Standards of Excellence
Voluntary Health Agency Survey

Voluntary Health Agency: ________________________________

BASIC ORGANIZATION
1. The organization's Articles of Incorporation, Charter or Bylaws establish that (✓ those 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 law regarding the filing of governance documents
   ___ the organization has been in operation for at least three years
   ___ relationships with any affiliated organizations using the same name and logo are codified in a written agreement.

GOVERNING ARRANGEMENTS
2. Does the organization have a volunteer board of directors? Yes ____ No ____
   • Does the board have an established committee structure? Yes ____ No ____
   • Are the duties and responsibilities of the board, officers and committees in written form and clearly communicated to the respective parties? Yes ____ No ____

3. What is the total number of national board members? ______

4. Do the organization's bylaws provide for rotation of board members? Yes _____ No _____
   • How many years is the term of office? ______
   • Is there a limit on the number of consecutive terms that one can serve on the board?
     Yes _____ (If yes, how many? ______ ) No _____
• Is there an overall limit on the number of years that one can serve on the board?
  Yes _____ (If yes, how many? ______ )  No _____

• What is the rotation schedule? (e.g., 1/3 of board members rotate off the board each year)

• Do board officers serve specified terms?  Yes _____ No _____
  If yes, how many years is the term of office? ______
  How many consecutive terms can be served? ______

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

• If yes, please provide details:
  ____________________________________________________________
  ____________________________________________________________
  ____________________________________________________________

6. Are any members of the board, other than a chief staff executive serving on the board, compensated for their services beyond reimbursement for travel expenses incurred in agency-related business (e.g. transportation, hotel, meals, etc.)?  Yes _____ No _____

• If yes, please provide details:
  ____________________________________________________________
  ____________________________________________________________
  ____________________________________________________________

7. Does the organization have a written, board-approved conflict of interest policy which applies to 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 _____

• If yes, please provide a copy of the policy.
8. Does the organization have a written, board-approved policy which encourages board diversity?  
   Yes ____  No ____  
   • If yes, which of the following are specified? (✓ those that apply):
      ___ age  ___ race or ethnic origin  ___ none are specified
      ___ gender  ___ geographic distribution
      ___ culture  ___ disability
   • If yes, please provide a copy of the policy.

9. If the organization has corporate relationships, does it have a board-approved corporate relations policy that adheres to the National Health Council’s "Guiding Principles for Voluntary Health Agencies in Corporate Relationships"?  
   Yes _____  No _____  Not Applicable _____  
   • If yes, please provide a copy of the policy.

10. 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 that adheres to the Council's policy entitled "Use of Animals in Biomedical Research"?  
    Yes _____  No _____  Not Applicable _____  
    • If yes, is the policy routinely communicated to funded researchers?  Yes_____  No ______
    • If yes, please provide a copy of the policy.

11. Does the board of directors hold regular meetings?  Yes _____  No _____  
    • How often does the board meet annually? ______
    • How many of those meetings are face to face? ______
    • How often does the executive committee or other comparable board-created policy body meet annually? ______
    • Is there documentation of attendance at board meetings (such as filed minutes)?  Yes _____  No _____
    • Does the board have an individual attendance policy?  Yes_____  No _____
      • If yes, how many absences are allowed annually? ______
      • If yes, please provide a copy of the policy.

12. Does the board and/or a board committee (✓ those 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

13. Do the organization’s bylaws provide 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 ____

14. 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

15. 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 _____
   • What is the total number of national office staff? _______
   • How many are: paid staff? _______
    volunteers? _______
16. 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:
     
     ____________________________________________________________
     
     ____________________________________________________________
     
     ____________________________________________________________

17. Is the organization engaged in (✔ those that apply):
   
   ✔ research  ✔ health services
   
   ✔ professional education  ✔ community services
   
   ✔ public education  ✔ advocacy or social action
   
   ✔ health promotion/disease prevention

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

19. Does the organization have written procedures for developing, reviewing and obtaining board approval of its annual budget?
   
   Yes _____ No _____
   
   • If yes, please provide a one-page summary of the current year budget that includes total expenses and a functional expense breakdown.

20. 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 _____

21. How much of the organization’s financial support is derived from voluntary public contributions?
   
   $ ____________ %____

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

- **If yes**, please provide a copy of the policy.

23. 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:

24. 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 ____

25. 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 ____

26. Any websites that solicit contributions include the same information recommended for annual reports (See #40), as well as the organization’s mailing address and electronic access to its most recent IRS Form 990.

   Yes ____ No ____ Not applicable ____

27. The confidentiality of contributor giving histories is protected.

   Yes ____ No ____

28. 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 _____

29. 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 _____

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

Yes ____ No _____ Not applicable _____

31. 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 _____

32. 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 _____

33. 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 _____

34. 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 _____

35. 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 _____
36. The organization does not enter into agreements with organizations or individuals to raise funds on a commission or percentage basis.
   Yes ____  No ____

37. The organization ordinarily spends no more than 35% of its public support income on fundraising.
   Yes ____  No ____

**ACCOUNTING & REPORTING**

38. 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 ____

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

40. Does the organization publish an annual report?  Yes____ No____
   • If yes, does the annual report include (√ those 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) and includes the geographic location (city, state) of board members
     ______ name(s) of chief administrative personnel
     ______ report of financial operations of the national office in conformity with GAAP
     ______ consolidated report of financial operations for 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**

41. 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, please provide a copy of the policy.
• **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 of our knowledge.

_____________________________________  ________________________________
Signature        Signature

_____________________________________ ________________________________
Name (please print)        Name (please print)

_____________________________________ ________________________________
Title        Title

_____________________________________ ________________________________
Date        Date

**Please Complete the Attached Financial Summary and Enclose Copies of the Materials Noted on the Following Page.**
REQUIRED DOCUMENTATION

Please return the following materials along with your completed Good Operating Practices Survey:

- Bylaws
- Written Statements of Duties of Officers and Board Members
- Committee Charges
- Board-Approved Conflict of Interest Policy
- Board-Approved Diversity Policy
- Board-Approved Corporate Relations Policy
- Board-Approved Policy on Use of Animals in Research
- Board Attendance Policy
- One-Page Budget Summary
- Most Recent Audited Financial Statements
- Most Recent IRS Form 990
- Board-Approved Policy on Financial Reserves
- Most Recent Annual Report
- Board-Approved Policy on Evaluating Organizational Effectiveness
<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Fiscal Year 2000</th>
<th>Fiscal Year 2001</th>
<th>Fiscal Year 2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1)</td>
<td>Total income for the fiscal year</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(2)</td>
<td>Total voluntary public contributions</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(3)</td>
<td>Item (2) as a percent of total income (1)</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>(4)</td>
<td>Total expenses for the fiscal year</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(5)</td>
<td>Fundraising expenses</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(6)</td>
<td>Fundraising expenses (5) as a percent of total income (1)</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td></td>
<td>(Not to exceed 35%)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(7)</td>
<td>Annual expenses dedicated to program activities</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(8)</td>
<td>Item (7) as a percent of total expenses (4)</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>(9)</td>
<td>Unrestricted net assets at end of the fiscal year</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(10)</td>
<td>Change in unrestricted net assets</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(11)</td>
<td>Number of days of unrestricted operating reserve</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>(12)</td>
<td>Total unrestricted income</td>
<td>$</td>
<td>$</td>
<td>$</td>
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<tr>
<td>(13)</td>
<td>Unrestricted income received from affiliates</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(14)</td>
<td>Item (13) as a percent of total unrestricted income (12)</td>
<td>%</td>
<td>%</td>
<td>%</td>
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