**ACCELERATED STRATEGIC PLANNING PROCESS**

**The following accelerated process has been developed by Boris Frank to**

**specifically assist smaller and medium sized agencies in**

**preparing outcome based strategic plans**

**Boris has utilized this process as facilitator for over 500**

**not-for-profit and government agencies**

**PROCESS**

The process includes:

* Addressing desired outcomes and impact

\* Reviewing the Organization’s mission

\* Developing a vision for the Organization

\* Discussion of opportunities available to the Organization

\* Establishing strategic goals, objectives and priorities

\* Initiating the process of implementing the goals and assigning responsibilities and deadlines

The process includes a planning meeting to address vision, goals and strategic objectives and elements of an implementation document based upon results of the process.

**ADVANCE PLANNING**

Individual interviews are conducted with Board members, staff and key volunteers and stakeholders to determine what critical issues need to be addressed, and to obtain their ideas and recommendations regarding Organization plans.

Interview questions include:

* **What is our image? Credibility?**
* **How effective are we? How good a job do we do?**
* **What can we improve or do better?**
* **What trends or changes do you see?**
* **What opportunities are there for us?**
* **What challenges or threats do we face?**
* **What key or priority issues do you think we should be addressing?**
* **What goals and objectives do you think we should set?**

Board and staff are also asked to complete an ***Agency Assessment*** that identifies operational issues that require attention (attached).

Key issues are identified in consultation with the Board and staff prior to the planning meeting, based upon the individual interviews conducted by Boris Frank.

**PLANNING MEETING**

Board members and staff participate in a planning meeting, or series of meetings, that lead to adoption of key strategic goals and objectives for the Organization.

Sample agenda is attached.

**REPORT**

The planning meeting report serves as the Board and staff operating and activity agenda for the Organization. Specific activities...an action plan...are then developed by staff and volunteers to achieve the goals and objectives.

The report can be transferred to a 1-page Logic Model Outcome document that can be utilized by the Board and staff in governing, managing and evaluating Agency progress and effectiveness.

**SAMPLE 1-DAY PLANNING MEETING AGENDA**

 8:00 - 8:30 Gather; Rolls, bagels, coffee, juice

 8:30 - 8:45 Introductions

 Goals for the day

 Long range planning; strategic planning

 **Where are we now?**

 8:45 - 9:15 Current situation

 **Where do we want to go?**

9:15 - 10:15. Desired outcomes and impact – “What difference do we make?”

 Affirmation of our mission, our vision, our values

 Confirm key issues

 Report from pre-interviews with staff, Board and Stakeholders

10:15 - 10:30. Break

 **How are we going to get there?** (Sample issues)

10:30 - 11:30 Key Issue #1: **- Programming:** Objectives, strategies, responsibilities

11:30 - 12:00 Key Issue #2: **- Staffing:** Objectives, strategies, responsibilities

12:00 - 12:45 Serve lunch

12:45 - 1:15 Key Issue #3: **- Fundraising:** Objectives, strategies, responsibilities

 1:15 - 1:45 Key Issue #4 - **Organizational Structure:** Objectives, strategies, responsibilities

 1:45 - 2:00 Break

 2:00 - 2:45 Other Issues

* **Publicity and Public Information**

 2:45 - 3:00 Next steps

 3:00 - 3:15 Summary, adjourn

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**AGENCY ASSESSMENT**

**GOVERNANCE AND OPERATIONS**

**Updated 6/1/2018**

**POLICIES, PRINCIPLES, GUIDELINES AND “BEST PRACTICES”**

**Due Diligence Issues for Nonprofit Organizations**

**To help evaluate the effectiveness of our organization, please complete this questionnaire**

**using the following scale:**

 1. Not or never true

 2. Rarely true

 3. True 50% of the time

 4. Usually true

 5. Always or absolutely true

 6. Do not know

 7. Does not apply

**BOARD**

1. \_\_\_ Board members understand the roles and responsibilities of a Board

2. \_\_\_ Our bylaws are up to date and effective

3 \_\_\_ We follow our bylaws

4. \_\_\_ Board members understand the principles of “due care and diligence, prudence, good faith and loyalty”

5. \_\_\_ There is a formal process for selecting Board members

6. \_\_\_ Community diversity, interests and perspectives are represented on the Board

7. \_\_\_ A substantial majority of the Board members are independent and do not receive personal benefit from the agency

8. \_\_\_ The bylaws define Board terms, which are enforced

9. \_\_\_ There are written, current Board job descriptions

10. \_\_\_ There are written, current performance standards for Board members

11. \_\_\_ Board members are not compensated, other than for reasonable expenses

12. \_\_\_ New Board members are adequately oriented and trained

13. \_\_\_ The Board works well together

14. \_\_\_ There are people on the Board with financial and nonprofit accounting expertise who review the financial reports

15. \_\_\_ The Board and its members regularly evaluate their effectiveness

16. \_\_\_ Board meetings are effective, well run and deal with important issues

17. \_\_\_ Board and committee meetings start and end on time

18. \_\_\_ The Board receives an agenda, including committee, Executive Director reports and related documents in advance of Board meetings

19. \_\_\_ Board members review advance information and come prepared to meetings

20. \_\_\_ Board minutes are kept, reflecting actions and dissent

21. \_\_\_ Conflict of interest and loyalty policies are in place; Board members and staff are required to disclose potential conflicts of interest and sign a conflict of interest statement

22. \_\_\_ Privacy and confidentiality policies are in place

23. \_\_\_ All Board members receive and understand financial reports

24. \_\_\_ The bylaws provide for removing ineffective or inactive Board members

25. \_\_\_ The Board meets in executive session to discuss staff and personnel issues

26. \_\_\_ Bylaws, policies and procedures are periodically reviewed

27. \_\_\_ We have a political activity and advocacy policy

28. \_\_\_ Compensated staff do not serve as officers

29. \_\_\_ The President or Board Chair does not concurrently hold the office of Treasurer or Secretary

30. \_\_\_ The Finance Committee, Audit Committee and full Board review the Federal 990 report and State reports before they are submitted

31. \_\_\_ Background checks are conducted on Board appointees

32. \_\_\_ All applicable open meeting and Freedom of Information requirements are met

33. \_\_\_ Board and staff meet together to facilitate communication

**COMMITTEES**

1. \_\_\_ It is clear how committees can be formed and that they meet statutory requirements

2. \_\_\_ The committee structure works

3. \_\_\_ All committees have clearly defined roles and responsibilities

4. \_\_\_ Committee reporting process is clear

5. \_\_\_ Committee minutes are kept

6. \_\_\_ We have an Audit Committee

7. \_\_\_ All committees that have the power to “exercise the powers of the Board with respect to the management of the affairs of the corporation when the Board is not meeting” include at least three Board members (Wisconsin statutory requirement)

**PERSONNEL, STAFFING AND VOLUNTEERS**

1. \_\_\_ The hiring process of the CEO is well defined and effective

2. \_\_\_ Roles and relationships among Board, staff and volunteers are clear

3. \_\_\_ Communication between Board, staff and volunteers is effective

4. \_\_\_ There is a clear, current agency organizational chart

5. \_\_\_ The Board is not involved in subordinate staffing decisions

6. \_\_\_ Staff is effective and competent and works well together. Morale is high

7. \_\_\_ Background checks are conducted when hiring staff

8. \_\_\_ Personnel handbook and policies are current, regularly updated and have been reviewed by competent human resource professionals

9. \_\_\_ Grievance procedures and policies are current

10. \_\_\_ A Whistleblower policy exists enabling staff and volunteers to bring critical administrative and operating issues and concerns directly to the Board without fear of retaliation

11. \_\_\_ Staff have current job descriptions and performance standards

12. \_\_\_ The CEO is evaluated by the Board at least annually

13. \_\_\_ All staff are regularly evaluated by their supervisor; appropriate records of evaluation are maintained in the employee’s personnel file

14. \_\_\_ Employee workload, compensation and benefits are at levels that attract a qualified staff

15. \_\_\_ Staff is responsive to Board requests for information

16. \_\_\_ Volunteer policies and procedures are in place and are applied

17. \_\_\_ A CEO succession plan exists

18. \_\_\_ Staff and volunteers have been appropriately screened and background checks conducted

19. \_\_\_ We have a policy regarding personal use of agency facilities and services

**BUDGETING AND FINANCES**

1. \_\_\_ We have adequate operating funds

2. \_\_\_ An annual budget is approved by the Board

3. \_\_\_ The annual budget projects a “profit”

4. \_\_\_ We have a 12-18 month cash flow projection

5. \_\_\_ All income and funds received are deposited within 48 hours of receipt

6. \_\_\_ An accounting system based on updated generally accepted accounting principles is in place and applied

7. \_\_\_ Financial policies and procedures are up to date and documented

8. \_\_\_ Financial reports, including statement of financial position (balance sheet) and statement of activities, compared to budget and prior year, and cash flow projection are regularly reviewed by the Board

9. \_\_\_ Internal financial audit controls and procedures, based on generally accepted principles and practices, are in place and applied

10. \_\_\_ All payroll taxes and other payables are remitted in a timely manner and are up to date

11. \_\_\_ A regular audit or financial review is conducted within 3 to 5 months of the end of the fiscal year

12. \_\_\_ Our audit is “clean” and unqualified

13. \_\_\_ Our auditor provides us with a Management Letter describing any issues that require attention

14. \_\_\_ Staff, Board members and volunteers with financial responsibilities are not involved in selecting the auditor

15. \_\_\_ The Audit Committee and Finance Committee meet in executive session with the auditor

16. \_\_\_ All Board members receive a copy of the audit/review and management letter, and have an opportunity to meet with and question the auditor

17. \_\_\_ An adequate reserve fund exists

18. \_\_\_ We have an investment policy that is regularly reviewed

19. \_\_\_ The Board and staff have exercised due diligence in selecting and monitoring all financial relationships…especially investment advisers and counsel

20. \_\_\_ Everyone handling money or involved in financial transactions is bonded or is covered by an insurance dishonesty policy

21. \_\_\_ The agency does not make loans, or guarantee loans, to Board or staff

22. \_\_\_ Reasonable, cost effective travel and expense reimbursement policies are in place

23. \_\_\_ At least 65% of the annual budget is devoted to program activities

24. \_\_\_ Depreciation is funded

25. \_\_\_ We have an available line of credit

**FUNDRAISING**

1. \_\_\_ Responsibility for fundraising is clearly defined and assigned

2. \_\_\_ A fundraising and development plan is in place

3. \_\_\_ Fundraising is diverse, not depending upon limited sources

4. \_\_\_ The Board plays a role in fundraising

5. \_\_\_ All Board members contribute annually

6. \_\_\_ Board members and volunteers are adequately trained in sound fundraising procedures

7. \_\_\_ The Board chair takes a lead role in fundraising

8. \_\_\_ Fundraising is cost effective and adequately staffed and funded

9. \_\_\_ We have written Gift Acceptance, Donors Rights and Privacy Policies

10. \_\_\_ All gifts and pledges are acknowledged within 48 hours of receipt

11. \_\_\_ A formal acknowledgement meeting IRS requirements is sent to all donors

12. \_\_\_ We are in compliance with Better Business Bureau Standards of Practice

13. \_\_\_ We adhere to the Association of Fundraising Professionals code of ethical standards

14. \_\_\_ Individuals raising funds for the agency are not compensated based on a commission or percentage of funds raised

15. \_\_\_ We are licensed, where required, in all states where we solicit funds

**MANAGEMENT AND OPERATIONS**

1. \_\_\_ Operating policies are current and have been approved by the Board

2. \_\_\_ There are clear policies as to who may legally speak for and commit the organization

3. \_\_\_ Working conditions and resources are adequate

4. \_\_\_ Technology is state-of-the-art

5. \_\_\_ Record keeping and files are current and accessible

6. \_\_\_ Computer records and electronic files are regularly backed up and stored off site

7. \_\_\_ Copies of critical documents are stored off site

8. \_\_\_ We have adequate insurance coverage including general liability, property, vehicle, workers compensation, financial malfeasance and dishonesty, and directors and officers liability. Volunteers are appropriately covered. We review our coverage at least annually

9. \_\_\_ Crisis resolution and disaster recovery plans exist

10. \_\_\_ A document retention policy is in place

11. \_\_\_ We are familiar with and follow all rules, regulations and guidelines regarding political activity

12. \_\_\_ Required agency documents, including federal and state reports, financial reports and program effectiveness reports are available for public review

13. \_\_\_ An annual inventory of agency equipment and facilities is performed

**PUBLIC INFORMATION**

1. \_\_\_ An agency spokesperson(s) has been identified

2. \_\_\_ An effective marketing and public information strategy is in place

3. \_\_\_ We are transparent…the public, stakeholders, clients, members and other partners are kept informed about the agency

4. \_\_\_ Marketing and public information materials are current and effective

5. \_\_\_ We are well known in the community

6. \_\_\_ Our credibility is high and we have a positive image in the community

**PLANNING, PROGRAMS AND EVALUATION**

1. \_\_\_ Mission is clear and current

2. \_\_\_ A strategic plan comprising mission, vision, values, goals, measurable objectives, and outcomes is current and has been adopted by the Board

3. \_\_\_ Planning is based on community needs assessment that includes input from stakeholders, consumers and clients

4. \_\_\_ The strategic plan is regularly reviewed and updated

5. \_\_\_ Our programs and projects are effective

6. \_\_\_ A process is in place to continually evaluate the effectiveness of the agency and our programs

7. \_\_\_ We regularly meet our goals and objectives

**Organization\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Your role with the organization: \_\_\_\_Staff \_\_\_\_ Volunteer \_\_\_\_ Board Member**

 **\_\_\_\_ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date \_\_\_\_\_\_\_\_\_**

**Optional: Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**NOTES AND COMMENTS**