Affiliate Self Assessment Tool Pilot

Purpose of this tool

Thank you for taking time to participate in the Affiliate Self Assessment Tool. The Affiliate Self-Assessment Tool was designed by members of the Council of Affiliates to complement affiliates' required, annual reporting to APHA, as specified in the Affiliate-APHA Memorandum of Understanding. Concurrent with development of the Affiliate Self-Assessment tool, the template for the Affiliate Annual Report to APHA was reviewed and is under-going revisions to simplify the reporting process and assure that unnecessary duplication between the Self-Assessment Tool and the Affiliate Annual Report is eliminated.

The purpose of Self-Assessment Tool is to help affiliates evaluate their organizational capacity against a set of common standards and principles. Where strengths are identified, affiliates will be asked to share their expertise with other affiliates by voluntarily contributing materials to the Affiliate Online Community libraries so they may be accessed by other affiliates. Where weaknesses are identified, affiliates will build and carry out a plan to improve. Based on a composite view of affiliates' strengths and weaknesses, the APHA Office of Affiliate Affairs will identify common areas of weakness and work to provide useful technical assistance.

Affiliate Self Assessment Tool Pilot

Organization of this tool

This Self-Assessment Tool is divided into 9 major categories called Domains. Each Domain is described by a set of Standards and Principles that were identified by members of the Council of Affiliates (CoA) at a workshop in June 2013. As such, the Standards and Principles that describe each Domain represent a consensus of opinion as to the characteristics of high-performing associations. While the CoA feels the list of Standards and Principles are aptly descriptive of the behaviors and practices of high performing associations, the CoA recognizes that individual affiliates organize, manage and operate their respective organizations in ways that best respond to their unique environments. Therefore, we acknowledge that each list of Standards and Principles is likely not exhaustive: as affiliates use the Self-Assessment Tool, the CoA welcomes suggestions for additions and modifications.

Affiliate Self Assessment Tool Pilot

Scoring and Instructions

Scoring

Because the lists of Standards and Principles have not been weighted as to importance, the CoA has elected not to score this tool numerically. Rather, affiliates are asked to compare their activities to the Standards and Principles suggested in the Self-Assessment Tool, reflect on the overall success of their affiliate with each Domain, and select a descriptive evaluation of their Domain performance. As affiliates gain more experience with this tool, it is possible that the scoring component may be modified in the future. Remember the purpose of the Tool is to help you identify your own strengths and weaknesses.

Instructions for completing the Self-Assessment Tool

1. Start with Domain A. Put a check mark next to each Standard or Principle that describes your association.

2. After you have checked your Affiliate's performance for each Standard or Principle in Domain A, reflect on your Affiliate's overall success with Domain A as a category. Select one of the following descriptions of your performance:

Excels, Satisfactory, or Needs Improvement.

3. Repeat Steps 1 and 2 (above) for the other 8 Domains.

4. When you have completed evaluating all 9 Domains, fill in the Summary of Domains' Performance Scores and the Improvement Work Plan table. Follow the directions provided.

Affiliate Self Assessment Tool Pilot

Domain A. Legal Practices & Requirements

1. Check all those that are true for your association.

- [ ] Has incorporated as a 501(c)(3), 501(c)(4) or comparable organization under federal and state law.
- [ ] Annually files IRS Form 990.
- [ ] Annually reviews and files change to incorporation information.
- [ ] Creates, reviews and updates Bylaws annually.
- [ ] Purchases general liability insurance.
- [ ] Purchases insurance for governing body.
- [ ] Has access to legal expertise and advice when needed.
- [ ] Contracts with paid legislative liaison.
- [ ] Provides proper monitoring to assure the paid legislative liaison operates within the limitations of the incorporation status, e.g. 501(c)(3).
- [ ] Each member of the governing body signs a Conflict of Interest disclosure.
- [ ] Meets OSHA requirements for work conditions and employee safety.
- [ ] Has signed contracts for all grants and awards received.
- [ ] Has signed contracts with all service providers.
- [ ] Has signed a general Memorandum of Understanding with APHA.
- [ ] Has signed a Student Memorandum of Understanding with APHA.
- [ ] Creates and registers an organizational logo.

2. Overall Performance Evaluation for Domain A.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Domain B: Governance & Organizational Structure

3. Check all those that are true for your association.

- [ ] Establishes an effective and efficient organizational structure.
- [ ] Establishes sections, SPIGS and committees as needed to carry out the organizational mission.
- [ ] Provides a mechanism for all organizational components to communicate and coordinate their work activities.
- [ ] Develops, approves, updates and publishes organizational policies, procedures and practices.
- [ ] Has a procedure for appointing special committees, work groups, task forces, etc.
- [ ] Has a process to select candidates for elected office, voting procedures, and formal announcement of election results.
- [ ] Has a process for governing body members who do not attend meetings regularly.
- [ ] Has a procedure for evaluating the effectiveness of the governing body.
- [ ] Identifies voting members and voting quorum for all types of issues, e.g. the annual budget, changes to the Bylaws, or policies.
- [ ] Has a procedure for annual review of Executive Director.
- [ ] Has a procedure for choosing legislative priorities and affiliate's position on public health issues.
- [ ] Provides a written description of the roles and responsibilities of the all elected and appointed positions, including clearly stating which positions constitute the Executive Committee.
- [ ] Provides a description of the purpose of each section, special interest group, and committee, including expectations, roles, limitations and accountability.
- [ ] Provides a formal orientation program for newly elected and appointed leaders, for example:
- [ ] Provides a formal orientation program about fiduciary responsibilities.
- [ ] Provides a formal orientation program about authorities.
- [ ] Provides a formal orientation program about governance documents.
- [ ] Provides a formal orientation program about decision-making protocols.
- [ ] Provides a Detailed review of strategic plan.
- [ ] Provides a formal orientation program about financial documents.
- [ ] Provides a formal orientation program about contractual agreements.
- [ ] Provides a formal orientation program about relationship with APHA, CoA and other partners.
- [ ] Provides a buddy or mentor for the newly elected and appointed leaders to help them learn their role.
- [ ] Creates a strategic plan every 3-5 years and reviews progress at least quarterly, using an appropriate evaluation tool.
- [ ] Creates, implements, and monitors annual work plans for each committee, section and special interest group.
- [ ] Creates a business plan consistent with organizational mission and strategic plan.
- [ ] Establishes an annual budget with a break even or better bottom line.
- [ ]

- [ ] Reviews and approves Income Statement and Balance Sheet monthly.
- [ ] Develops and regularly reviews a dashboard of key indicators to measure success of strategic plan and financial goals.
- [ ] Develops and implements a Succession Plan for identifying and cultivating new affiliates leaders and transferring information from one leadership position to another.

4. Overall Performance Evaluation for Domain B.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Domain C. Operational Management

5. Check all those that are true for your association.

- [ ] Provides physical space and equipment necessary to support the operations of the affiliate.
- [ ] Owns or rents dedicated office space.
- [ ] Owns or rents all necessary office equipment, including computers.
- [ ] Has a dedicated phone line for affiliate business.
- [ ] Has capacity to support teleconferencing technologies.
- [ ] Has software packages to support operations effectively, e.g. grants management, legislative communications, surveys, graphics, etc.
- [ ] Provides for day-to-day organizational oversight and administrative support of the affiliate.
- [ ] Hires or contracts for Executive Director Services
- [ ] Hires or contracts for accounting services.
- [ ] Hires or contracts for grant management services.
- [ ] Hires or contracts for meeting planning services.
- [ ] Hires or contracts for web development and maintenance services.
- [ ] Hires or contracts for other support services.
- [ ] Provides staff orientation and continuous training and development.
- [ ] Creates written job descriptions for Executive Director and other paid or volunteer staff, including levels of authority and accountability.
- [ ] Conducts annual performance review for all staff and provides written summary.
- [ ] Maintains and publishes an annual calendar of deliverable dates (e.g. reports to granting agencies), recurring events (e.g. distribute ballots to members) and new events (e.g. webinars).
- [ ] Establishes and maintains an official affiliate website.
- [ ] Establishes and maintains an accurate record-keeping system of affiliate documents.
- [ ] Creates an annual work plan for staff and volunteers that supports the work of the governing body, committees and sections.
- [ ] Develops and implements a Retention Plan for paid staff and volunteers, including pay progressions where appropriate.

6. Overall Performance Evaluation for Domain C.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Domain D. Financial Management & Resource Development

7. Check all those that are true for your association.

- [ ] Acquires, maintains and properly uses a state-of-the-art accounting system and grants administration system.
- [ ] Accounting staff are properly credentialed and trained.
- [ ] Establishes and assures compliance with written procedures for all financial operations.
- [ ] Follows all Generally Accepted Principles of Accounting (GAPP).
- [ ] Has appropriate separation of duties.
- [ ] Manages signature authority and review.
- [ ] Receives and manages donations, endowments and bequests.
- [ ] Has web-based payments, e.g. credit cards, Pay Pal
- [ ] Provides travel reimbursements.
- [ ] Provides travel advances.
- [ ] Provides governing body, officers, committee, Section leaders the authority to purchase or charge.
- [ ] Provides appropriate use of Tax ID number.
- [ ] Has templates and forms for accounts receivable, invoices, receipts, travel reimbursement reports, travel advances, acknowledgement of gifts.
- [ ] Provides incentives for early renewal of memberships and early registration for conferences.
- [ ] Transfers authority and responsibilities between elected organizational treasurers, e.g., redirecting mailing addresses, passwords, software knowledge and structure, social security numbers, signature authority on file with financial institutions, etc.
- [ ] Evaluates and selects financial institutions and investment instruments, e.g. interest-bearing checking, CDs, etc.
- [ ] Defines and tracks in-kind contributions that support affiliate grants and programs.
- [ ] Conducts an independent financial review or audit at least every 3 years.
- [ ] Develops and approves an annual budget with a break even or better bottom line.
- [ ] Establishes and maintains a cash reserve equivalent to 3 months operating expenses.
- [ ] Creates and carries out an effective Fund-Raising and Resource Development Plan.
- [ ] Has a successful record of grant applications and grant completion, including entering into joint applications with partner organization and documenting via written agreement the terms under which the project will be managed and funds shared.
- [ ] Establishes an indirect rate for purposes of grant applications and other contractual matters.
- [ ] Creates and manages a healthy charitable foundation.

8. Overall Performance Evaluation for Domain D.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Domain E. Advocacy & Public Health Policy Development

9. Check all those that are true for your association.

- [ ] Establishes and publishes an annual legislative agenda.
- [ ] Develops, approves and shares a policy statement for each issue on the current year's legislative agenda.
- [ ] Identifies at least one member as an expert spokesperson for each key policy issue.
- [ ] Contacts by office visit, phone call, email or letter each Congressional and State elected delegate at least once a year.
- [ ] Develops and distributes Fact Sheets and Talking Points for key legislative issues.
- [ ] Participates in the APHA PHACT campaign.
- [ ] Participates in the APHA Get Ready campaign.
- [ ] Conducts at least one activity that engages the public annually.
- [ ] Effectively monitors state legislation and policy activities, and keeps the membership informed in a timely manner.
- [ ] Makes effective use of APHA tools, e.g. Fact Sheets, Issue Papers, Policy Statements, Convio, and On-Line Community.
- [ ] Provides an advocacy tool kit and advocacy training to members.
- [ ] Defines a role for policy interns as a means of developing the public health workforce.
- [ ] Sponsors Day at the Capitol and Legislator Appreciation Day.
- [ ] Establishes appropriate relationships with state and local media such that public health issues receive attention.
- [ ] Uses social media to promote public health issues.
- [ ] Prepares amicus briefs on issues of importance to public health.

10. Overall Performance Evaluation for Domain E.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Domain F. Member Recruitment & Engagement

11. Check all those that are true for your association.

- [ ] Creates and executes a Member Recruitment and Retention Plan.
- [ ] Provides clearly defined membership categories and dues structure.
- [ ] Uses a process to follow-up with non-renewing members.
- [ ] Frequently communicates member benefits.
- [ ] Carries out a successful process to welcome new members into the organization and at the annual conference.
- [ ] Makes use of the APHA membership list to recruit new affiliate members.
- [ ] Provides opportunities for member networking.
- [ ] Uses social media as a recruitment and retention tool.
- [ ] Engages academic professionals in educational and research activities.
- [ ] Creates and executes a Members Recruitment and Retention Plan with a special focus on students and early career professionals.
- [ ] Provides a mentoring program, including tool kit for mentors and mentees.
- [ ] Creates social networking opportunities.
- [ ] Supports the use of social media.
- [ ] Invites students and early career professionals to serve on committees.
- [ ] Seeks opportunities to fund student-led projects.
- [ ] Appoints a student liaison to the APHA Student Assembly.
- [ ] Provides opportunities for interns to work on affiliate activities.
- [ ] Tracks member recruitment and retention annually by category and implements strategies for improvement.
- [ ] Annually reviews member benefits and adds new benefits of value.
- [ ] Conducts an annual membership survey to gather input on strategic activities and policy agenda for the coming year.
- [ ] Holds an annual business meeting to report, recognize and engage members.
- [ ] Reviews bylaws changes at annual business meeting.
- [ ] Reviews finances at annual business meeting.
- [ ] Reviews member recruitment & retention at annual business meeting.
- [ ] Reviews policy & advocacy activities at annual business meeting.
- [ ] Reviews communications metrics at annual business meeting.
- [ ] Reviews awards at annual business meeting.
- [ ] Establishes member-driven sections and special interest groups.
- [ ] Provides clear description of purpose of sections and special interest groups.

- [ ] Defines authorities and responsibilities of sections and special interest groups.
- [ ] Provides operational and financial support for work effort to sections and special interest groups.
- [ ] Provides mechanism for sections/SPIGs to report regularly to full membership.
- [ ] Allows sections to work with other organizations, e.g. Practice-Based Research groups, advocacy groups.
- [ ] Creates and implements a recognition program (awards program).
- [ ] Recognizes member successes and achievements.
- [ ] Recognizes legislator's leadership for public health policy-making.
- [ ] Recognizes media professional for public health messaging.
- [ ] Recognizes partners.

12. Overall Performance Evaluation for Domain F.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Domain G. Member Professional Development

13. Check all those that are true for your association.

- [ ] Provides opportunities for members to demonstrate and practice skills.
- [ ] Provides opportunities for members to present breakout session at annual meeting.
- [ ] Provides opportunities for members to present poster as annual meeting.
- [ ] Provides opportunities for members to present scientific session or poster at APHA annual meeting.
- [ ] Provides opportunities for members to design and deliver webinar.
- [ ] Provides opportunities for members to participate in section activities.
- [ ] Provides opportunities for members to participate in committees and governing body.
- [ ] Provides opportunities for members to engage academic members.
- [ ] Provides multiple learning opportunities throughout the year.
- [ ] Provides regional lunch & learn events.
- [ ] Provides educational webinars.
- [ ] Provides policy training.
- [ ] Provides on-line educational programs.
- [ ] Provides opportunities to engage academic members.
- [ ] Provides continuing education credits; maybe through formal agreement with regional public health training centers (PHTC) and institutions of higher education.
- [ ] Provides a mentoring program.
- [ ] Provides multiple opportunities for member networking throughout the year.

14. Overall Performance Evaluation for Domain G.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Domain H. Communication & Technology

15. Check all those that are true for your association.

- [ ] Creates and implements a Communication Plan.
- [ ] Advances the affiliate's strategic plan.
- [ ] Raises the visibility of the organization.
- [ ] Advocates for key public health issues.
- [ ] Keeps members well informed.
- [ ] Helps members communicate with elected officials.
- [ ] Reaches out to key partners.
- [ ] Makes use of social networking tools.
- [ ] Establishes and tracks performance metrics.
- [ ] Creates and updates the case statement annually.
- [ ] Provides weekly e-news to members.
- [ ] Cultivates relationships with local and state media; and maintains an accurate list of contacts.
- [ ] Provides training and tools for effectively working with the media, e.g. interviews, press releases, editorials.
- [ ] Solicits and maintains speakers' bureau, based on member expertise and interest in sharing knowledge about various public health issues.
- [ ] Designates a webmaster and provides a written description of his/her role, responsibilities.
- [ ] Establishes a web presence for the affiliate.
- [ ] Updates web technologies.
- [ ] Updates web materials in a timely manner.
- [ ] Creates an affiliate logo.
- [ ] Provides a members only web page.
- [ ] Provides a web page for the governing body.
- [ ] Provides access to organizational policies and procedures.
- [ ] Provides access to advocacy fact sheets, talking points, policies, white papers, and legislator voting records.
- [ ] Makes wise use of free web applications, e.g. Meeting Wizard, Google Tools.
- [ ] Establishes, reviews and updates policies and procedures for the website.
- [ ] Establishes, reviews and updates policies and procedures about privacy.
- [ ] Establishes, reviews and updates policies and procedures about security practices.
- [ ] Establishes, reviews and updates policies and procedures about procedures for adding, modifying, correcting content.
- [ ] Maintains an electronic member database, accessible to members only.

- [ ] Actively incorporates social medial tools, develops appropriate policies and procedures and supports member participation in use.
- [ ] Prepares and distributes an Annual Report to Members, including financial status, progress toward strategic goals and continuous improvement goals, advocacy activities, policy activities, and participation in APHA initiatives including NPHW, PHACT, and Get Ready Campaign.

16. Overall Performance Evaluation for Domain H.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Domain I. Strategic Partnerships

17. Check all those that are true for your association.

- [ ] Identifies strategic partner organizations and maintains a list of key contacts for each organization.
- [ ] Convenes strategic partners and jointly pursues an activity around a specific public health issue.
- [ ] Provides training and resources to manage strategic partnerships.
- [ ] Establishes and monitors formal agreements with partners where appropriate, e.g. grants.
- [ ] Develops partnership with local members of the National Network of Public Health Institutes and together pursues a specific public health issue.

18. Overall Performance Evaluation for Domain I.

- ◯ Excels
- ◯ Satisfactory
- ◯ Needs Improvement

Summary of Domains' Performance Scores

19. Provided below are your responses for Overall Performance Scores for each domain. Observing these scores, choose one or more areas in which your affiliate will focus improvement efforts for the coming year.

- ☐ Domain A. Legal Practices & Bylaws: **[Q2]**
- ☐ Domain B. Governance & Organizational Structure: **[Q4]**
- ☐ Domain C. Operational Management: **[Q6]**
- ☐ Domain D. Financial Management & Resource Development: **[Q8]**
- ☐ Domain E. Advocacy & Public Health Policy Development: **[Q10]**
- ☐ Domain F. Member Recruitment & Engagement: **[Q12]**
- ☐ Domain G. Member Professional Development: **[Q14]**
- ☐ Domain H. Communications & Technology: **[Q16]**
- ☐ Domain I. Strategic Partnerships: **[Q18]**

Affiliate Self Assessment Tool Pilot

Improvement Work Plan

Instructions:
Now that you have completed the self-assessment tool, please take a few minutes to identify the organizational goals your Affiliate would most like to achieve. Also, think about the steps needed to achieve these goals and include them here.

20. Domain for Improvement 1

21. Work Plan 1

Goal 1	
Action 1	
Action 2	
Goal 2	
Action 1	
Action 2	
Goal 3	
Action 1	
Action 2	

22. Domain for Improvement 2

23. Work Plan 2

Goal 1	
Action 1	
Action 2	
Goal 2	
Action 1	
Action 2	
Goal 3	
Action 1	
Action 2	

Affiliate Self Assessment Tool Pilot

You have now completed the Affiliate Self Assessment Tool questions. We now ask that you answer a few questions regarding the Affiliate Self Assessment Tool on the following page. Once again, we thank you for taking time to participate in the pilot.

Affiliate Self Assessment Tool Pilot

Pilot Questionnaire

24. Contact Information of Person Completing the Pilot Questionnaire

Name:

Affiliate Name:

Email Address:

Phone Number:

25. Please indicate who participated in answering the Pilot Questionnaire

- ◯ Executive Director (paid staff) only.
- ◯ Executive Director and other paid staff only.
- ◯ Executive Director and affiliate president.
- ◯ Affiliate president only.
- ◯ Affiliate president and other one or more other affiliate leader.
- ◯ ARGC only.
- ◯ Other.

Other (please specify)

26. Who do you recommend complete the Self Evaluation Tool regularly?

- ◯ Executive Director only.
- ◯ Executive Director and affiliate president or other affiliate leader.
- ◯ Board members, complete together as part of an end-of-year evaluation.

Comments:

27. How long did it take you to complete the Self Evaluation Tool?

- ◯ One hour or less
- ◯ More than one hour and less than 2 hours
- ◯ More than 2 hours

28. Are the instructions for completing the Self-Evaluation clear?

- ◯ Yes
- ◯ No, please comment on how we can improve instructions.

Comments:

29. Is the tool missing a critical domain, standard or principle?

- ◯ No
- ◯ Yes, please comment on what should be added.

Comments:

30. The purpose of Self-Assessment Tool is to help affiliates evaluate their organizational capacity against a set of common standards and principles, to identify strengths and weaknesses, and encourage affiliates to engage in a self-improvement plan around organizational capacity. To what extent will the self-evaluation tool help us meet those purposes?

- ◯ Very Likely
- ◯ Likely
- ◯ Somewhat Likely
- ◯ Somewhat Unlikely
- ◯ Unlikely

Comments:

31. You probably noticed that there is some duplication of standards/principles among Domains. We chose to do this because in 'real life' a standard/principle supports more than one Domain. Was this duplication helpful or confusing for you?

- ◯ Helpful
- ◯ No problem
- ◯ Confusing

Suggestions for improvement:

32. The number of standards/principles describing each Domain vary in number. The level of detail was driven by the specific examples provided by the CoA work group in June 2013. Did the standards/principles for each Domain serve their general purpose of helping you assign your affiliate's Domain Performance (Excels, Satisfactory, Needs Improvement)?

- ◯ Yes
- ◯ No

Comments:

33. We chose three descriptive categories for Domain Performance Scores (Excels, Satisfactory, Needs Improvement). We considered other descriptive categories, for example:
'Doing well/we have resources to offer others,"
"Doing most of the critical things/satisfied with where we are right now,"
"Missing some critical things/would like to improve," and
"Need to improve, but this is not a critical area for us at this time".

Do you have comments or suggestions as to what descriptions to use as the Domain Performance Scores?

- ◯ No
- ◯ Yes, please comment

Comments:

34. The time spent in completing the assessment tool was well spent.

- ◯ Strong Agree
- ◯ Agree
- ◯ Disagree
- ◯ Strongly Disagree

Comments:

35. What did you like most about Self Assessment Tool?

Affiliate Self Assessment Tool Pilot

36. Was the format of the tool useful?

- ◯ Strongly Agree
- ◯ Agree
- ◯ Disagree
- ◯ Strongly Disagree

37. How could the Self-Assessment Tool be better constructed for ease of completion?

38. How frequently do you think it would be useful to complete the Self Assessment Tool?

39. Other comments and recommendations?