Standards of Excellence® Certification Program
Voluntary Health Agency Survey
Revised 3/11

Name: ________________________________________________________________

E-mail Address: __________________________________________________________

Telephone Number: _______________________________________________________

Voluntary Health Agency: ____________________________________________________

ABOUT YOUR ORGANIZATION

1. Does the organization have an affiliate structure?
   Yes ____  No ____ (If no, skip to question 9)

2. What type of affiliate structure does the organization have?
   ____ Single corporation
   ____ Federation of multiple corporations

3. How many affiliates (by the organization’s definition) exist at the:
   ____ local level  ____ state level  ____ regional level

4. What percent of the organization’s nationwide unrestricted income is generated by
   ____% national office  ____% affiliates (Should total 100%)

5. Is there a formula for sharing revenue among the national office and affiliates?
   Yes ____ No ____

6. If yes, please describe the revenue-sharing formula.
   _____________________________________________________________________
   _____________________________________________________________________
7. How is the financial audit conducted?
   ___ single combined audit for the entire organization (national office and affiliates)
   ___ separate audits for the national organization and each affiliate
   ___ other (please describe)
   ____________________________________________________________

8. How is the IRS Form 990 prepared?
   ___ single 990 for national office and affiliates
   ___ group return for all affiliates
   ___ separate returns for the national organization and each affiliate
   ___ other (please describe)
   ____________________________________________________________

9. The organization's Articles of Incorporation, charter, or bylaws establish the following:
   (✓ all that apply):
   ___ Its primary purpose is health-related and national in scope.
   ___ There is a procedure for governing the organization.
   ___ The organization conforms with applicable state and federal laws regarding the filing of
governance documents.
   ___ The organization has been in operation for no less than three years.
   ___ Relationships with any affiliated organizations using the same name and logo are codified
   in a written agreement.

GOVERNANCE

10. Does the organization have a volunteer board of directors?
    Yes ___    No ___
11. Does the board have an established committee structure?
   Yes ____    No ____

12. Are the duties and responsibilities of the board, officers, and committees in written form and clearly communicated to the respective parties?
   Yes ____    No ____

13. What is the total number of national board members? _____

14. Do the organization's bylaws specify term limits for board members?
   Yes ____    No ____
   • If yes, how many years is the term of office? _____
   • How many consecutive terms may a board member serve? _____

15. Do board officers serve specified terms?
   Yes ____    No ____
   • If yes, how many years is the term of office? _____
   • How many consecutive terms may a board officer serve? _____

16. Do the organization's bylaws provide for the election of board members and officers and a method for filling interim vacancies?
   Yes ____    No ____

17. Are any members of the board, other than a chief staff executive serving on the board, compensated for their services as board members beyond reimbursement for travel expenses incurred in organization-related business (e.g. transportation, hotel, meals, etc.)?
   Yes____  No____
   • If yes, please provide details:
     _____________________________________________________________
     _____________________________________________________________
     _____________________________________________________________
     _____________________________________________________________
18. Are any members of the board compensated for other services provided to the organization? (This includes fees, in-kind payments or honoraria.)

Yes ____ No ____

- If yes, please provide details:

_________________________________________________________________________

_________________________________________________________________________

_________________________________________________________________________

19. Does the organization have a written, board-approved conflict of interest policy which applies to board members and staff?

Yes ____ No ____

- If yes, is there an annual disclosure form that must be completed by board members and staff?
  Yes ____ No ____

- If yes, is the policy reviewed at least every three years by legal counsel to ensure compliance with applicable state and federal law?
  Yes ____ No ____

20. Does the organization have a written, board-approved policy that encourages board diversity?

Yes ____ No ____

- If yes, which of the following are specified? (✓ all that apply)
  ___ age  ___ race or ethnic origin  ___ religion
  ___ gender  ___ geographic distribution  ___ sexual orientation
  ___ culture  ___ disability  ___ none are specified

21. If the organization has corporate relationships, does it have a board-approved corporate relations policy?

Yes ____ No ____ Not Applicable ____

22. If the organization has corporate relationships, does it disclose annually amounts received from corporations on its website or in its annual report?

Yes ____ No ____ Not Applicable ____
23. If the organization has corporate relationships, does its disclosure include support received by each division, chapter, or affiliate with annual income greater than $250,000?
   Yes ____  No ____  Not Applicable ____

24. If the organization has corporate relationships, does it have written operating procedures for the review and approval of corporate relationships and ongoing evaluation of such relationships?
   Yes ____  No ____  Not Applicable ____

25. If the organization funds and/or conducts biomedical research involving the use of animals, does it have a board-approved policy ensuring the protection and humane treatment of animals in research?
   Yes ____  No ____  Not Applicable ____
   • If yes, is the policy routinely communicated to funded researchers?  Yes ____  No ____

26. Does the board of directors hold regular meetings?
   Yes ____  No ____
   • How often does the board meet annually? _____ times per year
   • How many of those meetings are face to face? _____

27. How often does the executive committee or other comparable board-created policy body meet annually?
   _____ times per year

28. Is there documentation of attendance at board meetings (such as filed minutes)?
   Yes ____  No ____

29. Does the board have an individual attendance policy?
   Yes____  No____
   • If yes, how many absences are allowed annually? ______

30. Does the board and/or a board committee perform the following: (✓ all that apply)
   ____ formally approve the budget
   ____ receive regular reports on financial performance
   ____ receive regular reports on planning and program activities
   ____ ensure that arrangements with outside fundraising firms are in writing
receive an annual summary of the financial arrangements with outside fundraising firms

receive on an annual basis a copy of the audited financial statements and the auditor's management letter

receive or get directed to via the organization’s website the IRS Form 990

formally review the performance of the CEO at least once every two years

31. Do the organization's bylaws require that board meetings have at least a simple majority (more than 50%) of eligible voting members in attendance (either in person and/or by teleconference)?

Yes ____  No ____

32. Do the organization's bylaws require that notice be given for meetings of the board?

Yes ____  No ____

• If yes, how many days notice do the bylaws require for board meetings? ____

• Does the notice provide information about action items on the agenda?

Yes ____  No ____

PERSONNEL POLICIES AND STAFF

33. Does the organization have a written statement or manual of personnel policies?

Yes ____  No ____

• If yes, are the policies reviewed at least every three years by legal counsel to ensure compliance with applicable state and federal law?

Yes ____  No ____

• If yes, are the policies reviewed annually by the chief staff executive or other authorized senior staff person to assure appropriate personnel practices?

Yes ____  No ____

34. What is the total number of national office staff? ______

35. How many of the national office staff are paid staff? ______

volunteers? ______
36. Does the organization employ either a chief staff executive or outsourced management?

   Yes ____  No ____

   • If outsourced management is used, list the name of the firm and the names of personnel assigned to the organization:

   ........................................................................................................

   ........................................................................................................

PROGRAMS

37. Is the organization engaged in the following activities? (✓ all that apply)

   ___ research  ___ health services
   ___ professional education  ___ community services
   ___ public education  ___ advocacy or social action
   ___ health promotion/disease prevention

38. For the past fiscal year, what percentage of the organization's annual expenses were dedicated to program activities? ____%

FINANCE

39. Does the organization have written procedures for developing, reviewing, and obtaining board approval of its annual budget?

   Yes ____  No ____

40. Does the organization maintain financial records and prepare financial statements in accordance with generally accepted accounting principles (GAAP) as certified by a qualified independent public accountant?

   Yes ____  No ____

   • If yes, are the financial statements reviewed by the board?  Yes ____  No ____

   • If yes, are the financial statements made available to the public upon request within 6 to 12 months after the close of the fiscal year?  Yes ____  No ____

41. Has the organization maintained its section 501(c)(3) public charity status in accordance with the requirements of the Internal Revenue Code and Treasury regulations?

   Yes ____  No ____
42. Does the organization set annual benchmarks for a) the percentage of total revenue to be obtained from public support; b) the desired number of sources of public support revenue; and c) the maximum campaign contribution as a percentage of total support that normally will be accepted from a single contributor?

Yes ___  No ___

• If yes, does the organization measure performance against those benchmarks on an annual basis?
  Yes ___  No ___

43. Does the organization have a written, board-approved policy establishing criteria for an appropriate unrestricted operating reserve?

Yes ___  No ___

44. Did the organization report an operating deficit in its unrestricted net assets for more than the three previous consecutive fiscal years?

Yes ___  No ___

• If yes, please explain the reason(s) for the deficit.
  ________________________________________________________________
  ________________________________________________________________

FUNDRAISING

It is expected that nonprofit organizations adhere to the following standards in seeking financial support for their activities. Please confirm that your organization's practices are in accordance with these principles:

45. Publicity and promotional activities are carried out in a manner which encourages respect for donors, potential donors, and those whom the agency serves. Fundraising and promotional materials are truthful and not deceptive.

Yes ___  No ___

46. There is communication to potential donors of factual descriptions of the needs served by the organization, the volume and character of services and accomplishments, and, where pertinent, expert opinions. The organization is capable of substantiating all such information.

Yes ___  No ___

47. Any websites that solicit contributions include the same information recommended for annual reports, as well as the organization’s mailing address and electronic access to its most recent IRS Form 990.

Yes ___  No ___  Not applicable ___

48. The confidentiality of contributor giving histories is protected.

Yes ___  No ___
49. The organization addresses privacy concerns by

- providing, preferably in all written appeals to first-time donors but not less than annually, a means (e.g., a check-off box) for both new and continuing donors to inform the charity if they do not want their name and address shared outside the organization;

  Yes ____  No ____  Not applicable ____

- providing a clear, prominent, and easily accessible privacy policy on any of its websites that tells visitors (i) what information, if any, is being collected about them by the organization and how this information will be used, (ii) how to contact the organization to review personal information collected and request corrections, (iii) how to inform the organization (e.g., a check-off box) that the visitor does not wish his/her personal information to be shared outside the organization, and (iv) what security measures the organization has in place to protect personal information.

  Yes ____  No ____

50. If unordered merchandise is used to encourage donations, recipients are prominently and clearly informed that they are under no obligation to pay for or return any such items or make a donation to the organization.

  Yes ____  No ____  Not applicable ____

51. Volunteers who approach the public seeking contributions are provided with appropriate identification.

  Yes ____  No ____  Not applicable ____

52. Fundraising techniques intended to deceive, coerce, harass, or intimidate potential contributors are not utilized. When the agency's volunteers include people in uniform participating on their own time or individuals who have authority over the person being asked to contribute, special precautions are taken to assure that this standard is not violated.

  Yes ____  No ____

53. If merchandise, services or admission to fundraising events are provided in return for payment, the organization specifies that portion of the payment which is tax deductible as a charitable contribution. Any offer or sale of merchandise made on behalf of the organization specifies the amount or percentage of money from the sale which will actually go to the organization, the duration of the campaign (e.g., the month of October) and any maximum or guaranteed minimum contribution amount (e.g., up to a maximum of $200,000)

  Yes ____  No ____  Not applicable ____

54. The organization obtains prior permission before using the names of individuals, organizations, or companies in ways which imply endorsement of program or fundraising activities.

  Yes ____  No ____  Not applicable ____
55. Fundraising materials distributed to the public contain the name of the organization, its purpose, and the address from which additional information may be obtained.

   Yes ____  No ____

56. The organization makes available upon request descriptive and financial information for all substantial income and revenue derived from authorized commercial activities conducted by for-profit subsidiary organizations associated with the voluntary health agency's name.

   Yes ____  No ____  Not applicable ____

57. The organization does not enter into agreements with organizations or individuals to raise funds on a commission or percentage basis.

   Yes ____  No ____

58. The organization ordinarily spends no more than 35% of its public support income on fundraising.

   Yes ____  No ____

**ACCOUNTING & REPORTING**

59. Do the organization's accounting systems enable it to exercise proper control over contributions and accurately allocate expenditures to various program, fundraising, and administrative functions?

   Yes ____  No ____

60. Is an audit of national office operations performed annually by an independent certified public accountant?

   Yes____  No____

61. Is an audit performed annually by an independent certified public accountant for each division, chapter or affiliate with annual income greater than $250,000?

   Yes ____  No ____

62. Is an external review performed annually by an independent certified public accountant for each division, chapter, or affiliate with annual income less than $250,000 (but greater than $25,000)?

   Yes ____  No ____

63. Does the organization publish an annual report?  Yes____ No____

   • *If yes,* does the annual report include (✓ all that apply):

     ____  full account of year's activities and accomplishments

     ____  roster of board members that identifies the officers of the board (e.g., chair, vice chair, secretary, treasurer)
____ name(s) of chief administrative personnel

____ report of financial operations of the national office in conformity with GAAP

____ consolidated report of financial operations for the national office and affiliates, where affiliates exist, in conformity with GAAP

- **If yes**, is the annual report available within 6 to 12 months after the end of the organization's fiscal year?
  - Yes ____ No ____

**EVALUATION**

64. Does the organization have a written, board-approved policy that establishes a formal mechanism for evaluating its operations and program activity effectiveness, no less than every two years, as measured against the organization's purposes, resources and potential?
  - Yes ____ No ____

- **If yes**, was the evaluation conducted within the past two fiscal years?
  - Yes ____ No ____

- **If yes**, were the results reported to the board of directors?
  - Yes ____ No ____
Certification Statement

The statement below must be signed by the chief executive officer and a senior officer of the board of directors.

We, the undersigned, certify that the information provided herein and in the accompanying documents is accurate to the best our knowledge.

____________________________________  ______________________________
Signature                                Signature

____________________________________  ______________________________
Name (please print)                     Name (please print)

____________________________________  ______________________________
Title                                    Title

____________________________________  ______________________________
Date                                     Date

Please Enclose Copies of the Materials Noted on the Following Page.
REQUIRED DOCUMENTATION

Please submit the following documents, either electronically or in hard copy, along with your completed Standards of Excellence survey:

- □ Bylaws
- □ Written Statement of Duties of Board Members
- □ Sample Committee Charge
- □ Board-Approved Conflict of Interest Policy
- □ Board-Approved Diversity Policy
- □ Board-Approved Corporate Relations Policy
- □ Corporate Relations Operating Guidelines
- □ Board-Approved Policy on Use of Animals in Research
- □ Board Attendance Policy
- □ One-Page Budget Summary with Functional Expense Breakdown
- □ Most Recent Audited Financial Statements
- □ Board-Approved Policy on Financial Reserves
- □ Most Recent Annual Report
- □ Board-Approved Policy on Evaluating Organizational Effectiveness

If your organization has collected your policies and operational documents into a policy manual, please submit a copy.