

Instructions

Please review the questions below and be prepared to discuss them with the evaluator during your site visit.

Governance

Mission and Vision

- 1) What is the mission of your organization? Does your organization have a written vision statement? If so, what is your vision statement?

Board of Directors

- 2) How many voting board members is your organization required to have? How many voting board members does your organization currently have? What is the average rate of board occupancy over the past three years?
- 3) Are there terms for board members? Term limits?
- 4) How are board members recruited? Screened? Trained?
- 5) Is your board's demographic composition reflective of the community and population served? How do you determine this?
- 6) Does your board provide direction, support and accountability to program goals? Please describe your board's role in goal setting and tracking.
- 7) How and what do you communicate regarding your organization's programming to your board of directors? Does your board have a standing program committee? If so, describe their role in program planning, delivery, and assessment.
- 8) How and what do you communicate regarding your organization's management to your board of directors?
- 9) Does any officer, director, trustee, or key employee have a family relationship or business relationship with any other officer, director, trustee, or key employee?

Policies and Practices

- 10) Does your organization have a written conflict of interest policy? Where is the policy published?
- 11) Does your organization have a written whistleblower policy? Where is the policy published?
- 12) Does your organization have a written business continuity plan?
- 13) Does your organization document the meetings held and track actions undertaken during the year by the board of directors and/or any designated committees?
- 14) Did the process for hiring your Executive Director or top management official include the following: Review and approval by independent persons? Comparability data? And verification of the deliberation and decision?
- 15) Does your organization conduct lobbying activities? If so, is this reported on your most recent IRS 990? Does your organization have written policies and procedures regarding lobbying activities?

Financial Management

Policies, Practices, and Procedures

- 1) Do you have written financial policies and procedures?
- 2) Please describe any finance accountability standards or practices in which you are required to or voluntarily participate.
- 3) Do you use accrual basis accounting?
- 4) Please describe the controls and processes you have in place to ensure accuracy for financial management.

Oversight

- 5) Who in your organization is responsible for the day to day fiscal management of your organization? Is their position dedicated to fiscal management? If so, what are the qualifications for the position?
- 6) Who is responsible for the development and oversight of budgets?
- 7) Does your board have a treasurer position? What is the role of the treasurer in the financial oversight of the organization? How often does the treasurer meet with staff? Which staff does the treasurer meet with? Describe the treasurer's interaction with your board regarding organizational finances.
- 8) Are financial reports and budgets prepared for the board of directors? Who prepares these reports? How and with what frequency are they shared with your board? Who presents this information to your board?
- 9) Is the qualified third party selected to review annual financial statements selected and overseen by an internal committee of the board?
- 10) Does your organization provide a complete copy of the Form 990 to all members of your board of directors before filing the form?

Liability Insurance

- 11) Does your organization carry the following types of liability insurance:
 - a. Workers' compensation, as required by MO guidelines
 - b. Business Auto Liability
 - c. Commercial/General Liability
 - d. Directors and Officers Liability (if org. has one or more employee)
 - e. Professional Liability (if org. has licensed program staff)
 - f. Other types of insurance?

Human Resources

Employment Policies and Practices

- 1) Does your organization have written personnel policies?
- 2) Does your organization have a written non-discrimination in employment policy? An affirmative action plan?

- 3) Is your workforce reflective of the demographic composition of the community and population served? How do you determine this?
- 4) Are federal and state labor laws clearly posted in your facilities?
- 5) Do you conduct criminal background checks on prospective employees? Abuse and Neglect (adult/child) checks? How often are these checks conducted on employees?

Staff Training and Development

- 6) Does your organization utilize a new employee orientation process?
- 7) Does your organization have a staff development plan?
- 8) Does your organization have a leadership development plan?
- 9) Does your organization have a succession plan?
- 10) Does your organization have positions for which employees are required to be licensed or certified? Please describe these requirements and your adherence to these requirements.

Volunteers

- 11) Does your organization utilize volunteers? If so, how are they recruited? Screened (references and background checks)? Trained? Utilized?

Information Management

Policies and Procedures

- 1) Does your organization have records retention policies and procedures? If so, does it include a records retention and destruction schedule?
- 2) How are funder requirements for records retention incorporated in records retention procedures?
- 3) Who is the records custodian for your organization? Is this person responsible for the oversight of records, including retention and destruction? If not, who is?

Program Data Management

- 4) Which of the following types of data does your organization collect?
 - a. Client program and participation data
 - b. Volunteer application and records
 - c. Personnel records
 - d. Financial records
 - e. Donor and contributor records
 - f. Mailing list
 - g. Workflow description
 - h. Inventory of hardware and software
 - i. Disaster readiness or recovery plan
- 5) Please describe the following components of your program data management including which staff is responsible for each:
 - a. Collection
 - b. Entry
 - c. Reporting

- 6) Who has access to your program data?
- 7) Is program data backed up? If so, how often? Who is responsible?
- 8) Please describe how you analyze and report data for your programs.
- 9) Please describe the systems you utilize to ensure the validity and reliability of the data you collect and report.
- 10) How long is program data retained? Is this done in accordance with the organization's records retention policy?

Confidentiality

- 11) Does your organization have confidentiality policies and procedures?
- 12) Do employees sign a confidentiality agreement when they are hired? Volunteers? Board members? How often are confidentiality statements renewed?
- 13) Do you provide regular trainings on confidentiality for employees? Volunteers?
- 14) Does your organization have individual passwords for each computer?
- 15) Does your organization use a privacy filter for individual monitors?
- 16) Does your organization have a back-up protocol for collected data?
- 17) Does your organization have and utilize paper shredders and secure recycling?
- 18) Are there any other steps that you take to ensure confidentiality? If yes, please explain.

Systems and Infrastructure

- 19) Please describe the technology systems you utilize, including: computers, networks, and accessibility. Please describe the ability of your current technology systems to meet your current and anticipated needs.
- 20) Do you face any challenges with your current system?
- 21) Do you have plans for data system upgrades or changes in the next 1-2 years?
- 22) Do you utilize off-site data storage? Is so, where and how?
- 23) Please identify the data management software you use, please identify any software developed for your organization and funder-provided data management software, if applicable.
- 24) Is your organization currently using a network computer system?
- 25) Do you have computers that are not networked?
- 26) Do you have a network administrator on staff?
- 27) Do you have a network back-up protocol?
- 28) Do you utilize any of the following?
 - a. Microsoft Office Suite
 - b. Commercial analytical software
- 29) Using the Scale on the right, how would you rate your systems for:
 - a. Data collection
 - b. Data management
 - c. Data reporting
 - d. Data storage

Scale 3 = High Level of Capacity 2 = Moderate Level of Capacity 1 = Low Level of Capacity
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Service Delivery

Program Services

- 1) Please give a brief overview of your organization and program(s) including your target population, strategies, and goals
- 2) What aspects of your programs seem to be most successful with participants? Why do you think this is the case? How do you determine what aspects of your programs are most successful?
- 3) What barriers to success have you encountered with your programs?

Infrastructure

- 4) Please describe your current infrastructure and its ability to meet your current and anticipated service delivery needs.
- 5) Using the scale on the right, how would you rate your organization's capacity in the following areas related to service delivery:
 - a. Office building and meeting space
 - b. Parking
 - c. Storage

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Policies, Practices and Procedures

- 6) Are your program services ADA compliant and accessible? How do you determine your ADA compliance and accessibility?
- 7) Does your organization have a written non-discrimination in public accommodation policy?
- 8) Describe the supervisory structure and oversight process for your services.
- 9) Are staffing ratios required for your program? If so, please describe the requirements, the source(s) of the requirements, and how your organization ensures it is compliant with these requirements.
- 10) Does your organization provide opportunities for participant feedback? If so, describe the system and how this information is utilized.
- 11) Who else does your organization solicit feedback from regarding service delivery and programming. How do you solicit the feedback and how is it utilized?
- 12) Does your organization have a customer grievance process? If so, describe the process.

Performance Management

- 1) Please describe the unit(s) of service you report on for your program(s).
- 2) Please discuss how you measure your outputs. Please describe your ability to meet or exceed your projected outputs.
- 3) Please describe how you measure your outcomes. Please describe your ability to meet or exceed your projected outcomes.
- 4) Please describe the barriers or challenges you have experienced with performance measurement.

- 5) Please describe how performance management is utilized in your organization.
- 6) Please identify three ways your organization utilizes performance measurement data to guide programming.
- 7) Are the performance measurements required by the City/County consistent with other funders you report to? Please describe any similarities and differences among other funders.
- 8) Please describe how information regarding performance is communicated to the board (including shortfalls or other issues).
- 9) Please describe how information regarding performance is communicated to the staff and volunteers.
- 10) Using the scale on the right, how would you rate your systems for:
 - a. Monitoring performance
 - b. Reporting performance
 - c. Utilizing performance for evaluation and planning

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Program-Based Budgeting

- 1) Please describe your procedures for developing your program budgets, including steps for review and approval.
- 2) Does the budget process cover projected:
 - a. Ongoing revenues and expenditures
 - b. Occasional or special revenues (grants) and expenditures (those incurred to carry out specific activities)
 - c. Capital expenditures
- 3) Are your annual program budgets directly tied to the organization's annual operational plans? How do you utilize program data, including performance measures, to help develop your program budgets?
- 4) How are board members utilized in the development of the program budgets?
- 5) What is the cost per unit of service for your program(s)?
- 6) How is the cost per unit of service determined when preparing your program budgets?
- 7) Who in your organization is responsible for the oversight of program budgets? Please describe your procedures for monitoring program budgets.
- 8) Using the scale on the right, how would you rate your internal systems for:
 - a. Developing program budgets
 - b. Assessing data to recognize trends
 - c. Working with staff to understand budgets
 - d. Working with board members to understand budgets
 - e. Accurately forecasting changes in the budget

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External Relationships

- 1) Please describe the organizations you collaborate with in the community.
- 2) Is your organization widely known in the community and perceived to be actively engaged and responsive?
- 3) How and what do you communicate about your organization's external relationships to your board of directors?