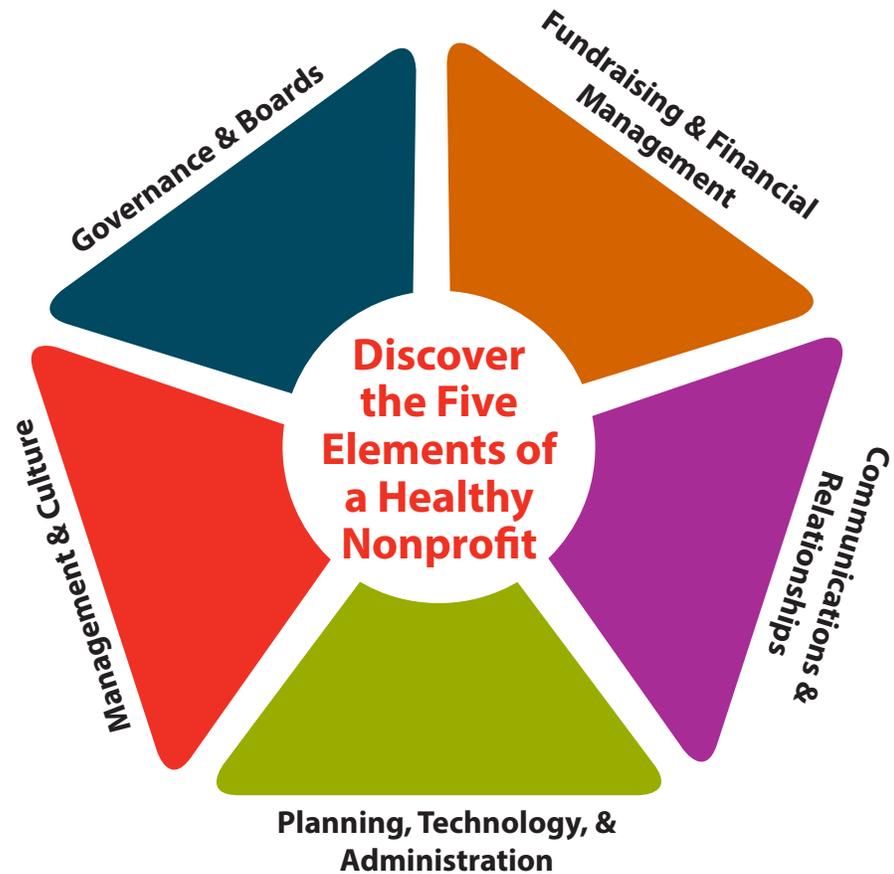




Five Elements Self-Assessment



Presented by





Introduction to the Self-Assessment

You have been invited by your organization to take part in 501 Commons' **Five Elements of a Healthy Nonprofit Self-Assessment**. Here is some background information.

About the Self-Assessment

This self-assessment is drawn from nonprofit research and 501 Commons' experience working with more than a thousand nonprofits. We call this the **Five Elements of a Healthy Nonprofit**. They are:

1. Governance & Boards
2. Fundraising & Financial Management
3. Communications & Relationships
4. Planning, Technology & Administration
5. Management & Culture

In this Self-Assessment, you will review 58 standards (10-15 for each element) and decide how your organization is doing. The Self-Assessment is designed as an educational tool since the standard describes the desired practice.

For each standard you will choose a score, from Level 1 (limited) to Level 4 (very developed), that reflects your perception of the performance of your organization. Knowing where you stand points the way for you to make your organization more effective and resilient.

How to approach the Self-Assessment

No assessment can capture the passion you have for your organization's mission, the leadership qualities found in your staff and board, or the trust those in the community place in your organization. This tool allows you to check to see if you have addressed the operational factors that help you manage risk, deploy your staff and volunteer resources effectively, and put your passion into action.

You have been selected to participate in this Self-Assessment because you have a strong working knowledge of the organization's operational systems. Most people will take about 45 minutes to complete the form. Honest, thoughtful answers will help you identify your priorities for improvement. There is no benefit to inflating your scores. Make your choice quickly without overthinking your response. And enjoy the experience!

Directions

1. Review each standard and choose a response, from Level 1 (limited) to Level 4 (very developed) that reflects your perception of the performance of your organization.
2. Be conservative: When you believe your organization is doing most of Level 2 and also some of Level 3, be conservative and mark Level 2.
3. If you do not feel you have enough information to answer, do not mark a response.



4. In the case where a standard does not apply to your organization, choose “Not applicable.” However, don’t be quick to assume that because a standard is unfamiliar, it does not apply. Even large organizations sometimes skip over important aspects of organizational effectiveness as they grow. If you are not doing something now, consider whether you should be doing it in the future.
5. Bring your completed form to the scheduled assessment team meeting.
6. In the assessment meeting:
 - Pause and refresh your understanding of the standard and your response.
 - Before any discussion, quickly write up your scores for each standard on a white board or paper.
 - Where there is a high level of agreement, quickly design on the appropriate response (Remember: Be conservative).
 - If you have a difference of two or more points stop and discuss the situation in detail to arrive at agreement on how to mark the [online assessment](#).
 - Note: Do not just average the scores – doing so will not give you useful information!

Thank you for your interest in the Self-Assessment. We hope it is very useful to you.



501 Commons, 2016.

This work is licensed under a Creative Commons Attribution-NonCommercial-NoDerivatives 4.0 International License <http://creativecommons.org/licenses/by-nc-nd/4.0/>

Element 1: Governance & Boards

Board Effectiveness

1.1 MISSION/VISION	
Note: Mission is the problem the organization is trying to solve; Vision is what the world would look like if the organization succeeded.	
<p>Does your organization have a mission/vision statement that is easily understood and recalled and that includes these three components:</p> <p>1) The problem your organization exists to solve, 2) What you do and who you serve, and 3) What results you are trying to achieve?</p> <p>AND</p> <p>Does the board regularly review the mission/vision statement and use it to guide decision-making?</p>	
1	We have a mission/vision statement but it does not include all three components. People inside or outside the organization cannot readily understand or recall it. We do not refer to the mission/vision when making strategic organizational decisions. The board last reviewed the mission over five years ago.
2	We have a mission/vision statement but it does not include all three components. Moreover, people inside or outside the organization either cannot understand it or readily recall it. Sometimes the board talks about the mission/vision when making strategic decisions. The board last reviewed the mission/vision three or four years ago.
3	We have a mission/vision statement that includes all three components. However, people inside or outside the organization either cannot understand it or readily recall it. Sometimes the board talks about the mission/vision when making strategic decisions. The board reviewed the mission within the last three years.
4	We have a mission/vision statement that includes all three components. People inside and outside the organization can understand and readily recall it. The board regularly refers to the mission/vision when making strategic decisions. The board reviewed the mission within the last two years.
5	Not applicable

1.2 BOARD ROLES AND RESPONSIBILITIES	
<p>Do board members develop written board processes and policies (including the bylaws) that they review periodically and follow closely?</p> <p>AND</p> <p>Do board members understand their roles and responsibilities?</p> <p>Has the organization agreed upon a process to resolve impasses in decision-making? Does the process define what events will trigger the process, who can invoke it and what steps to take?</p>	
1	The board processes and policies are not clearly defined and not written down. Our board members do not have a clear understanding of their roles and responsibilities. We have not identified formal steps that we can take if we cannot come to a decision on an important issue.
2	The board processes and policies are fairly well defined, but they are not all written down. Our board members have a general understanding of their roles and responsibilities. We have discussed what to do in cases where we cannot reach a decision but have not completely worked out either the events that would constitute an impasse or the steps to take.

3	The board processes and policies are clearly defined and written down, but these policies are not regularly reviewed or updated and sometimes we do not follow them closely. Our board members have a good understanding of their roles and responsibilities. We have begun work to draft a written policy for what to do in the case that we cannot make a decision, but it is incomplete.
4	The board processes and policies are written down, reviewed and updated regularly, and followed closely. Our board members clearly understand their role and responsibilities and incorporate their understanding in their actions on the board and in the community. There is a written policy defining what would constitute an impasse and who can invoke the process. A specific set of steps, such as getting an outside opinion or hiring an arbiter, is then set in action.
5	Not applicable

1.3 BOARD CHARACTERISTICS	
Do board members have the diverse characteristics, community connections, and experience needed by the organization?	
1	The board members are from very similar backgrounds, have limited relationships with the community we serve or with current and potential funders or donors and lack some of the experience the organization needs.
2	While we have some diversity in ethnic/racial makeup, most of the board members are from very similar backgrounds. They do not have all the experience the organization needs. Most have limited relationships with the community we serve or with current and potential funders or donors.
3	A majority of our board members have the characteristics, community connections and experience needed by the organization. We have some diversity in background, experience and in ethnic/racial makeup but not enough given the communities we serve or our current or potential donors.
4	Almost all of our board members have the characteristics, community connections and experience needed by the organization. The board makeup reflects the communities we serve and both our current and our potential donors.
5	Not applicable

1.4. STRATEGIC ISSUES AND ORGANIZATIONAL PERFORMANCE	
Note: A “consent agenda/calendar” consolidates routine matters into one item on the board agenda. The purpose is to allow board meeting time to be spent more efficiently.	
Does the board organize its work so that it can focus on strategic issues and on understanding organizational performance? For example, does the board review reports before meetings, use a consent agenda/calendar, and approve a strategic plan?	
1	The board meetings focus on hearing reports and on making management decisions about programs and finances.
2	Our board occasionally focuses on strategic issues and some elements of organizational performance, but often gets involved in management decisions. Our board does not use a consent agenda/calendar for routine items and typically does not review program and activity reports before the meeting.

3	Our board organizes its work so that it can regularly focus on strategic issues. A consent agenda/calendar is used to expedite routine items. Members of the board receive and review some program and activity reports before meetings. The board's understanding of the organization's performance is based primarily on these reports.
4	Our board focuses our meeting time on strategic issues and on understanding organizational performance. Our board minimizes time spent on routine items by using a consent agenda/calendar and regularly reviewing program and activities reports before meetings.
5	Not applicable

1.5 BOARD DEVELOPMENT	
Does the board have a committee that is actively engaged in board development, including ongoing board recruitment, board education and annual self-evaluation?	
1	The board does not have any committee or person dedicated to board development. We think about recruitment only when we need new board members.
2	The board occasionally spends time on aspects of board development, such as training or recruitment, but we do not evaluate the board's performance.
3	There are some formal systems or practices in place to focus on board development including recruitment, board education and/or board evaluation. However, we do not regularly pay attention to this area.
4	The board has a development committee that focuses on ongoing board recruitment, identifies and plans for board education, and assures an annual self-evaluation by all board members.
5	Not applicable

Board and Executive Relations

1.6 ORGANIZATIONAL SUPPORT BY BOARD MEMBERS	
Do board members provide support to the executive and to the organization by making a donation, assisting with fundraising, and promoting and representing the organization in the community?	
1	Few board members donate to the organization. Members are not involved with fundraising and they are not actively promoting and representing the organization in the community.
2	Most members make a donation but few are involved in fundraising and few promote and represent the organization in the community.
3	The board understands that its role is to support the organization and the executive and all members donate. A majority are willing to help with fundraising. Some members actively promote or represent the organization in the community.
4	All board members provide support to the executive and the organization by making an annual donation, assisting with fundraising, and promoting and representing the organization in the community.
5	Not applicable

1.7 ALLOCATION OF AUTHORITY TO THE EXECUTIVE	
Has the board clearly and effectively delegated authority to the executive so that the executive can lead the organization and make needed day-to-day decisions?	
1	The board has not delegated authority to the executive. The executive plays an operational role only and any decision made by the executive could be reviewed and revised by the board if any board member disagreed with the decision.
2	The board has delegated some authority to the executive, but only a portion of day-to-day decisions can be made by the executive.
3	Although the board and the executive have agreed the executive leads the organization and can make day-to-day decisions, there are still situations when the board steps in to make operational decisions.
4	The executive and the board have a documented understanding of when the executive can make a decision and when the board must make the decision. The board has delegated authority clearly and effectively to the executive so that he or she can lead the organization and make day-to-day decisions.
5	Not applicable

1.8 EXECUTIVE EVALUATION	
Is the executive evaluated annually using clearly defined performance measures that are agreed upon in advance?	
1	The executive does not receive any evaluation.
2	The executive is either evaluated irregularly or the evaluation approach changes each time.
3	The executive is evaluated annually, but the criteria for evaluation are not agreed upon at the beginning of the evaluation period.
4	The executive is evaluated annually and evaluation criteria are defined and agreed upon at the beginning of the evaluation period.
5	Not applicable

Element 2: Fundraising & Financial Management

Fundraising

2.1 DIVERSE AND STABLE FUNDING

Note: Diverse funding refers to having several types of funding e.g. grants, earned income, individual donations, and events. Stable funding means the overall budget is about the same from year to year or grows.

Does your organization have a fundraising plan which has demonstrated the ability to reliably produce the levels of funding required?
Are revenues in the budget based on a written plan and a grants and fundraising calendar with projections for each type of fundraising?

1	The organization does not have a fundraising plan. We are always scrambling for funds. Budget revenues are not based on written plans for specific types of fundraising or a grants and fundraising calendar.
2	The organization has a plan for 1-2 types of funding, but the plan does not reliably produce the funds we need. We have a grants calendar but do not have a written plan, projections or a calendar for other types of fundraising.
3	The organization has a fundraising plan that generally produces what we expect but the plan is limited to 3-4 sources of funding. We have a grants calendar and a plan that accompanies the budget that projects revenues from most types of fundraising. We do not have a fundraising calendar.
4	The organization has a fundraising plan which has been proven to reliably produce appropriate levels of funding. It covers every source appropriate for our mission. We have a grants and fundraising calendar and a plan that accompanies the budget that projects revenues from all types of planned fundraising.
5	Not applicable

2.2 DONOR STEWARDSHIP

Note: Donor preferences include such information as type and frequency of contact, specific interests, desire for anonymity etc.

Does your organization honor its relationships with donors by regularly demonstrating gratitude for their generosity and informing them about the impact of their philanthropic “investment”?
Do you have a system to record biographical information and donor preferences?
Do you provide public recognition to donors?

1	We do not have many donors, and therefore do not engage with donors beyond sending them a thank you letter. We do not have a system for recording donor preferences.
2	When someone makes a financial donation, we send a message of thanks and record their biographical information and preferences so we can solicit them in the future, and invite them to our events. We do not contact them otherwise or provide any information about the impact of their gift. We have some procedures for recording donor preferences, but they are not complete or regularly updated. We don't provide any form of public recognition.

3	<p>We maintain information about donors in our database, which we reference to send a message of thanks, additional solicitations, and event invitations.</p> <p>We are beginning to research potential donors to add to the system.</p> <p>We do not inform donors or potential donors about the impact of their giving.</p> <p>We have procedures for recording most donor preferences but cannot be sure we have all donors and their preferences covered.</p> <p>We have limited public recognition for donors.</p>
4	<p>We maintain information about donors and potential donors in our database, send them messages of thanks, include them in other solicitations, regularly communicate the impact of their giving, and seek to strengthen our relationship with them.</p> <p>We have robust procedures for recording biographical information and tracking donor preferences which are regularly checked and updated as needed.</p> <p>We recognize donors publicly.</p>
5	Not applicable

2.3 CULTIVATING POTENTIAL DONORS

Note: A “donor database” as a minimum includes information about past, lapsed and current donors, anyone who has made a financial or other donation to your organization. It is often extended to include information about potential donors, people whom you can expect to be receptive to your mission. The purpose is to increase the affinity between your organization and your donors and prospects. Moves management is an orderly plan to increase the level and frequency of giving.

Does your organization have a donor database that includes detailed information about potential donors?

Does the organization regularly establish targets for the number of fundraising contacts?

Do you regularly share information about the organization and make a proposal or ask based on information in the database?

Does your fundraising plan include a moves management approach?

1	<p>We do not have a database of potential donors.</p> <p>We do not establish targets for contacts made with potential donors.</p> <p>If we contact donors it is at most once or twice a year.</p>
2	<p>We have a database of potential donors that has contact information but it is not regularly updated with other information about the donor.</p> <p>We have fundraising goals but do not establish targets for fundraising contacts.</p> <p>We share the same information about the organization with all potential donors 3-4 times a year.</p> <p>We do not have a moves management approach.</p>
3	<p>We research our potential donors and augment our database with detailed information that helps in the development of a proposal or ask.</p> <p>We establish a target for fundraising contacts but do not monitor or report on this regularly.</p> <p>We share the same information about the organization with all potential donors 3-4 times a year but also provide additional information customized to the specific interests certain donors have identified to us.</p> <p>The plan has some elements of moves management but they are insufficiently detailed or comprehensive.</p>

4	<p>We have a database of potential donors that is regularly updated with detailed information that helps in the development of a proposal or ask.</p> <p>We establish a target for fundraising contacts and assign contacts to each person who is soliciting donations. Our performance on making contacts is monitored and reported out monthly.</p> <p>We share the same information about the organization with all potential donors more than 3-4 times a year. We have also researched potential donors to understand their specific interests; this allows us to provide additional custom information.</p> <p>The plan has a detailed moves management component.</p>
5	Not applicable

2.4 CHARITABLE DONATIONS AND GIFT ACCEPTANCE POLICIES	
Note: A gift acceptance policy clarifies what types of gifts may be accepted, how the organization avoids conflicts of interest or potential damage to donors in the acceptance of gifts.	
<p>If your organization solicits charitable donations from the public, does it comply with the Washington Charitable Solicitations Act, including annual registration and reporting?</p> <p>Specifically:</p> <p>Does the organization promptly acknowledge in writing gifts of \$250 or more?</p> <p>Does the organization comply with IRS regulations regarding receipts to indicate both whether or not goods and services were received in exchange for financial donations and the value of those goods and services?</p> <p>Does the organization have gift acceptance policies?</p>	
1	<p>We are not sure whether we comply with the Charitable Solicitations Act.</p> <p>We do not always promptly acknowledge gifts of \$250 or more.</p> <p>We are not sure we are providing the correct receipts under IRS regulations.</p> <p>We do not have a gift acceptance policy.</p>
2	<p>We are aware of but do not always comply with the Charitable Solicitations Act.</p> <p>We do not always promptly acknowledge gifts of \$250 or more.</p> <p>We comply with IRS regulations and provide receipts indicating the value of goods and services received in exchange for financial donations.</p> <p>We do not have a gift acceptance policy.</p>
3	<p>We comply with the Charitable Solicitations Act including annual registration and reporting.</p> <p>We always promptly acknowledge gifts of \$250 or more.</p> <p>We comply with IRS regulations and provide receipts indicating the value of goods and services received in exchange for financial donations.</p> <p>We have a gift acceptance policy to guide staff in seeking and accepting gifts but it does not cover all types of assets.</p>
4	<p>We comply with the Charitable Solicitations Act including annual registration and reporting.</p> <p>We always promptly acknowledge gifts of any value.</p> <p>We comply with IRS regulations and provide receipts indicating the value of goods and services received in exchange for financial donations.</p> <p>We have a gift acceptance policy which guides staff and covers all types of assets.</p>
5	Not applicable

Financial Management

2.5 FINANCIAL POLICIES AND PROCEDURES	
Note: Financial policies include things like multiple reviewers, separation of duties in handling checks and payments, monitoring credit cards etc.	
Does your organization have written financial policies and procedures that are rigorously followed in order to minimize the risk of fraud and theft, detect errors, and make processes efficient?	
1	There are no established financial policies or procedures. We do not have systems in place to assure that we do not have fraud, theft, or accounting errors or, if we do, they are inefficient.
2	Some financial policies and procedures are written down. We have some financial processes in place to minimize the risk of fraud and theft, detect errors, and make processes efficient but we think there are likely weaknesses in these processes.
3	There are written financial policies and procedures adequate for the size and complexity of the organization. We have developed procedures to minimize the risk of fraud and theft, detect errors, and make processes efficient; these processes are generally followed.
4	Written financial policies and procedures are in place and are rigorously followed in order to minimize the risk of fraud and theft, detect errors, and make processes efficient. Compliance with financial policies and procedures is periodically tested.
5	Not applicable

2.6 FINANCIAL REPORTING CAPABILITY	
Note: Reporting falls into three categories 1) Financial reporting (GAAP); 2) Management reporting for internal control purposes, and 3) Tax reporting.	
Does your organization have the capacity to produce financial reports as needed for the overall organization and for each program?	
1	We have the minimum of reporting for tax purposes and nothing more.
2	We have tax reporting. Financial reports are available at the organization level at least quarterly. There is no program level or custom reporting.
3	We have tax reporting. Financial reports for the organization are produced monthly. We have management reporting for the most important programs. Custom reports are difficult to produce.
4	We have tax reporting. Financial and Management reports are available monthly for the organization and for each program. Custom reports are easy to produce.
5	Not applicable

2.7 MANAGEMENT REPORTING	
Note: Includes monthly program reports and customized management reports.	
Do the leaders and board members have access to internal management reports so they can understand the organization's fiscal health and performance of programs?	
1	The organization does not have internal management reports and does not look at the financial performance of specific programs.
2	Internal management reports are available on a monthly basis. Leadership occasionally looks into the financial performance of programs.

3	Internal management reports are available on a monthly basis. Leadership periodically reviews the financial performance of programs but does not share the information with the board.
4	Internal management reports are available on a monthly basis. Leadership has a system for regularly tracking financial performance of programs and shares findings with the board.
5	Not applicable

2.8 MONITORING FINANCIAL AND BUDGET PERFORMANCE	
Note: “Detailed” financial reports refer to both 1) Financial Reporting; e.g. Statement of Financial Position and Statement of Activities, also known as the Balance Sheet and P&L or Income Statement; and 2) Budget Reporting; e.g. Budget versus Actual.	
Is financial and budget performance monitored by the board using detailed financial reports? Does the board have a good understanding of the organization’s financial performance?	
1	The treasurer looks at our financial reports when they are produced but they are not reviewed, discussed, or well understood by all board members.
2	The finance committee or the full board receive detailed financial reports that include comparisons of budget to actual at least twice a year. However, the reports are generally not discussed and most board members do not understand them.
3	The treasurer/finance committee and the full board review detailed financial reports at least quarterly. The treasurer, finance committee and most other board members have a good understanding of the organization’s financial performance.
4	The treasurer/finance committee review detailed financial and budget reports at every meeting and the board reviews them at least quarterly. All board members have a good understanding of the organization’s financial performance.
5	Not applicable

2.9 FINANCIAL RESERVES AND CASH FLOW MONITORING	
Does your organization have reserves appropriate to the needs of the organization? Do you monitor cash flow and forecast the cash you will have available in the months ahead?	
1	We have cash on hand of less than two months of expenses at any time during our fiscal year. We do not prepare a cash flow forecast. No reports are provided to the board.
2	We generally have cash on hand of at least three months of expenses. We periodically prepare cash flow forecasts and an individual on staff closely monitors our available cash. Reports are provided to the board only on request.

3	We maintain cash on hand of more than 3 months. A finance staff member prepares cash flow forecasts and monitors cash. Reports are provided to the board at least quarterly or semiannually.
4	We maintain at least 6 months of cash on hand and the board and/or a finance committee receives a cash flow forecast at each meeting. Reports are provided to the board on a monthly basis.
5	Not applicable

2.10 BUDGETING AND FINANCIAL PROJECTIONS	
Does the organization prepare an annual budget based in part on analysis of trends? Does the organization have a financial projection beyond one year?	
1	We have no formal budget or an informal budget that may change during the year.
2	We have an annual budget based on the previous year income and expense numbers. We do not do projections beyond one year.
3	We have an annual budget based on the previous year income and expense numbers that also incorporates expected changes. We occasionally do financial projections that go beyond the fiscal year.
4	We have an annual budget that is based on an analysis of trends. We maintain a projection that goes beyond the fiscal year including doing periodic three-year projections.
5	Not applicable

2.11 CLEAR BUSINESS MODEL AND TREND ANALYSIS	
Note: Business model refers to how an organization gets and uses resources to create value.	
Do the staff and board regularly discuss the organization's business model and review fundraising, expense, and service level trends to guide budget development and management decisions?	
1	The staff and board never discuss the organization's business model. We do no regular review of trends when we are planning or making financial decisions.
2	The staff and board discuss how to get revenue. We do some analysis of expense or service level trends in our budgeting but these are not shared with the board.
3	Trends in revenues, expenses and service level are regularly analyzed by staff and used in planning. Trends are sometimes discussed with the board.
4	All senior staff and all board members could describe the sources of the organization's revenue and the major expense areas. The staff prepare information for the board on revenue, expense and service level trends and these are discussed in a full board meeting.
5	Not applicable

Element 3: Communications & Relationships

Communications and Marketing

3.1 COMMUNICATION PLAN

Have you developed compelling key messages and defined the audiences you want to reach? Does your organization have a communication plan and schedule that are aligned with your business/operational goals?

Are there regular vehicles for internal communications (internal newsletters, intranet, all-staff meetings) in place so that the leadership can keep the staff informed about the organization?

1	We do not have very compelling key messages and have not clearly defined the audiences we want to reach or how we are going to reach them. Internal communications are handled mostly through email and occasional staff meetings.
2	We have some compelling key messages for some of the audiences we want to reach. We do not have a strategic communication plan but we have a communications schedule with some activities planned out ahead of time. Internal communications are handled mostly through email and regular staff meetings.
3	We have compelling key messages for most audiences we want to reach. We have a partial communication plan and communications schedule in place with some strategic thought put into it. There are regular vehicles for internal communications in place so that the leadership can keep the staff informed about the organization but sometimes important information is not shared.
4	We have developed compelling key messages for each audience we want to reach. We have a communication plan that identifies activities, audiences, compelling key messages, and strategies, and a detailed communications schedule. There are regular vehicles for internal communications in place so that the leadership can keep the staff informed about the organization.
5	Not applicable

3.2 WEBSITE, SOCIAL MEDIA, AND BRAND

Note: Brand is the visual and stylistic identity of your organization, which includes elements such as your logo, program names, tagline, messaging, colors, etc. that uniquely define your organization.

Do your website, social media, and organizational materials/collateral communicate a clear and consistent brand unique to your organization?

Do you take full advantage of your social media sites and website for marketing, communications, and outreach purposes?

Do you have clearly defined goals for your online communications and are you tracking results?

1	We do not have a consistent brand used in all of our communications. Our website and social media platforms are rarely updated, if at all. We do not have a clear direction on how we want to approach online communication.
2	We have some aspects of a brand in place. Our website is generally up-to-date but the images and content rarely change. We are using some social media platforms. We do not have goals for online communications and are not tracking website traffic or social media effectiveness.

3	We have developed most components of a brand. Our website is refreshed frequently to include new and relevant content. We use many forms of social media and post to them regularly. We have some goals for online communications. We are beginning to track the website and social media results to measure effectiveness.
4	We have developed a strong brand that is consistently applied and easily recognized. Our website is refreshed frequently to include new images and content. We use many forms of social media and post to them consistently. We have goals for our online communications and regularly track results for our website and social media. We proactively adjust our activities and strategy accordingly.
5	Not applicable

3.3 STORYTELLING AND COMMUNICATING IMPACT	
Does your organization have the ability to tell stories about the organization and the impact of its work in a concise and visually compelling way?	
1	The organization does not have a clear understanding of how to tell stories about its work or impact to donors, funders, and volunteers.
2	The organization uses some stories to describe the organization's services but has not effectively used storytelling to describe its impact to donors, funders, and volunteers.
3	The organization uses stories to describe the organization's services and impact. The organization regularly communicates these stories to its audiences.
4	The organization is adept at using stories to describe the organization's services and impact in a concise and visually compelling way. The organization sees concrete benefits from sharing these stories.
5	Not applicable

Advocacy and Relationships

3.4 ORGANIZATIONAL STATURE	
Note: Decision makers are funders, government officials, elected leaders etc.	
Is your organization and its leadership well known in the community and among decision makers so you can advance your organization's cause or mission?	
1	Our organization and its leadership are little known in the community. Our executive, key staff and board members are not engaged with decision makers.
2	Our organization and its leadership are somewhat known within our issue area. The executive, key staff and board members do not interact directly with decision makers except through group activities like demonstrations or Lobby Day.
3	Our organization and its leadership are somewhat known and are occasionally sought out by decision makers. There have been specific cases where our executive, key staff and board members have worked successfully with decision makers on issues important to our mission.
4	Our organization and its leadership are well known and are frequently sought out by decision makers. Our executive, key staff and board members regularly work successfully with decision makers on issues important to our mission.
5	Not applicable

3.5 PUBLIC POLICY IMPACT AND PRIORITIES	
Does your organization understand the public policy issues related to your mission and how they impact your constituents? Have you identified public policy priorities?	
1	We are unclear how public policy issues affect our mission and constituents. We feel overwhelmed by information on policy issues and do not analyze how issues impact our constituents or establish policy priorities.
2	We have a general understanding of how public policy affects our mission and our constituents but are not aware of specific public policy issues under consideration and do not have current policy priorities.
3	We have a good understanding of the general and specific public policy issues that are under consideration, and we have gathered some information about how these issues affect our mission and constituents. We have identified at least one policy issue we would like to work on in the future.
4	We have a thorough understanding of the public policy issues that affect our mission and constituents. We collect and analyze community data about how these issues impact our constituents. We pay attention to emerging as well as current policy issues and develop annual policy agendas.
5	Not applicable

3.6 CAUSE BUILDING	
Note: Advocacy is an effort to shape public attitudes or behaviors, which may or may not require lobbying for changes in laws or rules (public policy).	
Does your organization inspire people to join your cause? Does your organization actively engage the community in organizational planning, advocacy, and public policy work? Are the leaders of the organization more interested in advancing our cause than in benefiting the organization?	
1	Our organization is not involved in advocacy or public policy and does not involve the community or the people we serve in organizational planning.
2	Our organization occasionally gets involved with advocacy and public policy but does not try to engage the community or the people we serve in organizational planning, advocacy, or public policy.
3	Our organization is regularly involved with advocacy and public policy and encourages the involvement of people close to the organization but does not try to engage people outside of our organization in organizational planning, advocacy, and public policy. Our leaders generally make decisions that advance our cause even if our organization does not directly benefit.
4	Our organization regularly inspires people within the organization and in the larger community to get involved in public policy and advocacy. We very intentionally engage with the community in organizational planning, public policy, and advocacy. Our leaders are seen as leaders of our cause and regularly make decisions that advance our cause even if they do not provide direct benefit to our organization.
5	Not applicable

3.7 PARTNERSHIPS	
Does the organization share its resources and knowledge, and work with partner organizations to achieve more and make better use of resources?	
1	We do not work regularly with any partner organizations.
2	We have a few relationships with other organizations but we do not use these relationships to achieve more or make better use of our resources.
3	We have established relationships with several partner organizations and we sometimes work with them to achieve more than we could alone or to conserve resources.
4	We regularly share resources and knowledge and work with partner organizations so we can achieve more and make better use of resources.
5	Not applicable

Volunteer Engagement

3.8 VOLUNTEER PROGRAM MANAGEMENT AND RESOURCING	
Are adequate resources allocated for managing the volunteer program including program staffing, volunteer supervision, staff training and volunteer recognition?	
1	There is no dedicated volunteer program staff. We are not able to provide consistent supervision to volunteers. There are no resources designated for training staff or for engaging or recognizing volunteers.
2	There is no dedicated volunteer program staff though we consistently supervise volunteers. There are sometimes limited funds for staff training or engaging and recognizing volunteers.
3	There is dedicated volunteer program staffing. All volunteers have direct supervisors, but the volunteer program manager does not support or evaluate their responsibilities working with volunteers. We budget some funds for staff training and volunteer engagement and recognition.
4	The volunteer program is fully staffed including a dedicated volunteer program manager and direct supervisors for all volunteers. All appropriate staff are trained, supported and evaluated based on their role working with volunteers. We budget sufficient funds for staff training and volunteer engagement and recognition.
5	Not applicable

3.9 VOLUNTEER PROGRAM EVALUATION AND PLANNING	
Does your organization track and evaluate the success of the volunteer program and utilize the information for further program planning?	
1	We do not currently solicit feedback from staff or volunteers regarding the success of the volunteer program.
2	We informally solicit feedback from volunteers, but do not consistently incorporate the feedback into program planning, nor do we solicit feedback from staff.
3	From time to time, we solicit feedback from both staff and volunteers regarding the success of the volunteer program and consider making program improvements based on the results.

4	We regularly solicit feedback from both staff and volunteers regarding the success of the volunteer program. We intentionally utilize the information for making improvements to the volunteer program, including identifying new ways for volunteers to contribute to the organization.
5	Not applicable

3.10 TRACKING OF VOLUNTEER DATA	
Note: Volunteer data includes demographics, preferences, hours, contributions, etc.	
Is there a process and system for tracking and securing volunteer data?	
1	We have no formal process for capturing volunteer data.
2	We maintain basic contact records on most volunteers.
3	We collect contact information and track hours and contributions for most volunteer roles.
4	We have a system and process for collecting and tracking volunteer data including demographics, preferences, hours and contributions.
5	Not applicable

Element 4: Planning, Technology & Administration

Planning and Program Effectiveness

4.1 GOALS AND STRATEGIC PLAN	
Does your organization have short-term goals and a recent longer-term business or strategic plan in place? Does your leadership regularly monitor and report to staff and board on progress toward its goals?	
1	We have a few short-term goals but do not have a longer-term plan in place. Results are sporadically discussed.
2	We have short-term goals and a business or strategic plan but they are out of date and/or no reporting is done.
3	We have short-term goals that are well defined and a recent business or strategic plan in place. Reporting on the goals and the plan is limited and occasional.
4	We have defined short-term goals and a longer-term business or strategic plan in place. Leadership regularly reports to staff and the board to allow them to monitor progress toward goals and achievement of the plan.
5	Not applicable

4.2 PROGRAM EFFECTIVENESS	
Note: Program evaluation often uses methods such as a logic model, a theory of change or an outcome framework.	
Can your organization evaluate and measure the effectiveness of its programs in solving the problem your organization exists to solve? Do you collect and analyze appropriate community input and data and integrate your analysis into organizational decision-making and advocacy?	
1	We do not evaluate the effectiveness of our programs. We rarely analyze community input and data or use it in our decision-making. We are not involved in advocacy.
2	We occasionally evaluate the effectiveness of programs. We collect and analyze some community input and data and use it in our decision-making but do not integrate that into advocacy efforts.
3	We have created a method to evaluate the effectiveness of our programs but the process is not well defined. The information collected generally does not lead to changes or improvements. We collect and analyze community input and data and integrate that into our decision-making and advocacy efforts.
4	The organization has a method to evaluate the effectiveness of its programs on an on-going basis. Evaluation measures are monitored and changes are made as necessary. In addition to collecting and analyzing community input and data to support decision-making and advocacy, we also actively involve community members in our daily work.
5	Not applicable

4.3 EMERGENCY PLAN	
Does your organization have an up to date written agency emergency plan? Is the staff fully informed about the plan? Is staff given information on emergency preparedness for home and office?	
1	We do not have a written emergency plan. Staff has not been given preparedness information.
2	There is very little written down but the staff has talked about what to do in an emergency. Planning and preparations are rudimentary at best. Staff has not been given emergency preparedness information.
3	We have a written emergency plan but it is incomplete. We have begun to assign responsibilities for various types of emergencies. Staff members have talked about some components of an emergency plan but are not fully prepared to act and have not been provided with information on emergency preparedness for home and office.
4	A written plan is in place that covers all parts of the organization. It is readily accessible, on or off-site and is reviewed regularly. The plan contains provisions for special needs. From time to time, we conduct an emergency drill. The staff is fully informed about the plan and prepared to act. They have been provided with information on emergency preparedness for home and office.
5	Not applicable

4.4 EMERGENCY INFORMATION, GO-KIT AND PROVISIONS	
Note: GO-KIT is a file box or folder with the organization's most important information in print form.	
Can multiple people access online storage for emergency contact information, confidential client information and other documents needed in an emergency? Is there a Go-Kit with critical information and documents including emergency contact information for staff and regular in-office volunteers? Is a duplicate stored off-site? Does the organization have at least 3 days of provisions?	
1	Emergency contact information for staff is not consistently available. There is no emergency contact information for volunteers. No Go-Kit has been created. There are no provisions in the office.
2	Emergency contact information is available for staff but not volunteers. A Go-Kit has been created with some critical documents but it is incomplete and/or it is not regularly updated. There are some provisions in the office but not sufficient for 3 days.
3	Emergency contact information is collected for staff and regular in-office volunteers and it is included in the Go-Kit but that information is not stored online. A thorough Go-Kit has been created but it is not updated regularly. There is no duplicate off-site. A staff person is responsible for assuring that at least three days of provisions are available at all sites.

4	<p>Emergency contact information for staff and regular in-office volunteers, critical client information and other documents needed in an emergency are stored online. Multiple people can access that information.</p> <p>A thorough Go-Kit has been created and it is updated at least annually. A duplicate is stored off-site.</p> <p>A staff person is responsible for assuring that at least three days of provisions are available at all sites and that these provisions are replenished regularly.</p>
5	Not applicable

Technology

4.5 TECHNOLOGY INFRASTRUCTURE

Note: Technology infrastructure refers to computers, servers, mail systems, software, network, internet speed etc.

Does your current technology infrastructure support effective day-to-day work?

1	Many components of a technology infrastructure are missing or outdated. We frequently experience major problems that prevent us from working effectively and efficiently.
2	Some components of our technology infrastructure are outdated and we experience frequent problems that prevent us from working effectively and efficiently.
3	We are up-to-date in most areas, but experience minor problems regularly that prevent us from working effectively and efficiently.
4	We are up-to-date in almost all components of our technology infrastructure. Problems that prevent us from working effectively and efficiently are rare.
5	Not applicable

4.6 SECURITY AND DISASTER RECOVERY

Note: Some examples of security measures: passwords for computers, Wi-Fi connections, and network access. Anti-virus software. Backups of electronic files. Paper files kept in locked cabinets, etc.

Is your information secure, including your computers, network, and electronic and paper files?

1	<p>We do not have any security measures in place for paper or electronic files.</p> <p>We do not backup our electronic files.</p>
2	<p>We have some security measures for electronic data in place, but gaps remain.</p> <p>We backup our electronic files but the backup is kept on site.</p> <p>Only some confidential or critical paper files are kept in locked cabinets.</p>
3	<p>We have most of the following security measures in place: enforced password policies, a firewall, antivirus software, and password protection on our Wi-Fi connection.</p> <p>We backup our electronic files and the backup is kept offsite. Most of our critical and confidential paper files are in locked cabinets.</p>
4	<p>We have all of the following security measures in place: enforced password policies, a firewall, antivirus software, and password protection on our Wi-Fi connection.</p> <p>We also have automatic backups of all critical information off site. All of our critical and confidential paper files are in locked cabinets.</p>
5	Not applicable

4.7 DATA COLLECTION AND MANAGEMENT SYSTEMS	
Does your organization have an effective system for collecting and managing client, volunteer, and donor information?	
Are the processes well defined and is privacy secured? Are the roles among staff clear?	
1	We collect and manage client, volunteer, and donor information as we can but we do not have an effective system for protecting the privacy of our data. Data management, privacy policies and corresponding staff responsibilities are not well defined, written down or consistently followed.
2	We have several incompatible ways of collecting and managing client, volunteer, and donor information. It is uncertain whether we are adequately protecting the privacy of our data. We have made a start toward developing formal processes and responsibilities for data management and privacy practices.
3	We have a system for collecting and managing client, volunteer, and donor information to protect the privacy of our data. We have developed and documented formal processes and responsibilities for data management and privacy practices but we are still working towards consistently using them.
4	We have an effective system for collecting and managing client, volunteer, and donor information and all staff are familiar with our processes for protecting the privacy of our data. We have developed formal processes and responsibilities for data management and privacy practices. These are well documented and consistently used.
5	Not applicable

4.8 DATA PROTECTION	
Does your organization have written policies for complying with regulations governing data retention, deletion and protection for both electronic and paper files?	
1	We do not have any written policies or procedures to guarantee compliance with regulations governing data protection.
2	We have policies and procedures to comply with regulations but other compliance issues are not covered.
3	We have policies and procedures that guarantee compliance with regulations for data retention, deletion and protection. However, execution of these policies and procedures may be inconsistent.
4	We have written policies to guarantee compliance with regulations for data retention, deletion and protection for both electronic and paper files. These policies are rigorously enforced.
5	Not applicable

4.9 PROGRAM DATA REPORTING	
Does your organization have the technology necessary for managing and reporting key data about programs and clients?	
1	We use informal, <i>ad hoc</i> methods to manage our program and client data. We do not have what we need for reporting.
2	We have defined the data we need to collect but do not have the technology necessary for managing and reporting key data about programs and clients.

3	We have tools and technology in place to manage key data about our programs and clients but do not have robust tools for reporting.
4	We have robust tools and technology in place to manage and to report on key data about programs and clients.
5	Not applicable

4.10 TECHNOLOGY BUDGET AND RESOURCES	
Does your organization have a plan and a budget for technology maintenance and support and for the adoption of new technology?	
1	We have very limited resources and do not have a technology plan or a budget for technology.
2	We do not have a plan for technology and are only able to budget a small amount of money for urgent needs.
3	We do not have a comprehensive technology plan, but we do have a replacement schedule for our computer equipment. However, replacement is often delayed and funding for technology is not consistently available.
4	We recognize the importance of technology to our mission. We have a technology plan (for at least two years) and regularly dedicate a portion of our budget to maintenance and new technology.
5	Not applicable

4.11 FILE SHARING AND COLLABORATION	
Note: Collaboration tools are Dropbox, SharePoint, OneDrive, Google Docs, Basecamp, Slack, etc.	
Does your organization have a well-organized method for digital file storage and sharing (in-house or cloud-hosted)?	
Do you use collaboration tools to assist staff in collaborating with each other or with others?	
1	We do not have a system for storing and sharing digital files. Staff keep documents on their computers and share them by email. We do not use online collaboration tools.
2	We have a file storage and sharing system but it is poorly organized and we struggle to find the correct version of documents. Staff do not consistently use the shared drive and many files are kept outside of it. We do not use any online collaboration tools.
3	We have a file storage and sharing system that is generally used by staff but is at times disorganized. Staff are generally able to locate important files. Some staff are using online collaboration tools.
4	We have a well-organized system for storing and sharing files that is used by staff. Many staff use online collaboration tools.
5	Not applicable

Administration

4.12 RISK ASSESSMENT

Note: Examples of risks: Fraud, legal action against the organization, physical hazards in the workplace, emergencies, loss of data.

Has the organization identified risks?

Has the organization put in place policies and procedures and taken other actions to reduce risks? Are these regularly tested and reviewed?

1	We have not tried to identify risks. No policies or procedures have been put in place and no actions have been taken to reduce risks.
2	We have identified some types of risk. A few policies and procedures have been put in place and some actions have been taken to reduce risks.
3	We have identified many types of risk but these risks are not reassessed regularly. Policies and procedures have been put in place and some actions have been taken to reduce risks but these are not regularly tested or reviewed.
4	We have undertaken a comprehensive risk assessment. Policies and procedures have been put in place and actions have been taken to reduce risks. These are regularly tested and reviewed.
5	Not applicable

4.13 ETHICS

Does the organization have written policies that assure that the executive and the board are behaving ethically and in compliance with the law? Important policies include those regarding 1) conflicts of interest, 2) document retention, 3) whistleblowers, 4) inurement / private benefit.

1	We do not have any of these policies.
2	We have one of these policies.
3	We have a conflict of interest policy and one other of these policies. Board members sign the conflict of interest declaration.
4	We have 3-4 of these policies. Board members and the executive sign the conflict of interest declaration annually.
5	Not applicable

4.14 MAINTAINING NONPROFIT AND TAX EXEMPT STATUS

Note: Mark N/A if the organization does not have state approval.

Does the organization comply with the state's annual filing requirements, including annual charitable solicitations registration, if funds are solicited from the public?

Does the organization comply with federal annual filing requirements, such as Form 990, 990EZ or 990-N, as applicable?

If the organization lobbies for legislation, has it considered making the 501(h) election?

1	<p>Our organization doesn't know what the IRS filing requirements are and/or our organization has not always met its annual state filing requirements, including annual charitable solicitations registration (if applicable).</p> <p>In the past, we failed to file with the IRS for three consecutive tax years and lost our tax-exempt status.</p> <p>If we lobby for legislation, we have not considered the 501(h) election.</p>
2	<p>Our organization has not always met its annual state filing requirements including annual charitable solicitations registration (if applicable).</p> <p>The organization has missed one or more federal filing deadlines.</p> <p>If we lobby for legislation, we have not considered the 501(h) election.</p>
3	<p>Our organization has always met its annual state filing requirements including annual charitable solicitations registration (if applicable).</p> <p>The organization has missed one or more federal filing deadlines.</p> <p>If we lobby for legislation, we have not considered the 501(h) election.</p>
4	<p>Our organization has always met its annual state filing requirements including annual charitable solicitations registration (if applicable).</p> <p>The organization has never missed federal filing deadlines.</p> <p>If we lobby for legislation, we have considered the 501(h) election.</p>
5	Not applicable

Element 5: Management & Culture

Culture and Change Management

5.1 RESILIENCY AND CHANGE MANAGEMENT

Are the board and the leadership resilient when the organization faces challenges or a change needs to be made?

Is the organization able to act swiftly, embrace change, and successfully navigate it?

1	The organization has a history of being unable to get agreement on what action to take when facing serious challenges or the need for change. Changes in our environment have had negative impacts on the organization.
2	The organization has made decisions when facing a challenge or the need to change, but has not been able to move forward quickly. In these situations, there has often been a lack of clarity about next steps among board members or between the board and the executive, or a lack of resources to support change.
3	The organization sometimes faces challenges and recognizes when change is necessary. We generally make timely decisions. Implementation of the change has sometimes been difficult.
4	The organization faces challenges and recognizes when change is necessary. Decisions are made swiftly. The organization embraces and successfully navigates the change.
5	Not applicable

5.2 STAFF DIVERSITY

Note: If no staff, assess the diversity of volunteers.

Given its size, is your organization's staff diverse in these characteristics: 1) age, 2) ethnicity, 3) race, 4) sexual orientation/gender expression, 5) religion, and 6) disability status?

Do you comply with non-discrimination laws?

Do you undertake additional efforts to recruit diverse job candidates including expressing a willingness to make reasonable accommodations?

1	We are not a diverse organization. We are not sure if we comply with non-discrimination laws. We do not undertake additional efforts to recruit diverse job candidates.
2	We have some diversity on staff in 1-2 of these six characteristics. We think we comply with non-discrimination laws. We do not undertake additional efforts to recruit diverse job candidates.
3	We have diversity on our staff in 2-3 of these six characteristics. We have developed procedures to ensure that we are complying with non-discrimination laws. We attempt to recruit job candidates that reflect some types of diversity and to remove barriers by either keeping education requirements to only what is needed for the job, or excluding credit and conviction records from our screening processes. We are willing to provide reasonable accommodations.

4	<p>We have diversity on our staff in 4-5 of these six characteristics.</p> <p>We provide information and training on our procedures to hiring managers to ensure that they are complying with non-discrimination laws.</p> <p>We know our labor market and have robust strategies for recruiting and hiring candidates so that our staff reflect the diversity of our community. Strategies include both keeping education requirements to only what is needed for the job, and excluding credit and conviction records from our screening processes.</p> <p>We are willing to provide reasonable accommodations.</p>
5	Not applicable

5.3 INTENTIONAL SUPPORT FOR DIVERSITY AND INCLUSION	
Note: If no staff, assess this in terms of your volunteers.	
<p>Does your organization and leadership integrate diversity and inclusion in its policies and practices? Do you have:</p> <p>1) a statement of inclusiveness, 2) a written plan for ensuring a culture of inclusion, 3) training for staff on cultural competency and/or racism, 4) an internal staff group that works on inclusion?</p>	
1	Our organization and leadership has not taken actions to increase staff diversity or build a culture of inclusion.
2	We comply with non-discrimination laws but undertake only limited actions to support diversity and inclusion.
3	We comply with non-discrimination laws, and undertake additional efforts to recruit diverse job candidates, but have undertaken only limited actions to support diversity and inclusion. We have at least 2 of the items listed.
4	Our organization and leadership integrate diversity and inclusion in both policies and practices. We comply with non-discrimination laws, and make an effort to recruit diverse job candidates. We have at least 3 of the items listed.
5	Not applicable

5.4 ORGANIZATIONAL CULTURE	
<p>Has your organization defined the values and behaviors that shape the organization's culture? Do staff members feel supported?</p> <p>Do leaders demonstrate trust by sharing non-confidential information to help staff members work together effectively?</p> <p>When a conflict occurs, are staff able to solve it constructively?</p>	
1	<p>We have not defined our values or the behaviors we want to shape our culture.</p> <p>The leadership has difficulty in sharing information or demonstrating trust.</p> <p>Staff have variable experiences with the organization. Conflicts often go unresolved.</p>
2	<p>We have defined the values we want to shape our culture but have not tried to implement them with the staff.</p> <p>The leadership displays limited trust by sharing some information but keeps much of it to themselves.</p> <p>Staff do not always feel supported and sometimes do not solve conflicts constructively.</p>

3	We have defined the values and behaviors that shape our culture but rarely incorporate these into our internal communications and management practices. The leadership demonstrates its trust in the staff by sharing non-confidential information. Most staff seem to feel supported. When there is a conflict, it is usually resolved constructively.
4	We have defined the values and behaviors that shape our culture and we consistently incorporate these into our internal communications and management practices. The leadership demonstrates its trust in the staff by sharing non-confidential information. Staff feel supported and are able to solve problems constructively.
5	Not applicable

5.5 DECISION-MAKING	
Does your organization have a clear allocation of authority so that there is no confusion about who makes which decisions?	
Do decision makers make a conscious effort to avoid having to revisit decisions?	
Do decision makers call on the expertise and knowledge of staff members and stakeholders such as clients, volunteers, donors or funders, and community members appropriately?	
1	Our organization has not clearly allocated authority so there is frequently confusion about who makes what decisions. Decisions often have to be revisited. Staff or other stakeholders are rarely called on to contribute.
2	Decision-making authority is highly concentrated in one person or a small group of people. Decisions are less likely to need to be revisited; however, the staff often feels left out of the process. Most decisions are made without calling on staff or other stakeholders.
3	Authority is allocated through organizational policies but remains unclear in many circumstances. Decisions rarely need to be revisited. Staff have a means to offer input even if it has not been solicited. Staff is sometimes solicited for key decisions. The opinions of other stakeholders are rarely solicited.
4	Authority is broadly allocated in the organization with parameters often defined in organizational policies. The intent of this distribution is to allow decisions to be made more quickly and by those closest to the issue. Decisions almost never need revisiting. Decision makers generally call on staff and other stakeholders for knowledge and expertise.
5	Not applicable

Human Resources Process

5.6 STAFF RECRUITMENT AND RETENTION	
Does your organization have systems in place to support the recruitment of qualified candidates?	
Do you have an explicit strategy for staff retention, including a budget for staff development?	
1	The recruitment process does not always provide a strong pool of candidates that fit the needs of the position. There is no plan for retention and little professional development offered.
2	Most of the time we have several candidates for open positions who are a good match for the position. There is no plan for retention and very limited professional development opportunities.

3	We get candidates for open positions that generally meet or exceed the position requirements. We have adopted some practices that help retain staff including limited professional development opportunities.
4	We generally have several highly qualified candidates for open positions. The organization has a plan for improving staff retention, including making professional development broadly available.
5	Not applicable

5.7 JOB DESCRIPTIONS	
Does your organization have up-to-date job descriptions that include these 5 components: 1) exempt or non-exempt classification, 2) the qualifications, knowledge and skills required to perform the job, 3) the core job responsibilities, 4) pay level or range, 5) any special demands associated with the job (frequent travel, lifting, standing etc.)?	
1	We do not have job descriptions at all.
2	We have job descriptions for some employees that include 2-3 of these components.
3	We have job descriptions for all employees that include 4-5 of these components but some have not been reviewed in several years.
4	We have job descriptions for all employees. The job descriptions include all 5 of these components and they have been reviewed in the last three years.
5	Not applicable

5.8 INTERVIEW PROCESSES	
Note: Implicit or unconscious bias occurs when the interviewer assesses the applicant based on the interviewer's biases rather than the applicant's objective qualifications. Behaviorally based questions are used to estimate the likelihood of future success by asking candidates for examples of similar situations in past jobs.	
Do you use a structured interview process that is designed to avoid illegal questions and to reduce implicit or unconscious bias?	
Do hiring managers ask each candidate standard questions based on the knowledge and skills required for the job?	
Has information or training on interviewing and the use of behaviorally based questions been provided to hiring managers?	
1	We do not have a structured interview process, and interviewers may not be aware of illegal questions. We have not discussed implicit or unconscious bias and no training on interviewing has been provided to hiring managers.
2	Interviewers are aware of illegal questions but do not have a structured interview process with standard questions asked of all applicants. Behaviorally based questions are not used. We have talked about implicit or unconscious bias but have not structured our process to reduce it or provided any information or training to hiring managers.

3	Interviewers are aware of illegal questions and have been provided with information or training on hiring and the use of behaviorally based questions. They have not been given information or training on implicit or unconscious bias. They use a structured interview process and ask all candidates standard questions, based on the knowledge and skills required for the job.
4	Interviewers are aware of illegal questions and have been provided with information or training on hiring, the use of behaviorally based questions, and implicit or unconscious bias. They use a structured interview process and behaviorally based interview questions, asking all candidates standard questions, based on knowledge and skills required for the job.
5	Not applicable

5.9 EMPLOYEE HANDBOOK	
Does your organization have an up to date employee handbook that includes at least the following components: 1) Organization mission and history, 2) Non-discrimination policies and reporting procedures, 3) Time off and leaves of absence policies, 4) Performance management, discipline and termination, 5) Health, safety and security, 6) Compensation and benefits, 7) Disclaimer that handbook is not a contract?	
1	We do not have an employee handbook but provide employees with information about compensation and benefits.
2	We have an employee handbook that includes 3-4 components listed. The handbook has not been reviewed and revised for more than two years.
3	We have an employee handbook that includes 4-5 of the components listed. It has not been reviewed and revised within the last two years.
4	We have an employee handbook, revised within the last two years, which includes all of the components listed.
5	Not applicable

5.10 NEW EMPLOYEE ORIENTATION	
Does your organization have a standard process and written procedure for orienting new employees? Does it include at least the following components: 1) Organizational history, programs and culture, 2) A review of the personnel policies and benefits, 3) Orientation to office equipment, 4) Set-up and training on the technology used by the organization, 5) Emergency procedures and 6) Job specific training plan?	
1	Orientation is handled differently for each new employee.
2	The same process is generally followed for orienting new employees but we do not have a written orientation procedure. We generally do 2-4 of the components listed.
3	We have a written orientation procedure we follow with all new employees that includes 4-5 of the components.
4	We have a written orientation procedure that is followed with every new employee. It includes all of the components listed. A checklist is completed for each employee to assure that the employee receives all the required information.
5	Not applicable

5.11 FEEDBACK AND PERFORMANCE REVIEWS	
<p>Do employees regularly receive feedback? Does the organization have a process of written performance reviews that includes the opportunity for employees to evaluate themselves? Does the performance review process assess job performance and expected behaviors, allow the employee to establish goals for the next year, and identify areas for development? Are supervisors provided with training for providing feedback and for conducting performance reviews?</p>	
1	<p>We do not train supervisors on providing feedback nor do we evaluate them on whether they do. We do not have an annual performance review process.</p>
2	<p>We recommend that supervisors provide ongoing feedback, but we do not provide training. We do not have an annual performance review process.</p>
3	<p>We encourage supervisors to provide regular feedback and most employees receive an annual performance review. No training is provided and the review is done differently by each supervisor.</p>
4	<p>Supervisors are provided with training on giving ongoing feedback and on the annual performance review process. We evaluate supervisors on their skill in giving regular feedback. We have a standardized annual performance review process that includes an assessment of job performance and expected behaviors. The employee sets goals for the next year, and identifies areas for development.</p>
5	Not applicable

5.12 SKILL AND EXPERIENCE OF PERSONNEL	
<p>Does the organization have personnel with the right levels of skill and experience in higher risk areas such as finance, information technology and direct service roles like social work or health professionals? Do these personnel have opportunities for continuing education and professional development?</p>	
1	<p>Some of the personnel in these high-risk areas do not have sufficient skills or experience. We do not offer opportunities for these personnel for continuing education or professional development.</p>
2	<p>Most personnel in these high-risk areas have adequate skills and experience for routine work or situations, but may not be able to handle more complex work or situations. Opportunities for these personnel for continuing education or professional development are rare.</p>
3	<p>All of the personnel in these high-risk areas have the skills and experience needed to manage routine risks, but may not be able to handle more complex work or situations. Opportunities for these personnel for continuing education and professional development are occasionally available.</p>
4	<p>The personnel in these high-risk areas have the skills and experience to handle both routine risks and more complex work or situations. Opportunities for these personnel for continuing education and professional development are regularly available.</p>
5	Not applicable

5.13 STAFF COMPENSATION	
<p>Does your organization have an overall compensation strategy that includes:</p> <p>1) A review of comparative salary and benefit data, at least for the nonprofit sector;</p> <p>2) A policy or clear statement of where you want your salaries and benefits to be relative to the market (nonprofit or for-profit);</p> <p>3) Where possible based on size, laddering of skill and pay levels that allow employees to progress in pay as they progress in skill level;</p> <p>4) Consideration of a minimum pay level that provides a living wage in your community?</p> <p>AND</p> <p>Have your compensation structure and salary levels been reviewed in the last two years?</p>	
1	We do not have an overall compensation strategy including any of these elements.
2	We have a compensation strategy that covers one of the first two items but not both. It has not been reviewed in the last two years.
3	We have a compensation strategy that includes both the first two elements. We have not considered either of the others. The strategy has not been reviewed in the last two years.
4	We have a compensation strategy that covers both the first two elements. Where we have the means, we have ladder skill levels and pay to allow for progression. We are committed to paying a living wage in the community. Our strategy has been reviewed within the last two years.
5	Not applicable

5.14 SUCCESSION PLANNING	
<p>Note: For arts and cultural organizations that have Managing and Artistic Directors the succession process and board role needs to be in place for both positions.</p> <p>Has your organization put in place a succession plan for the executive and other key positions to help ensure that the organization would not experience loss of key information, damage to relationships or organizational failure should there be unexpected or planned turnover in key roles?</p> <p>In the case of the executive, has the board defined in advance its role and key processes in the event of an unexpected or planned departure?</p>	
1	There are no succession plans for the executive or other key personnel. The board has not decided on a process to follow in case of need to replace the executive.
2	There are no succession plans for the executive or other key personnel. The board has considered what to do in case there is an unexpected or planned departure of the executive.
3	There is a succession plan for the executive but not for other key personnel. The board has defined in advance its role and key processes in the event of an unexpected or planned departure of the executive.
4	There are succession plans for the executive and other key personnel. The board has defined its role and processes in the case of an unexpected or planned departure of the executive.
5	Not applicable

5.15 STAFFING LEVELS

Does the leadership gather outside data and seek input from staff in order to plan and adjust staffing levels? Is this done when the budget is prepared and at least mid-year?

1	There is no routine process to adjust staffing levels or to gather data or input from staff regarding staffing levels.
2	Staffing levels are sometimes considered when the budget is developed but we do not seek out data or ask for staff input.
3	We consider staffing levels at the time we prepare the budget. We base adjustments on data and input from staff.
4	We consider staffing levels when we prepare the budget and at midyear. We base adjustments on data and staff input.
5	Not applicable



501 Commons, 2016.

This work is licensed under a Creative Commons Attribution-NonCommercial-NoDerivatives 4.0 International License <http://creativecommons.org/licenses/by-nc-nd/4.0/>

501 Commons

Pacific Tower, Suite 1101, 1200 12th Avenue South, Seattle, WA 98144

info@501Commons.org • 501Commons.org