

# Agency Compliance Evaluation 2011-12

AGENCY: \_\_\_\_\_

COMPLETED BY: \_\_\_\_\_

DATE COMPLETED: \_\_\_\_\_

## STANDARD 1: ORGANIZATIONAL STRENGTH - GOVERNANCE

The board of directors and volunteer structure is of adequate size and representation and meets frequently; it is fully engaged, adaptable, and effective in providing the appropriate programmatic, financial and legal oversight and support to the organization.

Indicators	Rate how well your agency meets each indicator. Please provide explanation if you rate indicator a 2 or 3.	1 -completely meets 2 -actively in progress 3 -not at all	Relevant documentation, evaluation methodology, tangible support or proof
A	Authority and Responsibility: The agency is organized and operates according to clear lines of authority and responsibility.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	By-Laws
B	Legal Matters: The agency fulfills all legal requirements necessary or appropriate to agency operation.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	501(C)3, IRS 990, Annual Audit – Finances, Agency Audit,
C	Membership and Organization: The membership, structure, and procedures of the governing board are designed to enable the agency to effectively perform its duties.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Organizational Flow Chart
D	Board Diversity: The composition of the governing board works to reflect the diversity within the agency's geographic service area in terms of gender, race/ethnicity, and area residence.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	List of Board of Directors, interview
E	Responsibilities: The governing board carries out the functions necessary for the governance of the agency.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Regular meeting minutes and sub committees

## STANDARD 2: ORGANIZATIONAL STRENGTH - MANAGEMENT

Executive and management staff are competent, think strategically, adapt to existing circumstances, have adequate procedures and policies in place, and evoke the confidence of the agency's board, United Way, and the community in general.

Indicators	Rate how well your agency meets each indicator. Please provide explanation if you rate indicator a 2 or 3.	1 -completely meets 2 -actively in progress 3 -not at all	Relevant documentation, evaluation methodology, tangible support or proof
A	Organizational Planning: The agency has a subsequent and or multi-year financial and/or organizational plan	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Documented long range/short term (2yr) plan
B	Personnel Policies and Procedures: The agency has organizational charts, job responsibilities, and personnel policies in place that address pay and benefits	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Document
C	Position Classification and Salary Administration: Larger agencies have a position classification system and salary administration plan.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Document

D	Staff Competency: The CEO/Executive Director and staff have the qualifications and experience necessary to effectively run the agency's day-to-day operations and assist the board in developing short and long-term plans that help the agency adapt the changing circumstances	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Resume, recent training course offered by National
E	Staff Supervision, Evaluation and Retention: Larger agencies have a system of staff supervision & evaluation to develop and retain qualified staff	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Document
F	Volunteer management: The agency has a plan for effectively utilizing community volunteers	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Volunteer application, vol. list, vol. hours logged, vol. job descriptions
G	Public Relations: The agency projects a positive image in the community, including potential clients, volunteers, and donors	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Recent surveys, media, scrapbooks, comment box cards
H	Adequacy, Safety and Security: The agency's physical assets are accessible and adequate for the programs provided and are maintained in such a manner as to promote safety and security for clients, staff, guests, and agency property	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Observation, Interview, risk management plan, ratios
I	Property Management and Maintenance: The agency's facilities, grounds, and equipment are managed and maintained effectively and efficiently	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Observation, Interview, annual maintenance plan

### STANDARD 3: ORGANIZATIONAL STRENGTH - FINANCES

The agency has a good financial plan, is well resourced, has diversified funding sources, a contingency plan for meeting unexpected financial matters, and is flexible and resilient in face of external crises or challenges

Indicators	Rate how well your agency meets each indicator. Please provide explanation if you rate indicator a 2 or 3.	1 -completely meets 2 -actively in progress 3 -not at all	Relevant documentation, evaluation methodology, tangible support or proof
A	Budget Administration: The agency has policies and procedures for the preparation, administration, use, and review of the annual budget and establishes a clearly defined budget for Jennings County.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Documentation, Interview
B	Financial Measurement and Reporting: The agency monitors costs to ensure efficient and effective operation of programs and provides financial information to interested parties, particularly for decision-making purposes	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Documentation, Interview
C	Financial planning: The agency has a funding plan which provides for financial resources that will support services within the agency's mission	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Documentation
D	Fundraising Policies: The agency has fundraising policies describing the agency's responsibilities and those of employee fundraisers	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Documentation
E	Risk Management: The agency periodically assesses the amount of risk and implements appropriate measures to manage such risk	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview, documentation

**STANDARD 4: COMMUNITY IMPACT - RESPONSIVE TO COMMUNITY NEEDS**

The agency responds effectively to existing and emerging community needs, as defined by United Way or through the agency’s own documented experience

Indicators	Rate how well your agency meets each indicator. Please provide explanation if you rate indicator a 2 or 3.	1 -completely meets 2 -actively in progress 3 -not at all	Relevant documentation, evaluation methodology, tangible support or proof
A	Community Assessment: The agency has mechanisms in place to remain aware of community conditions and uses them in its program planning and assessment	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview and/or documentation
B	Inter-organizational Relationships: The agency maintains relationships with community groups, service providers, funders, and organizations	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview and/or documentation
C	Inclusiveness: The agency culture, recruitment, partnerships and other business practices demonstrate inclusiveness (i.e., includes the diversity of the community and clients to be served.) Practices promote inclusiveness in all aspects of internal and external functions	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview

**STANDARD 5: COMMUNITY IMPACT - RESULTS DRIVEN**

The agency has well-defined, measurable outcomes that are monitored and used by executive staff and the board to evaluate and improve programs and make indicated program changes

Indicators	Rate how well your agency meets each indicator. Please provide explanation if you rate indicator a 2 or 3.	1 -completely meets 2 -actively in progress 3 -not at all	Relevant documentation, evaluation methodology, tangible support or proof
A	Program Planning: All programs are needed, appropriate for the agency, and indicate intended program results	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview and/or documentation
B	Ongoing Program Planning and Evaluation: The agency develops formal plans for all programs, evaluates program implementation, and uses its findings to make program changes as appropriate	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Documentation
C	Policies and Procedures: The agency has clearly defined policies and procedures for programs	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Documentation
D	Service Delivery: The agency can articulate the method used to measure the results of service delivery, what the results were and how it is using the information from the results	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview

**Community Impact Area(s):**

Agency’s programs meet needs in the areas of:    Crisis    Education    Family    Health    FinancialStability

**Community Impact Notes:**

**STANDARD 6: United Way PARTNER**

The agency is an excellent United Way partner in meeting both the spirit and letter our agreement(s).

Indicators	Rate how well your agency meets each indicator. Please provide explanation if you rate indicator a 2 or 3.	1 -completely meets 2 -actively in progress 3 -not at all	Relevant documentation, evaluation methodology, tangible support or proof
A	Reporting: Agency submits requested reports and financial statements on time, in format requested	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Documentation
B	Legal Compliance: The agency complies with all applicable federal, state, and local laws, rules, and regulations; meets state and local standards for licensing as applicable; and satisfies the corporation laws of the State of Indiana as a not-for-profit and the Federal Internal Revenue Code	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview and Documentation
C	Financial Policies for Member Agencies: The agency complies with all requirements and conditions contained in the "Agency Handbook and "Agency Agreement"	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview
D	Inclusiveness in Service Delivery: There will be no discrimination with regard to hiring, assignment, promotion, or other considerations of employment and volunteer involvement as defined by state, federal and other applicable laws. Furthermore, the agency agrees there is to be no unlawful discrimination with regard to people who are served.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview and documentation
E	United Way Support: The agency actively supports the United Way campaign and identifies itself as a United Way partner and funded program through signage and co-branding	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview and Documentation
F	Do no harm to United Way Campaign: The agency (staff or volunteers) takes no actions to bring harm or otherwise jeopardize the success of unrestricted giving toward the UW campaign.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview
G	Board Review: The agency reviews the agreement with its governing board annually	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Interview and/or documentation
H	<b>CharityTracker:</b> The agency participates in the CT Network for shared case management of clients.	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	1- yes, 2-interested, 3- No. Explain
I	<p><b>Financial Stability:</b> The agency contributes to community effort to remove barriers to self sufficiency and keeps information current.</p> <p><b>RoadMap Outcomes-</b> As RoadMap unveils we will:</p> <ul style="list-style-type: none"> <li>a. Refer clients to FS RoadMap</li> <li>b. Provide assistance as identified in Roadmap case plan. (within services your agency provides)</li> <li>c. Mentor clients along the RoadMap case plan</li> <li>d. Actively intake &amp; assess RoadMap case plan</li> <li>e. We'd love to help beta test RoadMap! JCUW is the lead for the outcomes module, so we get the first glimpses by beta testing! We will contribute to the work necessary to determine how the module works &amp; reports.</li> </ul>	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3  <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3</li> <li>b. <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3</li> <li>c. <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3</li> <li>d. <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3</li> <li>e. <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3</li> </ul>	<p>1- We want to be a FS Partner! 2- We will refer clients only 3- None-Explain</p> <p>1- yes, 2- maybe, 3- No. <b>RoadMap Module – "Case plan"</b> Referral and outcomes system will be implemented in CharityTracker as new modules- Please indicate how your agency plans to participate.</p>