**Criteria, Standards and Indicators**

**${affname}**

**Criteria I: Organizational Soundness**

Affiliates are governed by an elected volunteer board of directors that should consist of individuals who are committed to the mission of the organization. An effective affiliate board determines the mission of the organization, establishes management practices, policies and procedures, assures that adequate human resources (volunteer and paid staff) and financial resources are available, and actively monitors the organizations financial and programmatic performance.

**Administration and Governance**

**Standard 1** The affiliate board ensures that the affiliate’s policies, standards, practices, and procedures are in compliance with the policies and standards of the National Urban League.

**Indicators of Effectiveness**

* 1. Does the Affiliate’s Bylaws include all of the following items? Yes No
* A minimum requirement of at least 5 Board members? \_${c1\_s1\_1\_1\_checkbox\_1\_yes}\_\_ \_${c1\_s1\_1\_1\_checkbox\_1\_no}\_
* Requirement of a quorum to transact business? \_${c1\_s1\_1\_1\_checkbox\_2\_yes}\_\_ \_${c1\_s1\_1\_1\_checkbox\_2\_no}\_
* How and when notices for Board meetings are made? \_${c1\_s1\_1\_1\_checkbox\_3\_yes}\_\_ \_${c1\_s1\_1\_1\_checkbox\_3\_no}\_
* How members are elected/appointed by the Board? \_${c1\_s1\_1\_1\_checkbox\_4\_yes}\_\_ \_${c1\_s1\_1\_1\_checkbox\_4\_no}\_
* What the terms of office are for Board members? \_${c1\_s1\_1\_1\_checkbox\_5\_yes}\_\_ \_${c1\_s1\_1\_1\_checkbox\_5\_no}\_
* How Board members will be removed from the Board? \_${c1\_s1\_1\_1\_checkbox\_6\_yes}\_\_ \_${c1\_s1\_1\_1\_checkbox\_6\_no}\_
* How urgent matters will be handled in between board meetings? \_${c1\_s1\_1\_1\_checkbox\_7\_yes}\_\_ \_${c1\_s1\_1\_1\_checkbox\_7\_no}\_
* Term limits for board members – page, \_\_${c1\_s1\_1\_1\_val\_1}\_\_\_
* Attendance for board members – page,\_\_${c1\_s1\_1\_1\_val\_2}\_\_\_
* Participation for board members – page, \_\_${c1\_s1\_1\_1\_val\_3}\_\_\_
* Consequences for noncompliance with board policies – page, \_\_${c1\_s1\_1\_1\_val\_4}\_

**NUL Comments/Recommendations: *${c1\_s1\_1\_1\_comment\_1}***

* 1. Does the board review the affiliate’s bylaws at least every three years, revise when

necessary and file with the National Urban League?

\_${c1\_s1\_1\_2\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s1\_1\_2\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c1\_s1\_1\_2\_comment\_1}***

**Criteria I: Organizational Soundness**

* 1. The affiliate's bylaws are adhered to in the conduct of the affiliate’s corporate business

and is consistent with the articles of incorporation, National Urban League policies,

standards, and guidelines, as well as federal, state, and local laws.

\_${c1\_s1\_1\_3\_checkbox\_1\_yes}\_\_\_ Yes \_${c1\_s1\_1\_3\_checkbox\_1\_no}\_\_\_ No

**NUL Comments/Recommendations: *${c1\_s1\_1\_3\_comment\_1}***

* 1. The bylaws reflect board rotation and term limits policies, board orientation/development,

Job descriptions and committee structure.

\_${c1\_s1\_1\_4\_checkbox\_1\_yes}\_\_\_ Yes \_${c1\_s1\_1\_4\_checkbox\_1\_no}\_\_\_ No

**NUL Comments/Recommendations: *${c1\_s1\_1\_4\_comment\_1}***

* 1. The Articles of Incorporation are consistent with current state, federal, and local laws, and

are reviewed at the same time as the affiliate bylaws are updated.

${c1\_s1\_1\_5\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s1\_1\_5\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s1\_1\_5\_comment\_1}***

1.6 The corporate minutes, reports, and other legal records are filed, signed and maintained as required by federal, state, and local statutes/regulations, by National Urban League guidelines, and by parliamentary authority.

\_ ${c1\_s1\_1\_6\_checkbox\_1\_yes}\_\_\_ Yes \_${c1\_s1\_1\_6\_checkbox\_1\_no}\_ No

**NUL Comments/Recommendations: *${c1\_s1\_1\_6\_comment\_1}***

1.7 The affiliate uses an evaluation tool to evaluate the work of the board, individually and

collectively.

\_\_${c1\_s1\_1\_7\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s1\_1\_7\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s1\_1\_7\_comment\_1}***

**Annual Reports**

**Standard 2** Affiliates should prepare, and make available annually to the public, information about the affiliate’s mission, program activities, and basic audited financial data. The report should also identify the names of the affiliate’s board of directors and management staff.

**Indicators of Effectiveness**

**Criteria I: Organizational Soundness**

2.1 Attach a copy of the most recent annual report made available to the public.

**NUL Comments/Recommendations: *${c1\_s2\_2\_1\_comment\_1}***

2.2 **Describe in writing**, the procedure the affiliate has in place for allowing members of the general public to provide input to the affiliate.

**NUL Comments/Recommendations: *${c1\_s2\_2\_2\_comment\_1}***

**Board of Directors**

**Standard 3** The affiliate’s nominating committee annually assesses the affiliate’s leadership needs, recruits qualified individuals within the affiliate’s community for election by the membership body.

**Indicators of Effectiveness**

3.1 Does the affiliate’s Board of Directors recruit, select and employ the President/CEO and provide clearly written expectations and qualifications for the position?

\_${c1\_s3\_3\_1\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_1\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations*: ${c1\_s3\_3\_1\_comment\_1}***

3.2 Does the membership of the Board include expertise that would promote the proper operation of the affiliate and further the goals of the program?

\_${c1\_s3\_3\_2\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_2\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s3\_3\_2\_comment\_1}***

3.3 Does the board have a mandatory attendance policy?

\_${c1\_s3\_3\_3\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_3\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations*: ${c1\_s3\_3\_3\_comment\_1}***

3.4 Is the Board of Director’s representative of the ethnic and cultural diversity of the community?

\_${c1\_s3\_3\_4\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_4\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c1\_s3\_3\_4\_comment\_1}***

**Criteria I: Organizational Soundness**

3.5 If the affiliate has any related party transactions with board members, or between board members and members of their family, are these disclosed to the Board of Directors, and to the affiliate’s independent auditor?

\_${c1\_s3\_3\_5\_check\_1\_yes}\_\_Yes \_${c1\_s3\_3\_5\_check\_1\_no}\_ No

**NUL Comments/Recommendations: *${c1\_s3\_3\_5\_comment\_1}***

3.6 Does the organization acknowledge and disclose to the board and auditor any materials pending or threatened lawsuits, claims, or assessments which may have an impact on the organization’s finances and/or operating effectiveness?

\_${c1\_s3\_3\_6\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_6\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations*: ${c1\_s3\_3\_6\_comment\_1}***

3.7 Has the Board of Directors adopted a clear, meaningful written mission statement which reflects the affiliate’s purpose, values and people served?

${c1\_s3\_3\_7\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_7\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s3\_3\_7\_comment\_1}***

3.8 Do the affiliate’s board and staff review the mission statement at least once every three years?

\_${c1\_s3\_3\_8\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_8\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s3\_3\_8\_comment\_1}***

3.9 Are the affiliate’s programs and services congruent with the affiliate’s mission and strategic plan?

\_${c1\_s3\_3\_9\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_9\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s3\_3\_9\_comment\_1}***

3.10 If the affiliate entered into a “fiscal agent” or “host organization” relationship with another organization, does the affiliate have a written agreement on file which defines the terms of the relationship with the other organization?

\_${c1\_s3\_3\_10\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_10\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s3\_3\_10\_comment\_1}***

**Criteria I: Organizational Soundness**

3.11 How many times each year does the Affiliate Board meet?

\_\_\_${c1\_s3\_3\_11\_val\_1}\_\_\_\_\_\_ \_\_\_${c1\_s3\_3\_11\_val\_2}\_\_\_\_\_\_

**NUL Comments/Recommendations: *${c1\_s3\_3\_11\_comment\_1}***

3.12 How many board meetings **did not** have a quorum during the previous year?

\_\_\_${c1\_s3\_3\_12\_val\_1}\_\_\_\_\_\_

**NUL Comments/Recommendations: *${c1\_s3\_3\_12\_comment\_1}***

3.13 Does the board approve contracts entered into by the Affiliate?

\_${c1\_s3\_3\_13\_checkbox\_1\_yes}\_\_Yes \_${c1\_s3\_3\_13\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s3\_3\_13\_comment\_1}***

3.14 Does the Affiliate provide written agendas, as well as materials relating to significant decisions, in advance of board meetings?

\_${c1\_s3\_3\_14\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_14\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations:  *${c1\_s3\_3\_14\_comment\_1}***

3.15 Do family members serve on the Board?

\_${c1\_s3\_3\_15\_checkbox\_1\_yes}\_\_Yes \_${c1\_s3\_3\_15\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s3\_3\_15\_comment\_1}***

3.16 What is the affiliate’s policy to prevent conflict of interest?

\_${c1\_s3\_3\_16\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s3\_3\_16\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations*: ${c1\_s3\_3\_16\_comment\_1}***

**Affiliate Policies and Procedures**

**Standard 4** The affiliate fulfills its corporate obligations as required by local, state, federal

laws and the National Urban League.

**Indicators of Effectiveness**

**Criteria I: Organizational Soundness**

4.1 Does the affiliate have the following policies and procedures manuals in place?

\_${c1\_s4\_4\_1\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s4\_4\_1\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations:  *${c1\_s4\_4\_1\_comment\_1}***

4.2 Is the personnel manual regularly reviewed and updated to (1) describe recruitment, hiring, termination and standard work rules for all staff and (2) maintain compliance with changing government regulations including FLSA, EEOC, ADA, OSHA, FMLA and Affirmative Action Plan?

\_${c1\_s4\_4\_3\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s4\_4\_3\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s4\_4\_3\_comment\_1}***

4.3 Are copies of the manual available for all board members, volunteers and staff?

\_${c1\_s4\_4\_2\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s4\_4\_2\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s4\_4\_2\_comment\_1}***

4.4 The affiliate has uploaded compliance documents into the affiliate date management system as required by National Urban League guidelines, and by the Terms of Affiliation.

\_${c1\_s4\_4\_5\_checkbox\_1\_yes} \_\_Yes \_${c1\_s4\_4\_5\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s4\_4\_4\_comment\_1}***

4.5 The affiliate monitors legislative and regulatory actions that affect its corporate rights and responsibilities and takes appropriate action.

\_${c1\_s4\_4\_4\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s4\_4\_4\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations:**  ***${c1\_s4\_4\_5\_comment\_1}***

4.6 The board of directors retains (either pro bono or fee-based) the services of independent legal counsel, who is available on an ongoing basis and who does not hold elective or appointed office in the affiliate.

\_${c1\_s4\_4\_6\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s4\_4\_6\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s4\_4\_6\_comment\_1}***

**Criteria I: Organizational Soundness**

4.7 Negotiating and entering into contracts in the name of or on behalf of the Urban League are conducted by individuals identified in the policies and procedures manual established by the affiliate board of directors or bylaws.

\_${c1\_s4\_4\_7\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s4\_4\_7\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s4\_4\_7\_comment\_1}***

**Strategic Planning**

**Standard 5** The affiliate must have a grounded starting point to effectively accomplish the mission. A strategic plan is a vital tool and an important process that helps the affiliate attain its goals and objectives.

**Indicators of Effectiveness**

5.1 Does the affiliate have a clearly defined Strategic Plan with timelines for achieving affiliate goals and objectives?

\_${c1\_s5\_5\_1\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s5\_5\_1\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_1\_comment\_1}***

5.2 Did the affiliate involve board members, staff, service recipients, volunteers, key constituents and general members of the community to participate in the strategic planning process?

\_${c1\_s5\_5\_2\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s5\_5\_2\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_2\_comment\_1}***

5.3 Does the affiliate’s strategic plan identify changing community needs as well as the affiliate’s strengths, weaknesses, opportunities and threats?

\_${c1\_s5\_5\_3\_checkbox\_1\_yes}\_\_Yes \_${c1\_s5\_5\_3\_checkbox\_1\_no}\_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_3\_comment\_1}***

5.4 Does the strategic plan address the critical issues facing the Affiliate?

\_${c1\_s5\_5\_4\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s5\_5\_4\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_4\_comment\_1}***

**Criteria I: Organizational Soundness**

5.5 Was the plan developed by researching the internal and external environment?

\_${c1\_s5\_5\_5\_checkbox\_1\_yes}\_ Yes \_${c1\_s5\_5\_5\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c1\_s5\_5\_5\_comment\_1}***

5.6 Does the strategic plan set goals and measurable objectives that address the critical issues facing the affiliate?

\_${c1\_s5\_5\_6\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s5\_5\_6\_checkbox\_1\_no}\_\_ No

***NUL Comments/Recommendations: ${c1\_s5\_5\_6\_comment\_1}***

5.7 Does the strategic plan integrate all of the affiliate’s programs and services around a focused mission?

\_${c1\_s5\_5\_7\_checkbox\_1\_yes}\_\_ Yes \_${c1\_s5\_5\_7\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_7\_comment\_1}***

5.8 Does the Strategic plan prioritize affiliate goals and include timelines for the accomplishment of the goals?

\_${c1\_s5\_5\_8\_checkbox\_1\_yes}\_\_Yes \_${c1\_s5\_5\_8\_checkbox\_1\_no}\_ \_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_8\_comment\_1}***

5.9 Is the affiliate’s strategic plan communicated to all of the affiliate’s stakeholders, including board members, staff, volunteers, service recipients and the general community?

\_${c1\_s5\_5\_9\_checkbox\_1\_yes}\_\_Yes \_${c1\_s5\_5\_9\_checkbox\_1\_no}\_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_9\_comment\_1}***

5.10 Does the affiliate’s strategic plan establish an evaluation process with performance indicators to measure the Affiliate’s progress toward achievement of goals and objectives?

\_${c1\_s5\_5\_10\_checkbox\_1\_yes}\_Yes \_${c1\_s5\_5\_10\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_10\_comment\_1}***

**Criteria I: Organizational Soundness**

5.11 Has the affiliate’s management staff developed internal work plans that indicate how the affiliate’s staff and financial resources will be allocated to insure that the affiliate’s strategic goals are accomplished in a timely manner?

\_${c1\_s5\_5\_11\_checkbox\_1\_yes}\_\_Yes \_${c1\_s5\_5\_11\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c1\_s5\_5\_11\_comment\_1}***

**Public Affairs and Public Policy**

**Standard 6** Affiliates promote an important vehicle through which individuals together organize and

Work to improve their communities. Affiliates should represent the interests of the

people they serve through public education and public policy advocacy, as well as by

encouraging board members, staff, volunteers and constituents to participate in the

affairs of the community.

**Indicator of Effectiveness**

6.1 Does the affiliate have a written policy on advocacy defining the process by which the affiliate determines positions on specific issues?

**NUL Comments/Recommendations: *${c1\_s6\_6\_1\_comment\_1}***

**Criteria, Standards and Indicators**

**Criteria 2: Organizational Vitality**

An effective Urban League affiliate has sufficient resources and assumes responsibility for managing them, in order to ensure the continuation and expansion of the Urban League in the affiliate community.

**Human Resources**

The affiliate's relationship to its employees and volunteers is fundamental to its ability to achieve its mission. Volunteers occupy a special place in the organization, serving in governance, administrative and programmatic capacities. An organization’s human resource policies should address both paid employees and volunteers, and should be fair, establish clear expectations, and provide for meaningful and effective performance evaluation.

**Personnel Policies**

**Standard 1** An affiliate should have written personnel policies and procedures, approved by the board of directors, governing the work and actions of all employees and volunteers of the organization. In addition to covering basic elements of the employment relationship (working conditions, employee benefits, vacation and sick leave), the policies should address employee evaluation, supervision, hiring and firing, grievance procedures, employee growth and development, confidentiality of employees, and client and organization records information.

**Indicators of Effectiveness**

1.1 Attach a copy of the affiliate’s personnel policies indicating the date they were last reviewed \_\_${c2\_s1\_1\_1\_date\_1}\_\_\_\_, and last approved by the board of directors. \_${c2\_s1\_1\_1\_date\_2}\_\_.

**NUL Recommendations/Comments: *${c2\_s1\_1\_1\_comment\_1}***

1.2 Affiliate personnel policies for employed staff are reviewed every three (3) years and are consistent with federal, state, and local statutory requirements pertaining to employment, wages and hours, health and safety, and equal employment opportunity.

\_${c2\_s1\_1\_2\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s1\_1\_2\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s1\_1\_2\_comment\_1}***

1.3 With respect to volunteers, do the affiliate’s volunteer manual address initial assessment or screening, assignment to and training for appropriate work responsibilities, ongoing supervision and evaluation, and opportunities for advancement; and have all volunteers been required to sign the volunteer application form.

\_${c2\_s1\_1\_3\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s1\_1\_3\_checkbox\_1\_no}\_\_ No

**Criteria 2: Organizational Vitality**

**NUL Recommendations/Comments: *${c2\_s1\_1\_3\_comment\_1}***

1.4 Does the affiliate have a written job description for each employee that clearly identifies roles and responsibilities, and is there a system in place for annual written evaluations of employees by their respective supervisors?

\_${c2\_s1\_1\_4\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s1\_1\_4\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s1\_1\_4\_comment\_1}***

* 1. Employed staff positions have been evaluated under a comparable pay-for-performance

compensation system, and appropriate salary structures have been adopted and

implemented, to ensure internal equity and external competitiveness.

\_${c2\_s1\_1\_5\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s1\_1\_5\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s1\_1\_5\_comment\_1}***

1.6 The affiliate's performance management system incorporates career development for all employees, including employee orientation, supervisory coaching, and systematic access to information about local and National Urban League training opportunities.

\_${c2\_s1\_1\_6\_checkbox\_1\_yes}\_ Yes \_${c2\_s1\_1\_6\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s1\_1\_6\_comment\_1}***

1.7 The affiliate participates in medical, dental, life insurance, tax-deferred annuity, disability income, and retirement plans, or has an equivalent benefit program.

\_${c2\_s1\_1\_7\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s1\_1\_7\_checkbox\_1\_no}\_\_No

**NUL Recommendations/Comments: *${c2\_s1\_1\_7\_comment\_1}***

**Fundraising**

**Standard 2** Fundraising provides an important source of financial support for the work of the affiliate. An affiliate’s fundraising program should be maintained on a foundation of truthfulness and responsible stewardship. Its fundraising policies should be consistent with its mission, compatible with its organizational capacity, and respectful of the interests of donors and prospective donors. Fundraising costs should be reasonable over time. Over a three (3) year period, an affiliate should realize revenue from fundraising and other development activities that are at least three times the amount spent on conducting them. Affiliates

**Criteria 2: Organizational Vitality**

whose ratio is less that 3:1 should demonstrate that they are making steady progress toward achieving this goal, or should be able to justify why a 3:1 ratio is not appropriate for this affiliate.

**Indicators of Effectiveness**

2.1 The affiliate board of directors has taken action to develop and implement fund development strategies to meet long-range operating and capital income needs.

\_${c2\_s2\_2\_2\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s2\_2\_2\_checkbox\_1\_no}\_ No

**NUL Recommendations/Comments: *${c2\_s2\_2\_1\_comment\_1}***

2.2 For the last three (3) years, provide the total amount of revenues from fundraising and other development activities and the total amount of funds spent on conducting them.

**Year (Period) Total Raised Total Spent Net**

**${c2\_s2\_2\_2\_val\_1} $${c2\_s2\_2\_2\_val\_2} $${c2\_s2\_2\_2\_val\_3} $${c2\_s2\_2\_2\_val\_4}**

**${c2\_s2\_2\_2\_val\_5} $${c2\_s2\_2\_2\_val\_6} $${c2\_s2\_2\_2\_val\_7} $${c2\_s2\_2\_2\_val\_8}**

**${c2\_s2\_2\_2\_val\_9} $${c2\_s2\_2\_2\_val\_10} $${c2\_s2\_2\_2\_val\_11} $${c2\_s2\_2\_2\_val\_12}**

**NUL Recommendations/Comments:  *${c2\_s2\_2\_2\_comment\_1}***

2.3 For the last three (3) years, provide revenue from all sources.

**Year (Period) Total Revenue**

\_\_**${c2\_s2\_2\_3\_val\_1}\_\_\_ $${c2\_s2\_2\_3\_val\_2}**

**\_\_${c2\_s2\_2\_3\_val\_3}\_\_\_ $${c2\_s2\_2\_3\_val\_4}**

**\_\_${c2\_s2\_2\_3\_val\_5}\_\_\_ $${c2\_s2\_2\_3\_val\_6}**

**NUL Recommendations/Comments:  *${c2\_s2\_2\_3\_comment\_1}***

2.4 For the last three (3) years, provide the affiliate's total income for direct and indirect contributions generated by individuals, foundations, corporations.

**Year (Period) Total Contributions**

\_\_**${c2\_s2\_2\_4\_val\_1}\_ $${c2\_s2\_2\_4\_val\_2}**

\_\_**${c2\_s2\_2\_4\_val\_3}\_ $${c2\_s2\_2\_4\_val\_4}**

\_\_**${c2\_s2\_2\_4\_val\_5}\_ $${c2\_s2\_2\_4\_val\_6}**

**NUL Recommendations/Comments: *${c2\_s2\_2\_4\_comment\_1}***

2.5 Members of the board of directors take active leadership in obtaining funds for the work of the affiliate through activities that include solicitation and identification of prospects.

\_${c2\_s2\_2\_5\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s2\_2\_5\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s2\_2\_4\_comment\_1}***

* 1. Each board member demonstrates leadership and commitment by making an annual personal financial contribution.

\_${c2\_s2\_2\_6\_checkbox\_1\_yes}\_\_ Yes ${c2\_s2\_2\_6\_checkbox\_1\_no}\_\_ No

**Year (Period) Board Member Personal Contribution**

\_\_**${c2\_s2\_2\_6\_val\_1}\_\_\_ \_\_$${c2\_s2\_2\_6\_val\_2}**

\_\_**${c2\_s2\_2\_6\_val\_3}\_\_\_ \_\_$${c2\_s2\_2\_6\_val\_4}**

\_\_**${c2\_s2\_2\_6\_val\_5}\_\_\_ \_\_$${c2\_s2\_2\_6\_val\_6}**

**NUL Recommendations/Comments: *${c2\_s2\_2\_6\_comment\_1}***

**Fiscal/Financial Management**

**Standard 3** The affiliate operates in the context of a well-managed and effectively administered organization and are supported by a solid fiscal management system

**Indicators of Effectiveness**

3.1 What accounting software package does the affiliate use?

**Abila MIP Version 19.2.0,0 (Web /Cloud based) – ­**

**T**his software last updated/revised? **\_\_**${c2\_s3\_3\_1\_date\_1} **\_**

**NUL Recommendations/Comments: *${c2\_s3\_3\_1\_comment\_1}***

3.2 Does the affiliate have systems in place to provide the appropriate information needed by staff and board to make sound financial decisions and to fulfill Internal Revenue Service requirements?

**\_**${c2\_s3\_3\_2\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_2\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s3\_3\_2\_comment\_1}***

**Criteria 2: Organizational Vitality**

3.3 Does the mail policy forbid opening the mail by the same person who deposits checks?

**\_**${c2\_s3\_3\_3\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_3\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: “*${c2\_s3\_3\_3\_comment\_1}”.***

3.4 For the last three (3) years, did the affiliate expend more than $500,000 ($750,000 (if applicable)) in federal funds? (This includes Federal funds received from a “pass through” entity as well). If so, did the affiliate obtain an OMB A-133 audit?

\_\_${c2\_s3\_3\_4\_checkbox\_1\_yes}\_ Yes \_${c2\_s3\_3\_4\_checkbox\_1\_no}\_\_No \_\_${c2\_s3\_3\_4\_val\_1}\_\_N/A

**NUL Recommendations/Comments: *${c2\_s3\_3\_4\_comment\_1}***

3.5 For the last three (3) years, did the affiliate’s A-133 audits contain “notes or areas of concern noted by the auditors?

\_${c2\_s3\_3\_5\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_5\_checkbox\_1\_no}\_\_No \_${c2\_s3\_3\_5\_val\_1}\_\_ N/A

**NUL Recommendations/Comments:  *${c2\_s3\_3\_5\_comment\_1}***

3.6 Does the affiliate reconcile all cash accounts monthly?

\_${c2\_s3\_3\_6\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_6\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s3\_3\_6\_comment\_1}***

3.7 If the affiliate has billable contracts or other service income, are written procedures established for the periodic billing, follow-up, and collection of all accounts, and does it have the documentation that substantiates all billings.

\_${c2\_s3\_3\_7\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_7\_checkbox\_1\_no}\_\_No \_${c2\_s3\_3\_7\_val\_1}\_\_N/A

**NUL Recommendations/Comments:  *${c2\_s3\_3\_7\_comment\_1}***

3.8 For the last three (3) years, according to the affiliate’s most recent audits, did the affiliate have a decrease in Unrestricted Net Assets greater than 33%?

\_${c2\_s3\_3\_8\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_8\_checkbox\_1\_no}\_\_ No

**Year (Period) U/R Net Assets Change**

**${c2\_s3\_3\_8\_val\_1} $${c2\_s3\_3\_8\_val\_2} $${c2\_s3\_3\_8\_val\_3} \_**

**${c2\_s3\_3\_8\_val\_4} $${c2\_s3\_3\_8\_val\_5} $${c2\_s3\_3\_8\_val\_6}**

**Criteria 2: Organizational Vitality**

**${c2\_s3\_3\_8\_val\_7} $${c2\_s3\_3\_8\_val\_8} $${c2\_s3\_3\_8\_val\_9}**

**NUL Recommendations/Comments: *${c2\_s3\_3\_8\_comment\_1}***

3.9 For the last three (3) years, did the affiliate have a positive fund balance?

\_{c2\_s3\_3\_9\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_9\_checkbox\_1\_no}\_\_No

**Year (Period) Fund Balance**

\_\_**${c2\_s3\_3\_9\_val\_1} $${c2\_s3\_3\_9\_val\_2}**

\_\_**${c2\_s3\_3\_9\_val\_3} $${c2\_s3\_3\_9\_val\_4}**

\_\_**${c2\_s3\_3\_9\_val\_5} $${c2\_s3\_3\_9\_val\_6}**

**NUL Recommendations/Comments:  *${c2\_s3\_3\_9\_comment\_1}***

3.10 For the last three (3) years, according to the affiliate’s audits, do the affiliate’s Management and General Cost exceed 30%?

\_${c2\_s3\_3\_10\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_10\_checkbox\_1\_no}\_\_ No

**Year (Period) Mgmt. & Gen. Total Exp. Percent**

\_\_**${c2\_s3\_3\_10\_val\_1}\_\_\_ $${c2\_s3\_3\_10\_val\_2}\_ $${c2\_s3\_3\_10\_val\_3}\_ $${c2\_s3\_3\_10\_val\_4}**

\_\_**${c2\_s3\_3\_10\_val\_5}\_\_\_ $${c2\_s3\_3\_10\_val\_6}\_ $${c2\_s3\_3\_10\_val\_7}\_ $${c2\_s3\_3\_10\_val\_8}**

\_\_**${c2\_s3\_3\_10\_val\_9}\_\_\_ $${c2\_s3\_3\_10\_val\_10}\_ $${c2\_s3\_3\_10\_val\_11}\_ $${c2\_s3\_3\_10\_val\_12}**

**NUL Recommendations/Comments: *${c2\_s3\_3\_10\_comment\_1}***

3.11 For the last three (3) years, according to the affiliate’s audits, does the affiliate’s debt to asset exceed 50%?

\_${c2\_s3\_3\_11\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_11\_checkbox\_1\_no}\_\_ No

**Year (Period) Total Debt Total Assets Percent**

**${c2\_s3\_3\_11\_val\_1} $${c2\_s3\_3\_11\_val\_2}\_ $${c2\_s3\_3\_11\_val\_3} \_${c2\_s3\_3\_11\_val\_4}**

**${c2\_s3\_3\_11\_val\_5} $${c2\_s3\_3\_11\_val\_6}\_ $${c2\_s3\_3\_11\_val\_7} \_${c2\_s3\_3\_11\_val\_8}**

**${c2\_s3\_3\_11\_val\_9} $${c2\_s3\_3\_11\_val\_10}\_ $${c2\_s3\_3\_11\_val\_11} \_${c2\_s3\_3\_11\_val\_12}**

**NUL Recommendations/Comments: *${c2\_s3\_3\_11\_comment\_1}***

3.12 For the last three (3) years, according to the affiliate’s audits, do the affiliate’s current accounts receivables exceed 50% of the affiliate’s current assets?

\_\_${c2\_s3\_3\_12\_checkbox\_1\_yes}\_ Yes \_${c2\_s3\_3\_12\_checkbox\_1\_no}\_\_ No

**Criteria 2: Organizational Vitality**

**Year (Period) Accts Rec Current Assets Percent**

\_ **${c2\_s3\_3\_12\_val\_1}\_\_ \_ $${c2\_s3\_3\_12\_val\_2}\_ \_ $${c2\_s3\_3\_12\_val\_3}\_ \_$${c2\_s3\_3\_12\_val\_4}\_**

\_\_**${c2\_s3\_3\_12\_val\_5}\_\_ \_ $${c2\_s3\_3\_12\_val\_6}\_ \_ $${c2\_s3\_3\_12\_val\_7}\_ \_$${c2\_s3\_3\_12\_val\_8}\_**

\_\_**${c2\_s3\_3\_12\_val\_9}\_\_ \_ $${c2\_s3\_3\_12\_val\_10}\_ \_\_$${c2\_s3\_3\_12\_val\_11}\_ \_$${c2\_s3\_3\_12\_val\_12}\_**

**NUL Recommendations/Comments: *${c2\_s3\_3\_12\_comment\_1}***

3.13 If required, IRS Form 990T (Unrelated Business Income) has been filed and a copy is available to the public.

${c2\_s3\_3\_13\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_13\_checkbox\_1\_no}\_\_ No \_${c2\_s3\_3\_13\_val\_1}\_ N/A

**NUL Recommendations/Comments:  *${c2\_s3\_3\_13\_comment\_1}***

3.14 Are the affiliate’s government contracts, purchase of service agreements and grant agreements in writing and are reviewed by a staff member to monitor compliance with all stated conditions?

\_${c2\_s3\_3\_14\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_14\_checkbox\_1\_no}\_\_ No \_${c2\_s3\_3\_14\_val\_1}\_ N/A

**NUL Recommendations/Comments:  *${c2\_s3\_3\_14\_comment\_1}***

3.15 Does the affiliate have a written policy related to investments?

\_${c2\_s3\_3\_15\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_15\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s3\_3\_15\_comment\_1}***

3.16 Has the affiliate established a written plan identifying actions to take in the event of a reduction or loss in funding?

\_\_${c2\_s3\_3\_16\_checkbox\_1\_yes}\_ Yes \_${c2\_s3\_3\_16\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s3\_3\_16\_comment\_1}***

3.17 Does the Board of Directors review and approve the affiliate audit report and management letter, and with staff input and support institutes any necessary changes.

\_${c2\_s3\_3\_17\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s3\_3\_17\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s3\_3\_17\_comment\_1}***

**Criteria 2: Organizational Vitality**

3.18 Does the affiliate make training available for board and appropriate staff on relevant accounting and financial management topics?

\_\_${c2\_s3\_3\_18\_checkbox\_1\_yes}\_ Yes \_${c2\_s3\_3\_18\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s3\_3\_18\_comment\_1}***

**Internal Controls**

**Standard 4** Internal controls is the process established by the affiliate’s board of directors,

management and other personnel that is designed to provide reasonable assurance that the affiliate will efficiently and effectively achieve its objectives, reliably report finances, and comply with applicable laws and regulations.

**Indicators of Effectiveness**

4.1 The affiliate has established written procedures that are followed and reviewed annually, for internal financial controls, including the selection of authorized signatures on affiliate bank accounts through resolutions, and the requirement for enforced bonding insurance for applicable staff and board members.

\_${c2\_s4\_4\_1\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_1\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_1\_comment\_1}***

4.2 The affiliate has established written procedures for the identification, review, tracking, and handling of all assets of the Urban League affiliate and its entities.

\_${c2\_s4\_4\_2\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_2\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_2\_comment\_1}***

4.3 Does the affiliate allow checks to be pre-signed?

\_${c2\_s4\_4\_3\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_3\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_3\_comment\_1}***

4.4 Does the affiliate prepare a Statement of Financial Position and a Statement of Activities on a monthly basis?

\_${c2\_s4\_4\_4\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_4\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s4\_4\_4\_comment\_1}***

**Criteria 2: Organizational Vitality**

4.5 Does the affiliate budget planning process include management personnel, the President/CEO and members of the Board?

\_${c2\_s4\_4\_5\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_5\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_5\_comment\_1}***

4.6 Does the affiliate disbursement policy require members of the board to approve above a certain amount? What is that amount?

\_${c2\_s4\_4\_6\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_6\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s4\_4\_6\_comment\_1}***

4.7 Are cancelled checks reviewed in a timely manner, not later than \_\_\_ days following receipt?

\_${c2\_s4\_4\_7\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_7\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_7\_comment\_1}***

4.8 Is the payroll approved by a manager who is not responsible for its preparation?

\_${c2\_s4\_4\_8\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_8\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_8\_comment\_1}***

4.9 Are withholding and FICA taxes deposited on a timely basis and in accordance with federal, state, and local municipal laws, where applicable.

\_${c2\_s4\_4\_9\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_9\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_9\_comment\_1}***

4.10 Were all tax payments (includes FICA, and unemployment) made on time (by due date)?

\_${c2\_s4\_4\_10\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_10\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_10\_comment\_1}***

4.11 Are employees, board members and volunteers who handle affiliate funds and investments bonded to assure the safeguarding of assets?

\_${c2\_s4\_4\_11\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_11\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_11\_comment\_1}***

**Criteria 2: Organizational Vitality**.

**NUL Recommendations/Comments:**

4.12 Does the affiliate have a written policy on the use of its corporate credit card, and a process for recovering unauthorized usage?

\_\_${c2\_s4\_4\_12\_checkbox\_1\_yes}\_ Yes \_${c2\_s4\_4\_12\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_12\_comment\_1}***

4.13 Do the affiliate’s Accounting or Board Policy and Procedures Manual prohibit the use of bank issued debit cards?

\_${c2\_s4\_4\_13\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_13\_checkbox\_1\_no}\_\_ No \_X\_\_ N/A

**NUL Recommendations/Comments: *${c2\_s4\_4\_13\_comment\_1}***

4.14 A written strategy for diversifying sources of income has been implemented.

\_\_${c2\_s4\_4\_14\_checkbox\_1\_yes} Yes \_${c2\_s4\_4\_14\_checkbox\_1\_no}\_ No

**NUL Recommendations/Comments:  *${c2\_s4\_4\_14\_comment\_1}***

4.15 For the last three (3) years, did actual operating income equal or exceed actual operating expenses?

\_${c2\_s4\_4\_15\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_15\_checkbox\_1\_no}\_\_ No

**Year (Period) Income Expenses Net**

**$${c2\_s4\_4\_15\_val\_1}\_\_ \_$${c2\_s4\_4\_15\_val\_2}\_ \_$${c2\_s4\_4\_15\_val\_3}\_ $${c2\_s4\_4\_15\_val\_4}\_**

**$${c2\_s4\_4\_15\_val\_5}\_\_ \_$${c2\_s4\_4\_15\_val\_6}\_ \_$${c2\_s4\_4\_15\_val\_7}\_ $${c2\_s4\_4\_15\_val\_8}\_**

**$${c2\_s4\_4\_15\_val\_9}\_\_ \_$${c2\_s4\_4\_15\_val\_10}\_ \_$${c2\_s4\_4\_15\_val\_11}\_ $${c2\_s4\_4\_15\_val\_12}\_**

**NUL Recommendations/Comments: *${c2\_s4\_4\_15\_comment\_1}***

4.16 The affiliate has or is in the **active** process of creating unrestricted cash reserves equal to at least a minimum of three months.

\_${c2\_s4\_4\_16\_checkbox\_1\_yes} Yes \_${c2\_s4\_4\_16\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s4\_4\_16\_comment\_1}***

**Criteria 2: Organizational Vitality**

4.17 The affiliate board of directors has established written policies for the use of affiliate operating reserves.

\_${c2\_s4\_4\_17\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_17\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_17\_comment\_1}***

4.18 The board of directors receives and reviews on a regular basis (at least quarterly) Statement of Financial Position and a Statement of Activities.

\_${c2\_s4\_4\_18\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s4\_4\_18\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s4\_4\_18\_comment\_1}***

4.19 An independent CPA or auditing firm is engaged annually by the affiliate to perform an audit of the affiliate's financial statements and the board reviews the audit and any management letter accompanying the audit

\_${c2\_s4\_4\_19\_checkbox\_1\_yes}\_\_ Yes \_\_${c2\_s4\_4\_19\_checkbox\_1\_no}\_ No

**NUL Recommendations/Comments:  *${c2\_s4\_4\_19\_comment\_1}***

4.20 All findings and recommendations provided by the auditor have been considered and there is a record of corrective actions taken.

\_\_${c2\_s4\_4\_20\_checkbox\_1\_yes}\_ Yes \_${c2\_s4\_4\_20\_checkbox\_1\_no}\_\_ No \_\_\_ N/A

**NUL Recommendations/Comments: *${c2\_s4\_4\_20\_comment\_1}***

**Fiscal Policies and Procedures**

**Standard 5** Financial policies and financial planning should be closely integrated into the affiliate’s daily activities to be able to assess the financial feasibility of the programs and services provided

**Indicators of Effectiveness**

5.1 Affiliate dues are forwarded to the National Urban League in accordance with National Urban League policy, and is the affiliate current with payments?

\_${c2\_s5\_5\_1\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s5\_5\_1\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s5\_5\_1\_comment\_1}***

5.2 All members of the board of directors, employed staff, and operational volunteers, annually sign a conflict-of-interest, code of conduct and confidentiality statements

\_${c2\_s5\_5\_2\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s5\_5\_2\_checkbox\_1\_no}\_\_ No

**Criteria 2: Organizational Vitality**

**NUL Recommendations/Comments: *${c2\_s5\_5\_2\_comment\_1}***

5.3 The affiliate has a written risk management plan, reviewed annually, which includes a plan to protect and utilize affiliate assets. (E.g. crisis communication plan, D&O Insurance, property insurance, fiscal controls).

\_${c2\_s5\_5\_3\_checkbox\_1\_yes}\_\_ Yes **\_\_**${c2\_s5\_5\_3\_checkbox\_1\_no} No

**NUL Recommendations/Comments: *${c2\_s5\_5\_3\_comment\_1}***

5.4 The affiliate board has written policies for use of Urban League property by outside groups that minimize potential liability for the affiliate.

\_${c2\_s5\_5\_4\_checkbox\_1\_yes}\_\_ Yes ${c2\_s5\_5\_4\_checkbox\_1\_no} \_ No

**NUL Recommendations/Comments: *${c2\_s5\_5\_4\_comment\_1}***

5.5 The affiliate owns or leases sites and facilities needed to support services.

\_${c2\_s5\_5\_5\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s5\_5\_5\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s5\_5\_5\_comment\_1}***

5.6 The affiliate repairs, replaces, and maintains affiliate land, buildings, and equipment as needed and in accordance with a long-range property acquisition, maintenance and utilization plan.

\_${c2\_s5\_5\_6\_checkbox\_1\_yes}\_ Yes \_${c2\_s5\_5\_6\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s5\_5\_6\_comment\_1}***

5.7 The affiliate has a capital budget funded to meet its long-range property needs.

\_${c2\_s5\_5\_7\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s5\_5\_7\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s5\_5\_7\_comment\_1}***

5.8 Duplicates of all vital documents (i.e., property documents, insurance papers, charter, state articles of incorporation, minutes, etc.), are complete, up-to-date and are kept in a c (fire-proof safe), or in a secure location away from the affiliate’s location.

\_${c2\_s5\_5\_8\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s5\_5\_8\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s5\_5\_8\_comment\_1}***

**Criteria 2: Organizational Vitality**

**Endowments**

**Standard 6 Indicators of Effectiveness**

6.1 The affiliate board has established a restricted cash reserve to be held in perpetuity, with an income stream to support activities of the affiliate.

\_${c2\_s6\_6\_1\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s6\_6\_1\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s6\_6\_1\_comment\_1}***

6.2 The affiliate board of directors maintains control of all restricted funds.

\_${c2\_s6\_6\_2\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s6\_6\_2\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s6\_6\_2\_comment\_1}***

**Corporate Goals**

**Standard 7** The affiliate utilizes a planning system to maximize the effective and responsible development and use of resources.

7.1 The board has adopted corporate goals and objectives that give direction to the total work of the affiliate.

\_${c2\_s7\_7\_1\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s7\_7\_1\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s7\_7\_1\_comment\_1}***

7.2 The staffing structure, as determined by the President/CEO, supports the corporate goals and a reporting system is in place that includes regular written management reports to the board of directors based on the achievement of integrated objectives.

\_${c2\_s7\_7\_2\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s7\_7\_2\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments:  *${c2\_s7\_7\_2\_comment\_1}***

7.3 The board adopts the affiliate budget, inclusive of the operating and capital budgets, based on the integrated operating objectives and long-range strategies for property, fund development, membership, program, and finance management.

\_${c2\_s7\_7\_3\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s7\_7\_3\_checkbox\_1\_no}\_\_ No

**Criteria 2: Organizational Vitality**

**NUL Recommendations/Comments: *${c2\_s7\_7\_3\_comment\_1}***

7.4 The board has delegated the responsibility for operational management to the President/CEO.

\_${c2\_s7\_7\_4\_checkbox\_1\_yes}\_\_ Yes \_${c2\_s7\_7\_4\_checkbox\_1\_no}\_\_ No

**NUL Recommendations/Comments: *${c2\_s7\_7\_4\_comment\_1}***

**Legal, Compliance and Accountability**

**Standard 8** Affiliates must be aware of and comply with all applicable federal, state and local laws. This may include, but is not limited to, the following activities: complying with laws and regulations related to fundraising, licensing, financial accountability, document retention and destruction, human resources, lobbying and political advocacy, and taxation.

8.1 List at least three ways how the affiliate monitors changes in legal and regulatory requirements:

**NUL Recommendations/Comments: *${c2\_s8\_8\_1\_comment\_1}***

8.2 Provide a copy of the affiliate’s document retention policy and schedule

**NUL Recommendations/Comments: *${c2\_s8\_8\_2\_comment\_1}***

8.3 Describe, **in writing**, how the affiliate internally reviews its compliance with existing legal, regulatory, financial and National Urban League requirements.

**NUL Recommendations/Comments: *${c2\_s8\_8\_3\_comment\_1}***

**Criteria, Standards and Indicators**

**Criteria 3: Implementation of Mission**

An effective affiliate provides high quality client-focused direct service programs which demonstrate improved client outcomes in key areas.

**Program Quality**

**Standard 1**The affiliate has and uses procedures for ensuring clients receive professional services that address their individual needs.

**Indicators of Effectiveness**

1.1 **Professional Quality Overview**.The affiliate has a professional quality overview of programs. The overview includes at a minimum; the needs addressed through the program(s), description of the services, and length of program, participation requirements and expected client outcomes. Content, delivery and format should be culturally relevant and where appropriate materials should be available in languages that reflect the population served.

\_${c3\_s1\_1\_1\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s1\_1\_1\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s1\_1\_1\_comment\_1}***

* 1. **Comprehensive Client Intake.** The affiliate has a system for conducting a comprehensive client intake as appropriate. At a minimum, the Intake should include background information; identify client needs; and program interest. Specific intake information required by programmatic area should be included. All clients are assigned a unique identification number at Intake which is used to track and monitor participation and outcomes over the service and follow-up period. The use of an electronic client management system is preferred.

\_${c3\_s1\_1\_2\_checkbox\_1\_yes}\_\_ Yes \_\_${c3\_s1\_1\_2\_checkbox\_1\_no}\_ No

**NUL Comments/Recommendations: *${c3\_s1\_1\_2\_comment\_1}***

1.3 **Client Action Plans**.The affiliate program(s) develops and monitors client action plans as appropriate. The action plan includes measurable goals and benchmarks and is developed in partnership with the client.

\_${c3\_s1\_1\_3\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s1\_1\_3\_checkbox\_1\_no}\_\_No

**Criteria 3: Implementation of Mission**

**NUL Comments/Recommendations: *${c3\_s1\_1\_3\_comment\_1}***

1.4 **Service Contracts.** The affiliate program(s) requires client and provider to sign a service contract which outlines both client and program responsibilities.

\_${c3\_s1\_1\_4\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s1\_1\_4\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations:**  ***${c3\_s1\_1\_4\_comment\_1}***

1.5 **Skills and Aptitude Assessments**.The affiliate uses validated assessments to assess client skills and aptitude, where appropriate.

\_${c3\_s1\_1\_5\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s1\_1\_5\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s1\_1\_5\_comment\_1}***

1.6 **Written Referral Network**.The affiliate has a written referral network for individuals and families seeking services not provided by the affiliate.

\_${c3\_s1\_1\_6\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s1\_1\_6\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s1\_1\_6\_comment\_1}***

* 1. **Client Evaluation Form**.The affiliate provides clients with a user-friendly survey to evaluate services received.

\_${c3\_s1\_1\_7\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s1\_1\_7\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s1\_1\_7\_comment\_1}***

**Standard 2** The affiliate has procedures to protect the rights, dignity and privacy of clients participating in programs.

**Indicators of Effectiveness**

2.1 **Statement of Clients Rights**.The affiliate provides clients a written statement of their rights when seeking social services, including their right to grieve the service provided.

\_${c3\_s2\_2\_1\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s2\_2\_1\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s2\_2\_1\_comment\_1}***

**Criteria 3: Implementation of Mission**

* 1. **Grievance Procedures**.A grievance process is in place and written procedures for filing a grievance are available to clients.

\_${c3\_s2\_2\_2\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s2\_2\_2\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s2\_2\_2\_comment\_1}***

* 1. **Protect Client Confidentiality.** The affiliate has in place procedures for collecting and sharing confidential and personal information. The affiliate provides private areas for collecting confidential information.

\_${c3\_s2\_2\_3\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s2\_2\_3\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s2\_2\_3\_comment\_1}***

**Standard 3** The affiliate has in place a record keeping system that supports client services, program evaluation and protects client confidentiality and privacy.

**Indicators of Effectiveness**

3.1 **Client Management System.** The affiliate has in place a client management system to collect and maintain client records. An electronic system is preferred. Paper and electronic files are maintained in either secure file cabinets or electronically in a secure data system.

\_${c3\_s3\_3\_1\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s3\_3\_1\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s3\_3\_1\_comment\_1}***

3.2 **Maintaining Client Records.** The affiliate has in place procedures for maintaining client records in an easily retrieval format for at least 3 years or in accordance with programmatic requirements.

\_${c3\_s3\_3\_2\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s3\_3\_2\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s3\_3\_2\_comment\_1}***

3.3 **Destroying Records.** The affiliate has written guidelines for destroying client records and when appropriate shreds client records to protect sensitive client information.

\_${c3\_s3\_3\_3\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s3\_3\_3\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s3\_3\_3\_comment\_1}***

**Criteria 3: Implementation of Mission**

**Personnel Standards**

**Standard 4** The affiliate recruits, hires and trains qualified program staff for quality direct services.

**Indicators of Effectiveness**

4.1 **Core Competencies.** The affiliate has written core competences for program staff which are used in recruiting, interviewing and hiring. Core competencies should include strong knowledge in the service area as demonstrated by experience, educational level, and certification. Specific core competencies for programmatic areas should be incorporated in hiring procedures as appropriate

\_${c3\_s4\_4\_1\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s4\_4\_1\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s4\_4\_1\_comment\_1}***

4.2 **Educational Requirements.** The affiliate has required educational levels for program staff. Bachelors’ degrees in appropriate areas are encouraged for staff working directly with clients.

\_${c3\_s4\_4\_2\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s4\_4\_2\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s4\_4\_2\_comment\_1}***

4.3 **Continuing Education.** The affiliate encourages staff to receive additional continuing education and provides relevant information and referrals.

\_${c3\_s4\_4\_3\_checkbox\_1\_yes}\_\_Yes \_${c3\_s4\_4\_3\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s4\_4\_3\_comment\_1}***

4.4 **Recruitment.** The affiliate posts available jobs externally and internally

\_${c3\_s4\_4\_4\_checkbox\_1\_yes}\_\_Yes \_${c3\_s4\_4\_4\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s4\_4\_4\_comment\_1}***

4.5 **Orientation and Training.** The affiliate provides new staff a programmatic orientation and training during the first 3 months of employment.

\_${c3\_s4\_4\_5\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s4\_4\_5\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s4\_4\_5\_comment\_1}***

**Criteria 3: Implementation of Mission**

4.6 **Staff Evaluation**.The affiliate has in place a staff evaluation system which includes an initial follow-up for beginning staff and subsequent yearly evaluations.

\_${c3\_s4\_4\_6\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s4\_4\_6\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s4\_4\_6\_comment\_1}***

4.7 **Code of Ethics.** The affiliate has a written code of ethics for staff. The code of ethics should include guidelines for professional behavior, conflict of interest, privacy and confidentiality, quality assurance and integrity.

\_${c3\_s4\_4\_7\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s4\_4\_7\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s4\_4\_7\_comment\_1}***

**Operational Standards**

**Standard 5** Program facilities are safe, appropriate for activities, clean and conducive to reaching service goals.

**Indicators of Effectiveness**

5.1 **Access.** The affiliate provides convenient, realistic, and broad accessibility to program services for target populations.

\_${c3\_s5\_5\_1\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s5\_5\_1\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s5\_5\_1\_comment\_1}***

5.2 **Appropriate Space.** The affiliate provides an attractive and age appropriate space for program activities. The affiliate programs meet all industry and regulatory standards for operating programs.

\_${c3\_s5\_5\_2\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s5\_5\_2\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: ${c3\_s5\_5\_2\_comment\_1}**

**Criteria 3: Implementation of Mission**

5.3 **Equipment.** The affiliate provides sufficient and up-to-date materials and equipment for program participants.

\_${c3\_s5\_5\_3\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s5\_5\_3\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s5\_5\_3\_comment\_1}***

5.4 **Staff-Client Ratios.** The affiliate program(s) meets industry and regulatory staff-client ratios for program, activity and age groups.

\_${c3\_s5\_5\_4\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s5\_5\_4\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s5\_5\_4\_comment\_1}***

5.5 **Safety.** The affiliate has in place protective measures for protecting staff and client safety while participating and leaving program activities.

\_${c3\_s5\_5\_5\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s5\_5\_5\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s5\_5\_5\_comment\_1}***

5.6 **Accommodations for Disabilities.** The affiliate has accommodations for disabled clients which meet industry and regulatory standards for disabled clients.

\_${c3\_s5\_5\_6\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s5\_5\_6\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s5\_5\_6\_comment\_1}***

**Standard 6** The affiliate program has a written program design, which includes program rationale, target population, specific program activities and key client outcomes.

**Indicators of Effectiveness**

6.1 **Program Design.** The affiliate program has a written program design which outlines a research-based program rationale which describes program’s potential influence on key client outcomes.

\_${c3\_s6\_6\_1\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s6\_6\_1\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s6\_6\_1\_comment\_1}***

6.2 **Target Population.** The affiliate program has identified a target population in their community and has developed a communication and marketing plan to reach this target group.

\_${c3\_s6\_6\_2\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s6\_6\_2\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s6\_6\_2\_comment\_1}***

**Criteria 3: Implementation of Mission**

6.3 **Measurable Goals and Objectives.** The affiliate program design includes measurable program goals and objectives.

\_${c3\_s6\_6\_3\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s6\_6\_3\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s6\_6\_3\_comment\_1}***

6.4 **Program Curriculum.**  Program(s) has and uses a detailed program curriculum which includes defined program activities.

\_${c3\_s6\_6\_4\_checkbox\_1\_yes}\_\_ Yes \_\_${c3\_s6\_6\_4\_checkbox\_1\_no}\_No

**NUL Comments/Recommendations: *${c3\_s6\_6\_4\_comment\_1}***

**Standard 7** Program implementation is assessed on an ongoing manner and an action plan for continuous improvement is developed.

**Indicators of Effectiveness**

7.1 **Program Implementation Plan.** Program(s) has a written implementation plan which includes activities, staffing, facilities, management plan and timeline for program implementation.

\_${c3\_s7\_7\_1\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s7\_7\_1\_checkbox\_1\_no}\_\_ No

**NUL Comments/Recommendations: *${c3\_s7\_7\_1\_comment\_1}***

7.2 **Process Evaluation Plan.** Program(s) has an evaluation plan for monitoring program implementation.

\_${c3\_s7\_7\_2\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s7\_7\_2\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s7\_7\_2\_comment\_1}***

**Standard 8** The affiliate program has and implements an evaluation plan for describing client outcomes and assessing program effectiveness.

**Indicators of Effectiveness**

* 1. **Evaluation Plan.** The affiliate program(s) has a written evaluation plan for demonstrating program effectiveness.

\_${c3\_s8\_8\_1\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s8\_8\_1\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s8\_8\_1\_comment\_1}***

**Criteria 3: Implementation of Mission**

* 1. **Performance Targets.** The affiliate sets targets/goals for program(s) performance on selected output, client outcomes and indicators.

\_${c3\_s8\_8\_2\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s8\_8\_2\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s8\_8\_2\_comment\_1}***

* 1. **Performance Measures.** The affiliate compares program(s) results on key performance measures to targets, as a minimum evaluation model for measuring program effectiveness and impact.

\_${c3\_s8\_8\_3\_checkbox\_1\_yes}\_\_ Yes \_${c3\_s8\_8\_3\_checkbox\_1\_no}\_\_No

**NUL Comments/Recommendations: *${c3\_s8\_8\_3\_comment\_1}***