



United Way  
of Dane County

# **Nonprofit Leadership and Organizational Excellence Assessment Tool**

*Developed by:  
Agency & Volunteer Development Community Solutions Team  
United Way of Dane County*

**LIVE UNITED™**

# Leadership and Organizational Excellence Assessment Tool

*All of us working on the United Way of Dane County Agency and Volunteer Development Community Solution Team are proud to support the work of nonprofit agencies by providing resources, support, and opportunities for agency and leadership development. We are excited to share with you our enhanced organizational assessment tool. It has been completely and thoughtfully updated and refreshed to provide you with a tool that will enable you to increase your effectiveness and advance your mission by identifying strengths and areas to improve for your agency and compared to best practices.*

Thank you for choosing to use the Leadership and Organizational Excellence Assessment Tool to assess and strengthen your nonprofit agency. You are taking the first step towards organizational excellence!

## **Background:**

This Leadership and Organizational Assessment Tool is intended to be used to take a constructive step toward strengthening your non-profit agency. It allows you to step back and take stock of your agency's performance by examining it against the best practices associated with a wide variety of operational activities. This self analysis can be the launching point for a planned change effort. It can help in identifying where your agency's performance meets or exceeds best practices as well as areas where attention is needed to improve performance. A prioritized list of critical performance weaknesses can be the substance of a concerted effort by agency leadership and staff to implement needed changes within agreed upon timelines.

In addition to this Leadership and Organizational Assessment Tool, you can access these additional developmental tools and resources to help in your journey toward leadership and organizational excellence (details for each of these are located at the back of this document):

- **Board of Directors Self-evaluation Checklist**
- **Leadership Performance Feedback Survey**
- **Training for Board of Directors**
- **Training for Executive Directors**
- **Volunteer Management and Development**
- **Resource Library**

## **Here's how this assessment is organized...**

- First, you will find a brief background and introduction of the process.
- Then the assessment will begin on page 3 where you will find best practices divided into 13 categories of which you will rate your agency's strength.
  - Be sure to take the time to tabulate your ratings and reflect on each section.
- Once you are finished with the assessment, your next steps will be to create an action plan to address areas of improvement for your agency.
- The next steps are outlined on page 28.

If you have any questions along the way, please contact the United Way Volunteer Center at (608)-246-4380.

**The Leadership and Organizational Excellence Assessment Tool is broken down into 13 categories:**

- |                                  |                                                                     |
|----------------------------------|---------------------------------------------------------------------|
| 1. <b>Governance</b>             | 9. <b>Consumer Awareness &amp; Responsiveness</b>                   |
| 2. <b>Legal</b>                  | 10. <b>Volunteer Management</b>                                     |
| 3. <b>Organizational Culture</b> | 11. <b>Planning, Evaluation &amp; Continuous Agency Improvement</b> |
| 4. <b>Human Resources</b>        | 12. <b>Fundraising &amp; Revenue Generation</b>                     |
| 5. <b>Diversity</b>              | 13. <b>Marketing</b>                                                |
| 6. <b>Fiscal</b>                 |                                                                     |
| 7. <b>Information Technology</b> |                                                                     |
| 8. <b>Programs</b>               |                                                                     |

*This tool was developed with inspiration from United Way of Minneapolis and the UW Extension.*

## How to use this Assessment Tool:

While the Executive Director leads in the completion of the tool, having staff/board members/volunteers contribute their input by completing the tool will broaden the scope of the data collected and increase ownership in the findings and the subsequent improvement process.

### ***How to complete the assessment:***

1. For each best practice, check **Excelling, Advancing, Developing or N/A**

**Excelling:** Performance meets or exceeds the best practice

**Advancing:** Performance is short of the best practice but steps have been taken to achieve the practice in the near future.

**Developing:** Performance is short of the best practice and help is needed to initiate progress toward the practice.

2. Tally the number of responses you had at the bottom of each section
3. Write some *Reflections* or *Notes* for the section about a particular area from that section on which you, or areas in which your agency is excelling. If you checked N/A for any item, this is also the place to indicate why this practice does not apply to your agency.
4. Transfer the section totals to page 31 to get an overview of the areas in which your agency is doing well and areas for improvement.
5. Once all the “Developing” areas have been identified, you are in a position to select the most critical and then, with the help of affected stakeholders, design and implement an improvement plan to have performance meet or exceed the best practices.

*Note:* Throughout this document:

- “Agency” refers to community-based organization or non-profit agency
- “Board” refers to the Board of Directors

Now you are ready to begin the assessment!

## I – GOVERNANCE

| E = Excelling A = Advancing D = Developing N/A = Not Applicable                                                                                                                                                                                                                             | E | A | D | N/A |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The roles of the Board and Executive Director are clearly defined and respected.                                                                                                                                                                                                         | 0 | 0 | 0 | 0   |
| 2. The Executive Director is recruited, selected and employed by the Board of Directors. The Board provides clear written expectations and qualifications for the position, as well as competitive compensation.                                                                            | 0 | 0 | 0 | 0   |
| 3. The agency ensures that it's Board and advisory committee members both represent diverse interests and perspectives, and have the skills, experience and dedication to advance the agency's mission, and has in place a system for recruiting members for such purposes.                 | 0 | 0 | 0 | 0   |
| 4. The agency adopts written bylaws including but not limited to: notices for Board of Directors meetings, election or appointment of directors to the Board, number of directors required for quorum, and directors' terms of office, rotation (if any), and process for director removal. | 0 | 0 | 0 | 0   |
| 5. The organization maintains a conflict of interest policy and all board members and appropriate staff review and/or sign to acknowledge and comply with the policy.                                                                                                                       | 0 | 0 | 0 | 0   |
| 6. The agency ensures that a quorum is present at Board meetings when it takes action, and keeps minutes of all Board meetings, including attendance.                                                                                                                                       | 0 | 0 | 0 | 0   |
| 7. New board members are oriented to the organization, including the organization's mission, bylaws, policies, programs, key stakeholders, as well as their roles and responsibilities as board members.                                                                                    | 0 | 0 | 0 | 0   |
| 8. The agency has written policies describing the Board's responsibility and role in setting policy, and the executive director's role in implementing policy and managing the agency.                                                                                                      | 0 | 0 | 0 | 0   |
| 9. The board has a process for handling urgent matters between meetings.                                                                                                                                                                                                                    | 0 | 0 | 0 | 0   |
| 10. The agency utilizes advisory committees and activities if appropriate.                                                                                                                                                                                                                  | 0 | 0 | 0 | 0   |
| 11. The agency's Board has a clear process to obtain staff input for its decision-making. Such processes and decisions are evaluated and used for continues agency improvement.                                                                                                             | 0 | 0 | 0 | 0   |
| 12. The agency's Board has a process to evaluate its effectiveness, and regularly (at least triennially) conducts such evaluation.                                                                                                                                                          | 0 | 0 | 0 | 0   |

13. The agency's Board regularly (at least annually) evaluates the performance of the chief executive officer.

0 0 0 0

Tabulate your ratings on the next page →

### Tabulation & Reflection

| E = Excelling A = Advancing D = Developing N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Governance Section                             |   |   |   |     |

Take a few minutes to reflect on:

*Areas where your agency is Excelling:*

*Areas where your agency needs to Develop or Advance:*

## II – LEGAL

| E = Excelling A = Advancing D = Developing N/A = Not Applicable                                                                                                                                                                                                                                                                                                                                                   |  |  |  |  | E | A | D | N/A |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|---|---|---|-----|
| 1. The agency files all required forms with the internal Revenue Service (IRS) accurately and on time, including without limitation:<br>___ Annual IRS Form 990 or Form 990-N (“e-Postcard”), as applicable<br>___ Employment tax returns (IRS Form 941, and W-2, and Wis Forms WT-4, WT-4A and WT-11)<br>___ Unemployment tax returns (IRS Form 940, Wis Form UCT-101)<br>___ Sales tax returns (Wis Form ST-12) |  |  |  |  | 0 | 0 | 0 | 0   |
| 2. The agency files all required documents with the Wisconsin Department of Financial Institutions including: articles of incorporation, annual reports, and change of registered agent and registered office.                                                                                                                                                                                                    |  |  |  |  | 0 | 0 | 0 | 0   |
| 3. The agency has filed with the Wisconsin Department of Safety and Professional Services as a charitable organization (as applicable) and files annual reports (as applicable) to report any fundraising.                                                                                                                                                                                                        |  |  |  |  | 0 | 0 | 0 | 0   |
| 4. Agency staff and officers disclose to the board all threatened and pending lawsuits and litigation against the agency.                                                                                                                                                                                                                                                                                         |  |  |  |  | 0 | 0 | 0 | 0   |
| 5. The agency, prior to conducting lobbying in Wisconsin, registers with the Wisconsin Ethics Board and files reports, if required.                                                                                                                                                                                                                                                                               |  |  |  |  | 0 | 0 | 0 | 0   |
| 6. The agency has a conflict of interest policy or procedures that are reviewed annually with Board members and officers.                                                                                                                                                                                                                                                                                         |  |  |  |  | 0 | 0 | 0 | 0   |
| 7. The agency complies with provisions of the Americans with Disabilities Act (ADA). Staff periodically assess and ensures agency compliance.                                                                                                                                                                                                                                                                     |  |  |  |  | 0 | 0 | 0 | 0   |
| 8. The agency conducts periodic risk assessment of its facilities and operations.                                                                                                                                                                                                                                                                                                                                 |  |  |  |  | 0 | 0 | 0 | 0   |
| 9. The agency annually reviews insurance coverage to ensure that the agency is protected in the appropriate amount and scope, and reports recommendations to the board.                                                                                                                                                                                                                                           |  |  |  |  | 0 | 0 | 0 | 0   |
| 10. The agency retains copies all written contracts, including contracts with funding sources, maintenance and service providers.                                                                                                                                                                                                                                                                                 |  |  |  |  | 0 | 0 | 0 | 0   |

|                                                                                                                                                                                                                                                                         |   |   |   |   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 11. The agency retains copies of written agreements on file if it operates under a fiscal agency or fiscal sponsorship relationship with another agency.                                                                                                                | 0 | 0 | 0 | 0 |
| 12. The agency's personnel policies and employee handbooks are reviewed by legal counsel to insure compliance with applicable local, state and federal, employment laws, and agency supervisors, managers and directors receive training on compliance with those laws. | 0 | 0 | 0 | 0 |

Tabulate your ratings on the next page →

### Tabulation & Reflection

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Legal Section                                        |   |   |   |     |

Take a few minutes to reflect on:

*Areas where your agency is Excelling:*

*Areas where your agency needs to Develop or Advance:*

Tabulate your ratings on the next page →

### III – ORGANIZATIONAL CULTURE

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable                                          | E | A | D | N/A |
|----------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency has a written mission statement that is understood by all management, staff and volunteers.      | 0 | 0 | 0 | 0   |
| 2. The agency has created a written list of values which guides how the mission of the agency is accomplished. | 0 | 0 | 0 | 0   |
| 3. The values are evidenced in everything that the agency does.                                                | 0 | 0 | 0 | 0   |
| 4. The agency has a deep appreciation for the impact of volunteers in support of their mission.                | 0 | 0 | 0 | 0   |

#### Tabulation & Reflection

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------------|---|---|---|-----|
| <i>Total Ratings on Organizational Culture Section</i>                |   |   |   |     |

**Take a few minutes to reflect on:**

*Areas where your agency is Excelling:*

*Areas where your agency needs to Develop or Advance:*

## IV – HUMAN RESOURCES

| <b>E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable</b>                                                                                                                                                                                                                                                          | <b>E</b> | <b>A</b> | <b>D</b> | <b>N/A</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|------------|
| 1. The agency keeps on file written up-to-date job descriptions of all its staff positions including qualifications, duties, reporting relationship and key performance indicators                                                                                                                                                    | 0        | 0        | 0        | 0          |
| 2. The agency conducts orientation programs for new employees.                                                                                                                                                                                                                                                                        | 0        | 0        | 0        | 0          |
| 3. The agency provides supervision, training and support to assure that all staff can perform competently.                                                                                                                                                                                                                            | 0        | 0        | 0        | 0          |
| 4. The agency facilitates continuing education and training opportunities to upgrade the work of performance of employees. The organization is committed to professional growth and development of all employees.                                                                                                                     | 0        | 0        | 0        | 0          |
| 5. The agency formally evaluates all employees in writing at least once a year. Copies of all performance evaluations are filed appropriately in personnel records.                                                                                                                                                                   | 0        | 0        | 0        | 0          |
| 6. The agency adheres to maintain a non-discrimination policy, which applies to all volunteers, staff, and consumers.                                                                                                                                                                                                                 | 0        | 0        | 0        | 0          |
| 7. The agency distributes a current personnel practices manual or employee handbook to each staff member at the time of employment. The handbook's content covers pertinent rules, regulations, hours, other conditions of employment and benefits. The agency reviews the manual annually and provides updates to each staff member. | 0        | 0        | 0        | 0          |
| 8. The agency periodically reviews employees' salaries and benefits in order to be competitive within the marketplace.                                                                                                                                                                                                                | 0        | 0        | 0        | 0          |
| 9. The agency periodically reviews professional licensing requirements and related skills training and opportunities for staff.                                                                                                                                                                                                       | 0        | 0        | 0        | 0          |

|                                                                                                                                                                                                                                                                                       |   |   |   |   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 10. The agency evaluates each volunteer position, determines which positions require background checks, and defines the level of background check that is required.                                                                                                                   | 0 | 0 | 0 | 0 |
| 11. The agency has adopted procedures to ensure that background checks are conducted consistently on all applicants for a position that requires background checks.                                                                                                                   | 0 | 0 | 0 | 0 |
| 12. The agency has documented appropriate leadership qualities and expectations needed to achieve organizational excellence.                                                                                                                                                          | 0 | 0 | 0 | 0 |
| 13. The agency has a process for reviewing and responding to ideas, suggestions, comments, and perceptions from all staff members.                                                                                                                                                    | 0 | 0 | 0 | 0 |
| 14. The agency rewards and recognizes the employee contributions tied to performance.                                                                                                                                                                                                 | 0 | 0 | 0 | 0 |
| 15. The agency performs volunteer performance appraisals periodically and communicates to volunteers how they are doing.                                                                                                                                                              | 0 | 0 | 0 | 0 |
| 16. The agency recognizes the work of volunteers through specific programs or other commendations.                                                                                                                                                                                    | 0 | 0 | 0 | 0 |
| 17. The staff, officers and directors of the agency receive periodic training to ensure full compliance with all applicable laws and regulations regarding discrimination.                                                                                                            | 0 | 0 | 0 | 0 |
| 18. The agency has an up-to-date diversity plan.                                                                                                                                                                                                                                      | 0 | 0 | 0 | 0 |
| 19. The agency establishes a clear conflict of interest policy for employees that requires the disclosure of direct or indirect financial interest that might benefit the private interest of the employee when they enter into a transaction or arrangement on behalf of the agency. | 0 | 0 | 0 | 0 |
| 20. The agency adopts a Whistle Blower policy with protections for staff who report suspected violations of the agency's policies or applicable laws.                                                                                                                                 | 0 | 0 | 0 | 0 |
| 21. The agency operates with the highest degree of ethics and integrity, and sets the expectation and provides the environment to support the fact that is every employee's responsibility to bring to leadership's attention any matters which are not consistent with the policies. | 0 | 0 | 0 | 0 |
| 22. The agency provides a process for soliciting, reviewing and responding to input from staff regarding the agency's activities.                                                                                                                                                     | 0 | 0 | 0 | 0 |

### Tabulation & Reflection

| E = Excelling A = Advancing D = Developing N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Human Resources Section                        |   |   |   |     |

Take a few minutes to reflect on:

Areas where your agency is Excelling:

Areas where your agency needs to Develop or Advance:

## V – DIVERSITY

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable                                                                                                                                                                      | E | A | D | N/A |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency has an up-to-date diversity plan. The plan relates to (check all that apply):<br><div> <div>___ staff</div> <div>___ volunteers</div> <div>___ board of directors</div> <div>___ clients</div> <div>___ vendors</div> </div> | 0 | 0 | 0 | 0   |
| 2. The agency has discreet diversity objectives and related measurements and indicators.                                                                                                                                                   | 0 | 0 | 0 | 0   |
| 3. The agency conducts diversity and inclusiveness training for staff and/or volunteers.                                                                                                                                                   | 0 | 0 | 0 | 0   |
| 4. The agency regularly reviews and updates the plan.                                                                                                                                                                                      | 0 | 0 | 0 | 0   |
| 5. The agency's board is involved in developing and approving the diversity and inclusiveness processes.                                                                                                                                   | 0 | 0 | 0 | 0   |
| 6. The agency welcomes diversity in people, ideas, race, cultures, opinions, abilities, beliefs, etc.                                                                                                                                      | 0 | 0 | 0 | 0   |

### Tabulation & Reflection

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Diversity Section                                    |   |   |   |     |

**Take a few minutes to reflect on:**

*Areas where your agency is Excelling:*

*Areas where your agency needs to Develop or Advance:*

## VI – FISCAL

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable                                                                                                                                                                                  | E | A | D | N/A |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency leadership is highly accountable and embraces their role as stewards ensuring cost effectiveness and efficiencies within the agency and their community outreach.                                                                        | 0 | 0 | 0 | 0   |
| 2. The agency's Board formally adopts an annual operating budget that is based on the agency's objectives.                                                                                                                                             | 0 | 0 | 0 | 0   |
| 3. The Board, at least quarterly, reviews the agency's financial statements. These statements include at a minimum a balance sheet, a statement of support, agency revenue and expenses, and a statement of changes in fund balances.                  | 0 | 0 | 0 | 0   |
| 4. The agency ensures that its accounting system complies with Generally Accepted Accounting Principle (GAAP).                                                                                                                                         | 0 | 0 | 0 | 0   |
| 5. The agency arranges for annual financial audit by an outside auditing firm if required, or arranges for an informal audit by an independent person (such as by another agency). The agency shares the results of its audit with the agency's Board. | 0 | 0 | 0 | 0   |
| 6. The agency develops and adopts an annual capital budget based on documented maintenance, replacement and/or development needs.                                                                                                                      | 0 | 0 | 0 | 0   |
| 7. The agency develops and measures performance against a comprehensive operating budget, which includes revenue from all sources of funding, expenses and costs for all programs, management, staff and all other operating expenses.                 | 0 | 0 | 0 | 0   |
| 8. The agency installs internal controls, including appropriate separation of duties, to ensure safekeeping of all its assets.                                                                                                                         | 0 | 0 | 0 | 0   |

9. The agency has systems in place to provide the appropriate information needed by staff and board to make timely and sound financial decisions.

0 0 0 0

Tabulate your ratings on the next page →

### Tabulation & Reflection

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Fiscal Section                                       |   |   |   |     |

Take a few minutes to reflect on:

*Areas where your agency is Excelling:*

*Areas where your agency needs to Develop or Advance:*

## VII – INFORMATION TECHNOLOGY

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable                                                                                                                                                                      | E | A | D | N/A |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency purchases licensed software, is adequately trained, and installs appropriate security, back-up software and processes on its technology to prevent document loss, data corruption or inappropriate access.                   | 0 | 0 | 0 | 0   |
| 2. The agency has a network with shared printer(s), shared Internet access via cable/DSL and a dedicated file server if the agency has more than four computers.                                                                           | 0 | 0 | 0 | 0   |
| 3. The agency has appropriate support to maintain and upgrade all computer equipment, software, etc. to maintain and improve agency services.                                                                                              | 0 | 0 | 0 | 0   |
| 4. The agency has minimum standards for donations of any computer equipment, software, printers, services, etc.                                                                                                                            | 0 | 0 | 0 | 0   |
| 5. The agency has a written technology plan.                                                                                                                                                                                               | 0 | 0 | 0 | 0   |
| 6. The agency has designated the responsibility for technology leadership to a specific individual who is accountable for the strategic positioning of IT within the organization, and the execution and implementation of the technology. | 0 | 0 | 0 | 0   |
| 7. The agency's technology infrastructure is safe, fast, and secure.                                                                                                                                                                       | 0 | 0 | 0 | 0   |
| 8. The agency has taken reasonable measures to prevent any privacy or security breaches on the network, and to prevent identify theft, hacking or other intrusion.                                                                         | 0 | 0 | 0 | 0   |

|                                                                                                                                                          |   |   |   |   |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 9. The agency's website is well maintained and updated.                                                                                                  | 0 | 0 | 0 | 0 |
| 10. The agency utilizes mobile technology to connect with each other, volunteers, program participants and within the community.                         | 0 | 0 | 0 | 0 |
| 11. The agency has a disaster recovery plan.                                                                                                             | 0 | 0 | 0 | 0 |
| 12. The agency views technology as an enabler within the agency.                                                                                         | 0 | 0 | 0 | 0 |
| 13. The agency invests in technology that supports strategic priorities.                                                                                 | 0 | 0 | 0 | 0 |
| 14. The agency is proactive in utilizing technology to achieve and accomplish their mission and in serving, connecting and informing their constituents. | 0 | 0 | 0 | 0 |

Tabulate your ratings on the next page →

### Tabulation & Reflection

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Information Technology Section                       |   |   |   |     |

Take a few minutes to reflect on:

*Areas where your agency is Excelling:*

*Areas where your agency needs to Develop or Advance:*

## VIII – PROGRAMS

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable                                                                                                                                                                           | E | A | D | N/A |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency's programming objectives are in line with the agency's mission.                                                                                                                                                                   | 0 | 0 | 0 | 0   |
| 2. The agency uses objective data from a variety of sources to develop its service programs. These sources include, but are not limited to, needs/community assessments, research findings, outcomes data, best practices and/or best evidence. | 0 | 0 | 0 | 0   |
| 3. The agency ensures that its grant-funded budgets cover the cost of program activities, the cost of staff assigned to those activities, and if allowed by the grant, allocations for administration and overhead costs.                       | 0 | 0 | 0 | 0   |
| 4. The agency defines and uses clear units-of-services for each area of services that it provides. Some examples of units-of-service might include trips, counseling hours or persons counseled, attendance, meals provided, and so on.         | 0 | 0 | 0 | 0   |
| 5. The agency has a process to review current programs to ensure they are relevant.                                                                                                                                                             | 0 | 0 | 0 | 0   |
| 6. The agency has a process to get input data and feedback regarding the needs of the community and what programs are needed most.                                                                                                              | 0 | 0 | 0 | 0   |
| 7. The agency takes initiative to collaborate with other organizations to maximize their collective impact.                                                                                                                                     | 0 | 0 | 0 | 0   |

Tabulate your ratings on the next page →

### Tabulation & Reflection

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------------|---|---|---|-----|
| <i>Total Ratings on Programs Section</i>                              |   |   |   |     |

**Take a few minutes to reflect on:**

*Areas where your agency is Excelling:*

|  |
|--|
|  |
|--|

*Areas where your agency needs to Develop or Advance:*

## IX – CONSUMER AWARENESS AND RESPONSIVENESS

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable                                                                                                                                                                                                                                                    | E | A | D | N/A |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency develops objectives of how it will communicate with its various stakeholders. It uses those objectives to develop a communications plan to publicize its mission, purposes, programs, and achievements. The agency uses its annual report to communicate with its consumers as well as the general public. | 0 | 0 | 0 | 0   |
| 2. The agency provides opportunities and easy procedures for consumers to provide input to the development and deliver of its programs.                                                                                                                                                                                  | 0 | 0 | 0 | 0   |
| 3. The agency develops straightforward procedures and instruments for consumers and organizations that it serves to evaluate its services annually.                                                                                                                                                                      | 0 | 0 | 0 | 0   |

4. Evaluation feedback is analyzed and incorporated into planning future activities.

0 0 0 0

### Tabulation & Reflection

| E = Excelling A = Advancing D = Developing N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Consumer Awareness and Responsiveness Section  |   |   |   |     |

Take a few minutes to reflect on:

Areas where your agency is Excelling:

Areas where your agency needs to Develop or Advance:

## X – VOLUNTEER MANAGEMENT

| E = Excelling A = Advancing D = Developing N/A = Not Applicable                                                                                                                                                                                                          | E | A | D | N/A |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency designates a staff person or a volunteer as a coordinator to oversee the agency's volunteer program                                                                                                                                                        | 0 | 0 | 0 | 0   |
| 2. The agency's volunteer coordinator, as well as other staff who work with volunteers, receive training in volunteer management skills, and understand their roles related to working with volunteers.                                                                  | 0 | 0 | 0 | 0   |
| 3. The agency annually evaluates its needs for and use of volunteers, the impact that volunteers have on meeting needs, and reports this information to relevant constituents. This information is also used in budget development and in the agency's planning process. | 0 | 0 | 0 | 0   |
| 4. The Volunteer Program has these processes in place:                                                                                                                                                                                                                   | 0 | 0 | 0 | 0   |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |   |   |   |   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| <input type="checkbox"/> Develops job descriptions for all volunteer positions<br><input type="checkbox"/> Gives Volunteers an orientation to the agency, its mission and programs<br><input type="checkbox"/> Provides feedback to volunteers on their performance and gets feedback from volunteers on their experiences.<br><input type="checkbox"/> Provides necessary work-space, equipment and supplies<br><input type="checkbox"/> Recognizes volunteers for their work<br><input type="checkbox"/> Involves volunteers in appropriate agency events, meetings, and training<br><input type="checkbox"/> Maintains pertinent records on all volunteers |   |   |   |   |
| 5. The agency maintains a volunteer handbook that provides:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 0 | 0 | 0 | 0 |
| <input type="checkbox"/> Information on the agency<br><input type="checkbox"/> Contact information for key personnel<br><input type="checkbox"/> An outline of general expectations for volunteer behavior (dress, communication, etc.)<br><input type="checkbox"/> A clear explanation of grounds for excusing a volunteer (additional job-specific information can be added to job descriptions)<br><input type="checkbox"/> A volunteer grievance procedure                                                                                                                                                                                                |   |   |   |   |
| 6. The agency evaluates each volunteer position, determines which positions require background checks, and defines the level of background check that is required.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | 0 | 0 | 0 | 0 |
| 7. The agency has adopted procedures to ensure that background checks are conducted consistently on all applicants for a volunteer position that requires background checks.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 0 | 0 | 0 | 0 |
| 8. The agency provides opportunities for volunteers to move into other volunteer positions within the agency.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 0 | 0 | 0 | 0 |
| 9. To the extent possible, the agency collects feedback from volunteers when they leave the agency. A written summary of this information is maintained and is incorporated into periodic agency evaluation                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 0 | 0 | 0 | 0 |
| 10. The agency follows a recruitment policy that does not discriminate but respects, encourages and represents the diversity of the community.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 0 | 0 | 0 | 0 |

Tabulate your ratings on the next page →

### Tabulation & Reflection

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Volunteer Management Section                         |   |   |   |     |

Take a few minutes to reflect on:

Areas where your agency is Excelling:

Areas where your agency needs to Develop or Advance:

**XI – PLANNING, EVALUATION, AND CONTINUOUS AGENCY DEVELOPMENT**

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable                                                                                                                                                  | E | A | D | N/A |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency undertakes periodic review of its vision, mission, guiding goals, and major programmatic activities. The agency uses this process to analyze its opportunities and challenges, strengths and weaknesses. | O | O | O | O   |

|                                                                                                                                                                                                                                                                                                                           |   |   |   |   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 2. The agency establishes or confirms its goals and measures of success on an annual basis. (Example: goals with measures: serve X meals, provide X rides, raise X dollars.)                                                                                                                                              | 0 | 0 | 0 | 0 |
| 3. The agency establishes or confirms its strategies for meeting its goals on an annual basis. (Example strategies: host a fundraiser, negotiate agreement with a food pantry, recruit volunteer drives, develop new program to meet needs of X.)                                                                         | 0 | 0 | 0 | 0 |
| 4. The agency bases its budget priorities on its mission, strategies and goals and on a realistic understanding of revenue and funding possibilities.                                                                                                                                                                     | 0 | 0 | 0 | 0 |
| 5. The agency's proposed annual budget is presented prior to the start of a fiscal year for Board or committee deliberation and adoption.                                                                                                                                                                                 | 0 | 0 | 0 | 0 |
| 6. The agency identifies and documents the outcomes and impacts that it expects its programs to have on its consumers and their communities.                                                                                                                                                                              | 0 | 0 | 0 | 0 |
| 7. The agency routinely evaluates its programs and processes. The agency selects an evaluation method or methods that maximize the range of stakeholder voices and input sources including, for example, surveys, planning groups, advisory boards, task forces, and exploring existing best practices and best evidence. | 0 | 0 | 0 | 0 |
| 8. New programmatic activities result from needs assessments and incorporate appropriate planning testing and implementation steps.                                                                                                                                                                                       | 0 | 0 | 0 | 0 |

Tabulate your ratings on the next page →

### Tabulation & Reflection

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable            | E | A | D | N/A |
|----------------------------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Planning, Evaluation, and Continuous Agency Development Section |   |   |   |     |

Take a few minutes to reflect on:

*Areas where your agency is Excelling:*

*Areas where your agency needs to Develop or Advance:*

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## XII – FUNDRAISING AND REVENUE GENERATION

| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable                                                                      | E | A | D | N/A |
|--------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|-----|
| 1. The agency raises funds in a legal manner and uses them for activities that consistent with its mission, strategic plan and objectives. | 0 | 0 | 0 | 0   |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |   |   |   |   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 2. The Board takes responsibility for all activities that generate financial support for the agency, including their planning, policy-setting, practices and goals.                                                                                                                                                                                                                                                                                                                                                                                           | 0 | 0 | 0 | 0 |
| 3. The agency staffs and finances its fundraising program at a level that is consistent with fundraising expectations.                                                                                                                                                                                                                                                                                                                                                                                                                                        | 0 | 0 | 0 | 0 |
| 4. The agency works for a balance between diversifying its sources of funding and keeping the number of sources manageable. The agency seeks sources that make multi-year funding commitments.                                                                                                                                                                                                                                                                                                                                                                | 0 | 0 | 0 | 0 |
| 5. The agency provides annual reports on fundraising activities and programmatic impacts.                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 0 | 0 | 0 | 0 |
| 6. The agency files all required documents filed with the Department of Regulation and Licensing relating to solicitation of charitable contributions (the Charitable Organization Registration Statement and the Charitable Organization Annual Report).                                                                                                                                                                                                                                                                                                     | 0 | 0 | 0 | 0 |
| 7. The agency, if it uses outside parties to raise funds, ensures that the reputation of the revenue-generating subsidiary or partner is exemplary, and that its fundraising philosophy is consistent with the agency's mission. The agency ensures that a written agreement exists with the outside party. The agency maintains oversight and accountability for all fundraising that is done in its name. The agency verifies that its professional fundraiser (or fundraising counsel) is registered with the WI Department of Registration and Licensing. | 0 | 0 | 0 | 0 |
| 8. The agency furnishes donors with written acknowledgment of the receipt of donations in compliance with IRS requirements (at least annually).                                                                                                                                                                                                                                                                                                                                                                                                               | 0 | 0 | 0 | 0 |

Tabulate your ratings on the next page →

### Tabulation & Reflection

| E = Excelling A = Advancing D = Developing N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------|---|---|---|-----|
| Total Ratings on Fundraising and Revenue Generation Section     |   |   |   |     |

**Take a few minutes to reflect on:**

*Areas where your agency is Excelling:*

*Areas where your agency needs to Develop or Advance:*

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### XIII – MARKETING

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E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable

E   A   D   N/A

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|                                                                                                                                                                         |   |   |   |   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 1. The agency, at least annually, reviews and updates all of its marketing information to ensure consistency, clarity and accuracy in its image and marketing messages. | 0 | 0 | 0 | 0 |
| 2. The agency uses a variety of media (Example: brochures, newsletters, website, social media, etc.) to highlight its key services and programs to the general public.  | 0 | 0 | 0 | 0 |
| 3. The agency has a designated person responsible for preparing and distributing news releases as well as responding to media requests.                                 | 0 | 0 | 0 | 0 |
| 4. The agency has a strategy to support multiple touch points to target audience/s.                                                                                     | 0 | 0 | 0 | 0 |
| 5. The agency's website is current, well maintained, and makes a positive impression.                                                                                   | 0 | 0 | 0 | 0 |
| 6. The organization has an annual marketing plan that recognizes the organization's target audience/s and is in line with a set budget.                                 | 0 | 0 | 0 | 0 |
| 7. The agency has a process to get feedback from its audiences.                                                                                                         | 0 | 0 | 0 | 0 |
| 8. The agency's brand and marketing message is consistent across all marketing tools used.                                                                              | 0 | 0 | 0 | 0 |
| 9. The agency has a process to determine which projects should be done in house and which should be outsourced.                                                         | 0 | 0 | 0 | 0 |
| 10. The staff members of the agency are aware of and support marketing efforts.                                                                                         | 0 | 0 | 0 | 0 |
| 11. The agency has a proactive process for anticipating trends and consumer behaviors.                                                                                  | 0 | 0 | 0 | 0 |

Tabulate your ratings on the next page →

### Tabulation & Reflection

|                                                                       |   |   |   |     |
|-----------------------------------------------------------------------|---|---|---|-----|
| E = Excelling   A = Advancing   D = Developing   N/A = Not Applicable | E | A | D | N/A |
|-----------------------------------------------------------------------|---|---|---|-----|

Total Ratings on Marketing Section

|  |  |  |  |  |
|--|--|--|--|--|
|  |  |  |  |  |
|--|--|--|--|--|

**Take a few minutes to reflect on:**

*Areas where your agency is Excelling:*

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*Areas where your agency needs to Develop or Advance:*

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**Leadership and Organizational Excellence Assessment Tool  
Final Tabulation & Reflection**

Take the ratings at the end of each section and input them onto this page to get a full picture of your assessment of your agency.

|                                                                                           |                                                                                                           |                                                                                                                            |
|-------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|
| <b>I. Governance</b><br>Excelling ____<br>Advancing ____<br>Developing ____               | <b>VI. Fiscal</b><br>Excelling ____<br>Advancing ____<br>Developing ____                                  | <b>XI. Planning, Evaluation &amp; Continuous Agency Improvement</b><br>Excelling ____<br>Advancing ____<br>Developing ____ |
| <b>II. Legal</b><br>Excelling ____<br>Advancing ____<br>Developing ____                   | <b>VII. Information Technology</b><br>Excelling ____<br>Advancing ____<br>Developing ____                 | <b>XII. Fundraising &amp; Revenue Generation</b><br>Excelling ____<br>Advancing ____<br>Developing ____                    |
| <b>III. Organizational Culture</b><br>Excelling ____<br>Advancing ____<br>Developing ____ | <b>VIII. Programs</b><br>Excelling ____<br>Advancing ____<br>Developing ____                              | <b>XIII. Marketing</b><br>Excelling ____<br>Advancing ____<br>Developing ____                                              |
| <b>IV. Human Resources</b><br>Excelling ____<br>Advancing ____<br>Developing ____         | <b>IX. Consumer Awareness &amp; Responsiveness</b><br>Excelling ____<br>Advancing ____<br>Developing ____ |                                                                                                                            |
| <b>V. Diversity</b><br>Excelling ____<br>Advancing ____<br>Developing ____                | <b>X. Volunteer Management</b><br>Excelling ____<br>Advancing ____<br>Developing ____                     |                                                                                                                            |

Continue to the next page to begin planning your next steps →

## Leadership and Organizational Excellence Assessment Tool

### Next Steps

Now that your agency has completed this assessment tool, you are in an ideal position to take these next steps.

Refer back to your notes and scores.

1. **Review, reflect and celebrate** those areas in which your agency is “*Excelling*” and share your successes in these areas with your board, staff and volunteers.
2. **Prioritize** the list of areas identified as “*Developing & Advancing*” and select from among the most critical issues as a manageable number (3-4) to be addressed within a reasonable timeline (6-12 months).
3. With the involvement of stakeholders, **develop specific action steps** to address these areas (in #2) and raise the agency’s performance to the “*Excelling*” level. (See below for a sample of an action plan.)

**4. NOTE - This area will be completed once we finalize our new Consulting Services referral processes. Another AVD Committee is working on this process**

For additional help designing or implementing your plan, consider engaging the skills of a consultant (pro bono or paid).

- Volunteer consultants can be recruited via [www.VolunteerYourTime.org](http://www.VolunteerYourTime.org) using the “Lead” tab.
- Contact Madison Area Business Consultants.....
- Seek resources through your board, volunteers or other constituents.

#### Sample Action Plan

Developing Issue: The agency conducts orientations for new board members, informs them of their rights and responsibilities, and provides written job descriptions and other documentation. (Best Practice #7 under Governance)

#### Action Plan:

1. A joint Board and staff ad hoc committee will be appointed whose purpose will be to develop an orientation program for new Board members. It is recommended that this orientation program should include written “talking points”, a packet of information which could include but not limited to newsletters, agency bylaws, and a job description for Board members.
2. New Board members will be notified of any relevant training programs offered by the United Way of Dane County and new members will be encouraged to attend.
3. New Board members will be invited to attend agency events/programs in order to acquaint them with the day to day operations of the agency.
4. All Board members will be offered refresher orientation programs in order to keep all members up-to-date with agency activities.

Questions?  
Contact Kathy Martinson  
(608)-246-4356



## Additional Resources and Tools

In addition to this Leadership and Organizational Assessment Tool, you can access additional development tools and resources to help in your agency's journey toward leadership and organizational excellence:

### Tools:

**Board of Directors Self-evaluation Checklist:** Board members evaluate the performance of the board by rating its performance against 27 best practices. This self assessment can help identify areas where change may be needed to improve the Board's effectiveness.

**Leadership Performance Feedback Survey:** board members and staff rate the performance of the Executive Director against 22 best practices. This performance evaluation tool can lead to a development plan which identifies strengths, areas needing improvement, leadership goals and steps needed to achieve these goals.

### Education:

**Training for Board of Directors:** An annual conference enhances the skills of non-profit board members. Co-sponsored by United Way, the City of Madison and the Dane County Human Services, this conference is designed to develop the leadership governance skills of attendees, whether they are new to the boardroom or experienced board members. Focus areas include strategic planning, legal responsibilities and fundamentals of fundraising. The annual conference is supplemented by "Ask an Expert" sessions offered three to four times per year.

**Training for Executive Directors:** Based upon feedback from Executive Directors identifying their most critical issues, three to four peer to peer training programs are offered each year. These programs offer Executive Directors the opportunity to learn about the best practices from their peers as well as content experts.

**Volunteer Management and Development:** The Professional Development for Volunteer Managers training series modeled on national best practices, provides practical tools to create dynamic, results-oriented volunteer programs. "Breakfast with Champions" sessions provide a combination of presentations and facilitated discussions where the "best and brightest" ideas in volunteer management are shared in a peer to peer forum.

**Resource Library:** An extensive collection of articles, sample documents, books, and audio/visual materials on a variety of subjects including board development, non-profit management, volunteer management, salary survey data and human resources are available on loan.

For assistance with any of these tools and resources, or if we can help you and your organization with anything specific, please contact us. We are proud to support you in your quest for excellence and we are grateful to you for your leadership and service in our community in beyond.

To access these tools and resources visit [www.unitedwaydanecounty.org/agencyresources](http://www.unitedwaydanecounty.org/agencyresources) (there will be shorter url for this section of our website).

### Questions?

Contact Kathy Martinson

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