policy, approved by the board, defining what investments can be made with cash not required for current operations, restrictions on investments, and authority to make investment decisions.				
36. <i>Use of audits.</i> An independent audit of financial statements is conducted annually by a Certified Public Accountant (CPA). Management letters are received from every audit, are analyzed by the board and management, and are used to help guide improvements to the organization.				
37. <i>Training.</i> Training is made available to staff and Board members to keep abreast of changes to accounting standards, regulations, and best practices in financial management.				
38. <i>Cash flow.</i> Cash reserves exceeding three months of average operating expenses and/or lines of credit or other "safety net" sources of cash are available to cover cash requirements.				

MANAGEMENT/OPERATIONS

This category covers other types of non-program management and operational functions not covered in the previous categories. It includes marketing and public relations, quality improvement, legal support, ethics, and several other aspects of operational management.

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
Marketing and Public Relations				
1. <i>Marketing plan.</i> A comprehensive marketing or public communications plan has been developed that identifies target audiences to reach and communication strategies for each target audience aligned with their needs and expectations.				
2. <i>Key messages.</i> The organization has defined the key messages to be communicated to each target audience. All staff and Board members understand these key messages and use them as appropriate in performing their duties.				
3. <i>Public relations materials.</i> Brochures and other materials describing the organization, its services/activities and performance are well designed and used effectively to promote the organization.				
4. <i>Segmentation.</i> Materials and key messages for public communications are tailored for their intended audience, including cultural adaptations and language translations to reach diverse demographic groups and adaptations.				
5. <i>Adverse publicity.</i> Plans have been established for handling adverse publicity, with clearly defined roles that are understood by the Board and staff in responding to adverse events.				
Internal Operations				
6. <i>Operating goals.</i> Goals and priorities for internal operations are defined at least annually and are broken down into manageable projects and tasks, prioritized, and assigned to appropriate staff for action. Operating goals are consistently achieved.				
7. <i>Internal communications.</i> Employees receive regular and timely information about current events affecting the organization. Internal communication methods (meetings, emails, etc.) are effective in sharing information.				

MANAGEMENT/OPERATIONS

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
8. <i>Ethics.</i> The ethical practices of the organization are defined and articulated by the leadership of the organization. Ethical practices are followed in all organizational relationships and in the day-to-day operations				
<u>Performance Management</u>				
9. <i>Management commitment.</i> Management has demonstrated a visible commitment to measuring and improving the value provided by the organization (service quality, effectiveness, and efficiency). Management regularly emphasizes performance in meetings and other communications with staff.				
10. <i>Outcome definitions.</i> Clear and meaningful definitions exist that describe the specific outcomes that are sought or expected to be achieved by delivering client/community services.				
11. <i>Performance indicators.</i> Specific indicators of quality, efficiency, and effectiveness have been defined and communicated with staff.				
12. <i>Data collection and reporting infrastructure.</i> The internal tools, procedures, and systems have been established to collect accurate data to support all performance indicators, aggregate the data, and report the results in formats useful for management purposes. The tools and systems are used regularly.				
13. <i>Continuous improvement.</i> Performance information is used to guide improvements to services and internal operations.				
14. <i>Training.</i> Staff members, and volunteers as appropriate, are trained in performance improvement concepts and techniques.				
<u>Legal</u>				
15. <i>Legal counsel.</i> The organization has access to experienced, responsive legal counsel.				
16. <i>Regulatory filings.</i> All required documents have been filed with the Secretary of State and other state authorities including articles of incorporation and current board of directors, physical address and corporate name.				
17. <i>Licenses.</i> The organization has a current local business license and/or any other licenses required by local, state, and federal law.				

MANAGEMENT/OPERATIONS

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
<u>Technology</u>				
18. <i>Use of technology.</i> The organization uses innovative technology appropriately in daily operation, matching technological needs to available resources and providing additional resources to fill gaps.				
19. <i>Standards.</i> Standards have been set for hardware and software purchases to ensure compatibility throughout the organization. Standards on appropriate and inappropriate use of technology have been defined for staff.				
20. <i>System protection.</i> Policies and procedures related to data protection, protection against computer viruses, back up procedures and data management have been developed and are adhered to in daily operation. Current offsite backups of all computer data are maintained.				
<u>Collaboration, Community Involvement and Advocacy</u>				
21. <i>Resource sharing.</i> The organization pools its resources with other organizations to lower costs and leverage available resources by sharing staff, offices, equipment or other assets.				
22. <i>Agreements.</i> Agreements or other types of formal relationships have been established with other service provider organizations in the community to ensure the effective use of resources.				
23. <i>Community affairs.</i> The organization is visible in community forums and activities, especially those related to the organization's mission.				
24. <i>Community planning.</i> The organization is involved in community-based efforts to determine current and future community needs and helps develop a coordinated system of human services to meet those needs.				
25. <i>Advocacy.</i> The organization stays continually informed about proposed legislative, regulatory and public policy changes that may affect its services or operations. Action is taken, either as an individual organization or together with others, to advocate for public policies favorable to the organization and the people/communities it serves.				

PHYSICAL PLANT

This category addresses aspects of the property, plant, and equipment used by the organization along with important issues such as risk management and emergency planning.

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
Facilities				
1. <i>Site location(s)</i> . Locations where services are provided are accessible to clients or users of the services. Service delivery is enhanced, and not inhibited, by the location of sites.				
2. <i>Facility layout</i> . The total size and layout of each site is appropriate for the number of people using the facility. Work flow is supported by the layout, such as locating people who work together regularly near each other and providing sufficient meeting space.				
3. <i>ADA compliance</i> . Facilities meet all standards of the Americans with Disabilities Act (ADA), providing access to persons with disabilities.				
4. <i>Building maintenance</i> . Procedures and staff duties are in place to ensure the cleanliness and ongoing maintenance of all locations operated by the organization.				
Physical Work Environment				
5. <i>Work environment quality</i> . Lighting, heating/ventilation/air conditioning, noise control, and work space for individual employees (space size, desks, chairs, etc.) provide a comfortable and productive work space.				
6. <i>Postings</i> . All required state and federal notices related to labor laws, smoking policies workplace safety and workers compensation insurance claims are posted in each location in a place visible to employees.				
Equipment				
7. <i>Telecommunications</i> . The telephone system provides a sufficient number of phone lines and other features to meet the needs of the organization and the clients and/or communities that it serves.				
8. <i>Office equipment</i> . Access to general office equipment such as copiers and fax machines is sufficient for the needs of the staff. Equipment is kept in good working condition.				

PHYSICAL PLANT

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
Health and Safety				
9. <i>Injury & illness prevention program.</i> A written set of policies and procedures to protect the health and safety of employees and other users of the facility has been developed in compliance with applicable state and federal laws.				
10. <i>Site safety.</i> The organization has developed and implemented procedures designed to ensure the safety of clients, staff and visitors at facilities operated by the organization (fire safety, safety of walkways and stairs, and safety of other building constructs). Fire extinguishers are kept at each site and tested annually.				
11. <i>Disaster plan.</i> The organization has a written disaster plan that defines actions to take in the event of natural or man-made disasters (e.g. earthquake, fire, flood, avalanche, riots, terrorist acts, or other disasters). The plan includes an evacuation plan, safe meeting place, emergency contact notification, alternate food and lodging plan, communication protocols, and incident report and debriefing. All staff members have been oriented to the disaster plan and accompanying health and safety training information. A test of the disaster plan is conducted at least once a year.				
12. <i>Service continuity plan.</i> The organization has a plan to ensure the continuity of services to clients and/or the smooth transfer of clients to other service providers in the event of damage to physical facilities or other circumstances that prevent normal operations.				
13. <i>First aid.</i> An appropriate number of staff members are trained in first aid administration and emergency medical procedures, including CPR. A first aid kit is kept at each site, and periodically checked and stocked.				
14. <i>Worker safety in the community.</i> Procedures and physical controls are in place to protect the health and safety of employees working outside of the organization's own facilities.				
15. <i>Worker's compensation insurance.</i> Worker's Compensation Insurance claim forms are available on site. Claims are handled promptly in accordance with provisions of state law.				

PHYSICAL PLANT

Attribute	Rating			Notes
	Yes (> 75% of time)	Partial (25-75% of time)	No (< 25% of time)	
<u>Risk Management</u>				
16. <i>Insurance coverage.</i> The organization has each of the following insurance coverages: general liability, fire/theft/damage coverage for facilities and equipment, and Directors & Officers (errors & omissions) coverage. Policies are reviewed at least annually to ensure coverage limits and deductibles are appropriate.				
17. <i>Risk management review.</i> A periodic review is conducted to identify potential risks and liabilities that could have a material impact on the organization, then develop and implement plans to manage those risks.				