

# ORGANIZATIONAL ASSESSMENT TOOL (OAT)

## for

### Full Drucker Self-Assessment Process

Please return to: **United Way of Allegheny County / Agency Relations / P.O. Box 735 / Pittsburgh, PA 15230-0735**

Date \_\_\_\_\_ Our agency \_\_\_\_ is \_\_\_\_ is not participating in  
the Drucker Planning Process.\*

This form is being completed by:

Name \_\_\_\_\_ Title \_\_\_\_\_

Agency name \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

E-Mail \_\_\_\_\_ Web site \_\_\_\_\_

\_\_\_\_ Please call me to discuss the steps to entering into an indepth planning process as  
created by the Drucker Institute of New York. \*

Our agency is (please choose one):

____ A United Way Member agency	CC# _____
____ An Innovation Fund agency	CC# _____
____ A Contributor Choice agency	CC# _____

Our agency's Tax ID/EIN # is \_\_\_\_\_

Our agency's annual budget is \$ \_\_\_\_\_ for fiscal year ending \_\_\_\_\_

Our agency has the equivalent of \_\_\_\_\_ FTEs (FTE = hours worked by all staff/40)

Executive Director: \_\_\_\_\_ Signature \_\_\_\_\_

Executive Director Phone # \_\_\_\_\_

Executive Director E-mail Address \_\_\_\_\_

Board President: \_\_\_\_\_ Signature \_\_\_\_\_

# Guidelines for Completing the Organizational Assessment Tool

The OAT is divided into the following sections:

- I. How Our Agency Is Organized
- II. How Our Agency Plans for Its Future
- III. How Our Agency Serves and Relates to Its Clients
- IV. How Our Agency Operates
- V. How Our Agency Manages Its Human Resources
- VI. How Our Agency Manages Its Finances
- VII. How Our Agency Lets People Know about Us

This checklist and assessment process is not intended as a certification of any agency, but as a tool towards increasing organizational efficiency and effectiveness. The information that is submitted to United Way and the Bayer Center for Nonprofit Management is considered confidential.

## United Way Member Agencies and Innovation Fund Agencies

- Complete all items in the **shaded** areas in order to meet the minimum annual requirements to secure a grant or allocation.
- If you choose to participate in the Drucker Self-Assessment Process, complete the **entire** OAT.\*

## Contributor Choice Agencies

- Please complete all items in *italic print* to meet eligibility requirements for Contributor Choice designations.
- If you choose to participate in the Drucker Self-Assessment Process, please complete the **entire** OAT.\*

*\*The Drucker Planning Process provides the tools and resources to effectively develop a three-year strategic plan. To learn more, contact Marcia Clark, MPM, at the Bayer Center for Nonprofit Management at (412) 227-6802.*

*If you have questions regarding questions in this form, please refer to the United Way of Allegheny County web site at [www.unitedwaypittsburgh.org](http://www.unitedwaypittsburgh.org) and click on FAQs. If you have further questions after you have reviewed that section, contact Marcia Clark at the Bayer Center for Nonprofit Management at Robert Morris University at (412) 227-6802.*

**Directions for completing the following questionnaire:**

- 1. Please read the entire question before marking your answer.
- 2. Completely fill in the appropriate box ☐ Y Yes ☐ N No ☐ P Partial
- 3. When necessary, please use the space provided to add comments.

**A. How Our Agency Is Organized**

**A. Legal and Ethical Considerations**

☐ Y ☐ N ☐ P We operate under board-approved bylaws.\_\_\_\_\_

☐ Y ☐ N ☐ P We operate under a current 501 (C) 3.\_\_\_\_\_

☐ Y ☐ N ☐ P We are a Health & Human Service Agency\_\_\_\_\_

☐ Y ☐ N ☐ P We are eligible to receive Allocations/Grants from our local United Way\_\_\_\_\_

☐ Y ☐ N ☐ P We have Directors & Officers Errors & Omissions Insurance.\_\_\_\_\_

☐ Y ☐ N ☐ P We comply with the our state’s Solicitations Act.\_\_\_\_\_ State

☐ Y ☐ N ☐ P Our licensing is current, as required. It is as follows:\_\_\_\_\_

☐ Y ☐ N ☐ P Our bylaws are reviewed and amended at least annually.\_\_\_\_\_

☐ Y ☐ N ☐ P Our bylaws define our board, committee and staff roles.\_\_\_\_\_

**B. Board (board responsibilities appear in several sections of this tool)**

☐ Y ☐ N ☐ P Our board members understand their fiduciary responsibilities and fundraising responsibilities.\_\_\_\_\_

☐ Y ☐ N ☐ P All of our board members serve without compensation and with an awareness of the conflict of interest policy. \_\_\_\_\_

☐ Y ☐ N ☐ P Our board meetings are conducted according to our bylaws (no. of meetings, voting quorum, notifications). \_\_\_\_\_

☐ Y ☐ N ☐ P We keep written minutes of each board meeting.\_\_\_\_\_

☐ Y ☐ N ☐ P We have a process to identify and recruit new board members.\_\_\_\_\_

- ☐ ☐ ☐ ☐ New board members receive a formal orientation to learn about our agency.  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ New board members receive a board manual with information vital to our agency (bylaws, strategic plan, programs, minutes, etc).\_\_\_\_\_
- ☐ ☐ ☐ ☐ Our bylaws provide for term limitations of board members.\_\_\_\_\_
- ☐ ☐ ☐ ☐ Our bylaws provide for officer and chairperson term limits. \_\_\_\_\_
- ☐ ☐ ☐ ☐ Our bylaws provide for rotation from the board.\_\_\_\_\_
- ☐ ☐ ☐ ☐ We have a board succession plan in place.\_\_\_\_\_
- ☐ ☐ ☐ ☐ We have position descriptions for our board officers and chairpersons.\_\_\_\_\_
- \_\_\_\_\_
- ☐ ☐ ☐ ☐ Our board reviews our Executive Director annually. The review is based on meeting goals and objectives of our organization. \_\_\_\_\_
- ☐ ☐ ☐ ☐ We document the review.\_\_\_\_\_
- ☐ ☐ ☐ ☐ Our board is aware of its legally charged responsibilities (legal, fiduciary, policy making, planning, hiring and reviewing the ED).\_\_\_\_\_
- ☐ ☐ ☐ ☐ Each of our board members donates time and talent to our organization.  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ Each of our board members makes a financial contribution to our organization.  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ Our board meets annually to review, and as needed, update our strategic priorities.  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ Our board composition is diverse and represents our constituency and our region.  
\_\_\_\_\_

## **II. How We Plan for Our Future**

### **A. Mission and Vision**

- ☐ ☐ ☐ ☐ We have a mission statement that accurately reflects and guides our organization.  
\_\_\_\_\_

☐ ☐ ☐ ☐ Our mission is routinely shared with our stakeholders. \_\_\_\_\_

☐ ☐ ☐ ☐ We have a vision statement that is shared. \_\_\_\_\_

**B. Planning**

☐ ☐ ☐ ☐ We have a current strategic plan in place (3-5 year plan). \_\_\_\_\_

☐ ☐ ☐ ☐ Our agency reviews and updates our strategic operating plan annually. \_\_\_\_\_

☐ ☐ ☐ ☐ Our agency annually sets goals and objectives according to our strategic plan. \_\_\_\_\_

☐ ☐ ☐ ☐ We formally review our agency’s performance against the strategic plan as well as the goals and objectives we establish. \_\_\_\_\_

☐ ☐ ☐ ☐ We include our stakeholders in our planning processes.

**III. How We Serve and Relate to Our Clients**

**A. Program Goals and Performance**

☐ ☐ ☐ ☐ Our agency reviews programs regularly to assure stated outcomes are achievable. \_\_\_\_\_

☐ ☐ ☐ ☐ Our board sets overall program priorities based upon our strategic plan and with staff and stakeholder input. \_\_\_\_\_

☐ ☐ ☐ ☐ Our programs are designed to serve our target population. \_\_\_\_\_

**B. Program Evaluation**

☐ ☐ ☐ ☐ Our agency reviews programs regularly to ensure stated outcomes are achieved. \_\_\_\_\_

☐ ☐ ☐ ☐ We maintain current files and statistics on each program. \_\_\_\_\_

☐ ☐ ☐ ☐ We have systems in place for our clients to evaluate our programs. \_\_\_\_\_

- ☐ ☐ ☐ ☐ We have systems in place to evaluate our programs & services. \_\_\_\_\_  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ We maintain current files and statistics on each client. \_\_\_\_\_
- ☐ ☐ ☐ ☐ We track information that impacts our community and clients positively and negatively. \_\_\_\_\_

## **C. How We Relate to Our Clients**

- ☐ ☐ ☐ ☐ We use client feedback in designing and modifying our programs and services. \_\_\_\_\_  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ We have processes in place to handle and resolve client complaints. \_\_\_\_\_  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ The diversity of our staff reflects our target population and our community. \_\_\_\_\_  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ Our facilities and services are accessible to our target populations needs (hours, fees, and physical accessibility). \_\_\_\_\_
- ☐ ☐ ☐ ☐ Our facilities are tailored to meet cultural and linguistic needs of our clients. \_\_\_\_\_  
\_\_\_\_\_

## **IV. How We Operate**

### **A. Our Facilities**

- ☐ ☐ ☐ ☐ Our facilities meet required safety and health regulations. \_\_\_\_\_  
\_\_\_\_\_
- ☐ ☐ ☐ ☐ Our facilities are inspected at least annually. Recommendations for corrections are documented and addressed. \_\_\_\_\_
- ☐ ☐ ☐ ☐ Our facilities are designed and equipped to serve our clients, programs, volunteers and staff. \_\_\_\_\_
- ☐ ☐ ☐ ☐ Our facilities comply with ADA regulations and requirements. \_\_\_\_\_  
\_\_\_\_\_

**B. Insurance and Liability Coverage**

- ☐Y☐N☐P We carry needed levels of insurance to cover our facilities, clients, employees, and volunteers.\_\_\_\_\_
- ☐Y☐N☐P Individuals who have financial responsibilities in our organization are bonded.\_\_\_\_\_
- ☐Y☐N☐P We review our insurance coverage and costs annually.\_\_\_\_\_

**C. Management Information Systems**

- ☐Y☐N☐P *Our organization's confidential electronic information/files are secure.*\_\_\_\_\_
- ☐Y☐N☐P Our agency has a board that supports the effective use of MIS technology. \_\_\_\_\_
- ☐Y☐N☐P We have a 1-3 year technology plan in place that is monitored by a board technology committee.\_\_\_\_\_
- ☐Y☐N☐P We have an internet communication strategy and policy in place.\_\_\_\_\_
- ☐Y☐N☐P Our job descriptions list needed technology skills.\_\_\_\_\_
- ☐Y☐N☐P We are in compliance with Section 508 for people with disabilities. \_\_\_\_\_

**D. Accreditations**

- ☐Y☐N☐P Our agency seeks relevant accreditations to enhance the value of our organization. \_\_\_\_\_
- ☐Y☐N☐P We are currently accredited by (please indicate):\_\_\_\_\_
- ☐Y☐N☐P Our time of accreditation is (please indicate):\_\_\_\_\_

**V. How Our Human Resources Are Managed**

**A. Recruiting and Hiring**

☐ ☐ ☐ ☐ *Our recruiting policies and procedures comply with local, state and federal employee law.* \_\_\_\_\_

☐ ☐ ☐ ☐ A qualified professional periodically reviews our recruiting and hiring policies and procedures. \_\_\_\_\_

☐ ☐ ☐ ☐ Our supervisors receive training in interviewing skills, hiring policies and procedures, and in getting and giving references. \_\_\_\_\_  
\_\_\_\_\_

**B. Training and Orientation**

☐ ☐ ☐ ☐ We provide appropriate training to new employees so that they can be successful in their roles. \_\_\_\_\_

☐ ☐ ☐ ☐ We provide new employees with materials and information about our organization, mission, programs, policies and procedures. \_\_\_\_\_  
\_\_\_\_\_

☐ ☐ ☐ ☐ We provide training and materials to our volunteers so they can be successful in their work. \_\_\_\_\_

☐ ☐ ☐ ☐ Training goals are reviewed and acted upon on an annual basis for each employee. \_\_\_\_\_  
\_\_\_\_\_

**C. Administration**

☐ ☐ ☐ ☐ *Our salary and benefits policies comply with local, state, & federal law.* \_\_\_\_\_

☐ ☐ ☐ ☐ We have a current (reviewed bi-annually) board-approved employee handbook for all of our employees. \_\_\_\_\_

☐ ☐ ☐ ☐ Our volunteers receive a volunteer handbook. \_\_\_\_\_

☐ ☐ ☐ ☐ We offer competitive salaries and benefits based on local agency salary levels. \_\_\_\_\_  
\_\_\_\_\_

☐ ☐ ☐ ☐ Our salary structure ensures similar pay for similar work. \_\_\_\_\_  
\_\_\_\_\_

☐ ☐ ☐ ☐ Our employees receive an annual salary and performance review. \_\_\_\_\_  
\_\_\_\_\_

- ☐ ☐ ☐ ☐ We are committed to providing opportunities for employee advancement.
- 
- ☐ ☐ ☐ ☐ Our board annually oversees our human resource policies and makes recommendations.
- ☐ ☐ ☐ ☐ Current job descriptions, qualifications, responsibilities, and accountabilities are provided to our employees.
- ☐ ☐ ☐ ☐ We have position descriptions in place for our volunteers. \_\_\_\_\_
- 
- ☐ ☐ ☐ ☐ We review our employee rate of turnover regularly. \_\_\_\_\_
- 
- ☐ ☐ ☐ ☐ We review our volunteer rate of turnover regularly. \_\_\_\_\_
- 
- ☐ ☐ ☐ ☐ Our employees have the opportunity for input into performance goals.
- 

## **D. Evaluation**

- ☐ ☐ ☐ ☐ We have a system in place to evaluate and document our employee performance.
- 
- ☐ ☐ ☐ ☐ Employee reviews include review of mutually agreed upon goals. \_\_\_\_\_
- 
- ☐ ☐ ☐ ☐ Our agency has a written disciplinary procedure. \_\_\_\_\_
- 
- ☐ ☐ ☐ ☐ Our grievance policy requires our agency to respond to any employee grievance promptly and in writing. \_\_\_\_\_
- ☐ ☐ ☐ ☐ We review and evaluate our volunteers' performance and offer feedback. \_\_\_\_\_
- 
- ☐ ☐ ☐ ☐ We have a volunteer recognition program. \_\_\_\_\_
- ☐ ☐ ☐ ☐ We have an employee recognition program. \_\_\_\_\_

# VI. How Our Agency Manages Its Finances

## A. Financial Reporting and Audit

- Y

N

P

Our agency has an annual certified audit that includes a management letter.
- Y

N

P

Our board or finance committee meets with the auditors to review our audit.
- Y

N

P

Our financial records are kept and maintained according to generally accepted accounting standards.
- Y

N

P

Our federal tax filings are filed as required.
- Y

N

P

We have a certified audit of federally funded programs as mandated.
- Y

N

P

Our board receives a copy of our audit and management letter for review and discussion.
- Y

N

P

Our agency prepares financial statements, at least quarterly, for our board to review and approve.
- Y

N

P

Our agency makes budget adjustments to ensure its stability.
- Y

N

P

Our board reviews and approves the annual budget.
- Y

N

P

Our board reviews and approves major expenditures.

## B. Internal Controls

- Y

N

P

We have a Conflict of Interest Policy covering board and staff.
- Y

N

P

Our board has placed day-to-day financial authority with the Executive Director, Chief Financial Officer, bookkeeper/accountant.
- Y

N

P

Our board has a dual signature requirement on checks.

☐ ☐ ☐ ☐ Our board has set a financial amount at which they must approve large expenses and checks.

### C. Budget and Cost Effectiveness

☐ ☐ ☐ ☐ We monitor the percentage of revenues spent on administration and on programs and services. \_\_\_\_\_

☐ ☐ ☐ ☐ Our agency is/is not operating in a deficit financial position. \_\_\_\_\_

☐ ☐ ☐ ☐ If your agency is operating in a deficit, for what time period is the deficit? \_\_\_\_\_

☐ ☐ ☐ ☐ We review our trends in contributed and earned income. \_\_\_\_\_

### D. Property-Asset-Pension Management

☐ ☐ ☐ ☐ We follow a board approved investment policy. \_\_\_\_\_

☐ ☐ ☐ ☐ All foundation assets (mortgages, deeds, leases, insurance, equipment, etc.) are in the name of our foundation. \_\_\_\_\_

### E. Financial Resource Development

☐ ☐ ☐ ☐ Our fund raising complies with local, state, and federal guidelines and regulations. \_\_\_\_\_

☐ ☐ ☐ ☐ We have a fund raising plan in place. \_\_\_\_\_

☐ ☐ ☐ ☐ Our fund raising plan supports our strategic plan, goals and objectives. \_\_\_\_\_

☐ ☐ ☐ ☐ Our agency researches funding possibilities on a regular basis. \_\_\_\_\_

☐ ☐ ☐ ☐ Our agency has a diverse, wide-spread base for funding its programs and operations. \_\_\_\_\_

# VII. How We Let People Know about Us

## A. Community Needs

☐ ☐ ☐ ☐ Through research and feedback, including suggestions from community groups, service agencies, advocacy groups and users, we know the needs of our target populations. \_\_\_\_\_

☐ ☐ ☐ ☐ Our program materials and publicity reflect how our services address the needs of the target population. \_\_\_\_\_

☐ ☐ ☐ ☐ Written materials can be easily understood by our target population. \_\_\_\_\_

## B. Marketing and Public Relations

☐ ☐ ☐ ☐ We have a strategic marketing plan that supports our strategic plan and is designed to let our publics know about our organization, its mission, goals, programs, and services. \_\_\_\_\_

☐ ☐ ☐ ☐ We have a crisis communication plan in place. \_\_\_\_\_

☐ ☐ ☐ ☐ We have materials that inform our constituents about our organization and our various programs. \_\_\_\_\_

## C. Collaborations

☐ ☐ ☐ ☐ Our organization recognizes the growing importance of collaborations, and we explore opportunities to collaborate with other agencies. \_\_\_\_\_

☐ ☐ ☐ ☐ We are currently involved in the following collaborations: \_\_\_\_\_