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Key Contacts

- President Ernest Grant: Ernest.Grant@ana.org
- Chief Executive Officer: Loressa Cole: Loressa.Cole@ana.org
- Chief Nursing Officer: Debbie Hatmaker: Debbie.Hatmaker@ana.org
- Director of Constituent Relations: Tina McRae-Phelps: Tina.Phelps@ana.org

Note: ANA’s Constituent Relations department is the central point of contact for C/SNAs and their leadership. It is recommended that you reach out to this department with your questions first, such that they can address your questions and get you the support you need.

1. A full employee directory is located here.
2. To review ANA’s management chart click here.
3. To review or obtain a contact listing of C/SNA Leaders click here

Important Dates to Know/Remember

ANA hosts three (3) quarterly conference calls designed to provide C/SNAs with updates regarding programmatic work in progress with ANA, but also it is used as a time to seek your input on matters. Two calls are offered once per quarter in order to facilitate such conversation and information sharing. When offered, you only need to attend one call each quarter; however, two are offered to help offer options to accommodate schedules. The schedule of the 2018 calls is as follows:

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Date</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st 2019</td>
<td>February 20th</td>
<td>2:00 PM ET</td>
</tr>
<tr>
<td></td>
<td>February 21st</td>
<td>11:00 AM ET</td>
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<tr>
<td>2nd 2019</td>
<td>May 21st</td>
<td>11:00 AM ET</td>
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<tr>
<td></td>
<td>May 23rd</td>
<td>2:00 PM ET</td>
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<tr>
<td>3rd 2019</td>
<td>August 21st</td>
<td>2:00 PM ET</td>
</tr>
<tr>
<td></td>
<td>August 22nd</td>
<td>11:00 AM ET</td>
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Note: All calls are scheduled for 90 minutes. Call dates and times are subject to change.

Other Dates

- The 2019 Membership Assembly will be held June 21 – 22, in Washington DC.
- The 2019 Leadership Summit will be held December 3 – 5, in Washington, DC

A master listing of all dates, can be reviewed here: http://community.ana.org/csnaessentials/events/calendar
Getting Started

A tutorial of how to use the C/SNA Essentials site can be accessed here:
https://www.youtube.com/watch?v=vib8zMLMl4&feature=youtu.be

Keeping your contact information up to date
If you make changes to your name, credentials, address, telephone number, or email, please be sure to let us know. You can make us aware, by email to me at tina.phelps@ana.org

Discussion Forums
Within the C/SNA Essentials site, there are discussion forums. This is where information communicated from ANA to C/SNA Presidents and Executive Staff Leaders will be sent through. It is also the location where you can post questions or share highlights with other state leaders. Here are a few things to know about engaging within the site:

1. This community (group) is comprised of all C/SNA and IMD leaders (Presidents, IMD Chair, Presidents-elect and Chief Staff Officers) as well as key ANA leadership staff. In total there are over 100 individuals with access and receiving updates on all discussions.

2. Each member can send or reply to the group or just to a sender. Please consider the usefulness of broad vs. specific distribution when composing your message(s). Here are the two options you are presented with to post messages:

   - Reply to Group
   - Reply to Sender

3. Each member can adjust their own notification settings. At current everyone is defaulted to real time. Since this is a newer tool for our C/SNA leaders we made this choice such that the ease of use was evident, and clear that your messages would function as real time emails. However, if you choose, you can self-select to receive daily or weekly notification of discussion posts. To do so, please note as follows:

   - Go to settings in the upper right corner
   - Under Email notifications - select your preference
4. When you are replying from the email notification you receive in your inbox, if you want to be safe, and only reply to the sender, select 'reply'(not reply all) or forward, then insert the recipient’s information as you would with an email.
Comprehensive Framework of C/SNA Support Services

ANA’s commitment to supporting the C/SNAs is demonstrated in ANA’s 2014-2016 Strategic Plan, specifically, Goal 5: “Strengthen Constituent and State Nurses Associations and the ANA Enterprise through mutual partnerships.” Work plans associated with optimizing support include:

- Research and development of recommendations for improvements to existing C/SNA programs and services.
- Creation of a comprehensive plan to deliver leadership preparation programs for C/SNA Executive Directors and Presidents.
- Creation of an online tool to increase the capacity for ANA and C/SNAs to share information and create synergies and best-practice optimization.

The full list of C/SNA support services offered by ANA is conceptualized as constituting two types: programs aimed at building stronger leaders, and programs focused on building stronger organizations.

To learn more about ANA support services contact Tina McRae-Phelps, Director of Constituent Relations and Member Support at tina.phelps@ana.org or by phone to (301) 628-5368.

<table>
<thead>
<tr>
<th>Development Type</th>
<th>Category</th>
<th>Program Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Leadership Capabilities</td>
<td>Elected</td>
<td>Leadership Summit&lt;br&gt;American Nurses Advocacy Institute (ANAI)</td>
</tr>
<tr>
<td></td>
<td>Staff</td>
<td>Leadership Summit&lt;br&gt;Lobbyist Meeting</td>
</tr>
<tr>
<td>Organizational Development Programs</td>
<td>Finance</td>
<td>Central Billing&lt;br&gt;3rd party Investment Service</td>
</tr>
<tr>
<td></td>
<td>Governance/Legal</td>
<td>Standards for Excellence&lt;br&gt;Bylaws Review and Consultation</td>
</tr>
<tr>
<td></td>
<td>Government Relations</td>
<td>Lobby Day&lt;br&gt;Action Alert Service</td>
</tr>
<tr>
<td></td>
<td>Programs and Policy</td>
<td>Work Environment Monthly Calls&lt;br&gt;Practice, Policy and Legislative Calls</td>
</tr>
<tr>
<td></td>
<td>Membership</td>
<td>Direct Marketing Support&lt;br&gt;Membership Pilots and Trials&lt;br&gt;Member Benefit Programs</td>
</tr>
<tr>
<td></td>
<td>Communication</td>
<td>C/SNA President/ED Calls&lt;br&gt;ANA Speakers Bureau</td>
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</tbody>
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Organizational Development Programs

ANA offers **more than 20 organizational development support programs** to strengthen C/SNAs that are designed to help leverage:

- Non-profit management best practices
- Economies of scale
- Technology resources/contracts
- Access to financial assistance and consultation
- Innovative and turnkey membership acquisitions and retention services
- National resources for increased political reach
- Information sharing
- Collective branding capability

<table>
<thead>
<tr>
<th>Support Service</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>CE Credentialing</td>
<td>ANCC provides guidance for CE accreditation</td>
</tr>
<tr>
<td>Communications</td>
<td>• ANA aids with communications plans, toolkits, media advice and training, speech writing support and access to periodical content to repurpose.</td>
</tr>
<tr>
<td>Crisis Management Support</td>
<td>Access to ANA’s national subject matter expert to help in times of local crisis</td>
</tr>
<tr>
<td>Knowledge Sharing/Resource Center</td>
<td>C/SNA Essentials: Provides a communication vehicle for C/SNA engagement, knowledge sharing and access to ANA and peer resources. Resources include:</td>
</tr>
<tr>
<td></td>
<td>• Educational/Leadership presentations</td>
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<tr>
<td></td>
<td>• Toolkits</td>
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<tr>
<td></td>
<td>• ANA policies and political actions</td>
</tr>
<tr>
<td></td>
<td>• Detailed calendar for local and national events</td>
</tr>
<tr>
<td>Legislative Support</td>
<td>Provides a variety of assistance on legislative subject matter including:</td>
</tr>
<tr>
<td></td>
<td>• Tracking legislative trends across the US</td>
</tr>
<tr>
<td></td>
<td>• Creating toolkits: model bills, briefs and talking points</td>
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<tr>
<td></td>
<td>• Draft legislative testimony</td>
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<td></td>
<td>• Provides consultation regarding strategies in</td>
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The following summarizes some of the key areas of support, in detail offered to Constituent and State Nurses Associations (C/SNAs).

**Standards for Excellence**

The Standards for Excellence Institute is a national initiative established to promote the highest standards of ethics, effectiveness and accountability in nonprofit governance, management and operations, and to help all nonprofit organizations meet these high benchmarks.

The foundation of the Standards for Excellence program is the published “Standards for Excellence: An Ethics and Accountability Code for the Nonprofit Sector.” It identifies six major areas of nonprofit governance and management, which contain 27 different topic areas. Each topic area includes specific benchmarks and measures that provide a structured approach to building capacity, accountability and sustainability in your organization.

The goals for the Standards for Excellence program are to strengthen nonprofits and improve the public’s trust of nonprofit organizations. As an important part of this program, the Institute works hard to continue to provide the best possible resources to help build the capacity of nonprofits to effectively and efficiently meet the needs of their communities.

**ANA and the Standards for Excellence**

ANA is a national replication partner with the Standards for Excellence Institute. Through the partnership, ANA provides customized resources on best practices in nonprofit governance, ethics and accountability across the ANA enterprise, as well as to C/SNAs and to ANA Premier Organizational Affiliates (OAs). Educational resource packets include best practices, model procedures, and sample policies and templates that provide a framework for excellence in organizational management.

Under the ANA Standards for Excellence Replication License Agreement, the program provides:

- Licensed access to materials developed by Maryland Nonprofits (doing business as Standards for Excellence Program), for the ANA enterprise, C/SNAs and Premier OAs.

<table>
<thead>
<tr>
<th>Membership Billing</th>
<th>Dues processing for C/SNAs for all membership types and payment remittance utilizing Personify association management database</th>
</tr>
</thead>
<tbody>
<tr>
<td>Membership Marketing Support</td>
<td>Provides toolkits, growth and retention strategies for C/SNAs to utilize at</td>
</tr>
<tr>
<td>Membership Reporting</td>
<td>Provides reports to C/SNAs on a monthly basis with information on the status of members, including classification of new, cancelled and</td>
</tr>
<tr>
<td>Standards for Excellence</td>
<td>Provides guidance and resources to C/SNAs on non-profit “gold star” standards of governance, operational management and volunteer leadership</td>
</tr>
</tbody>
</table>
• License to republish materials, including the codebook, educational packets, bulletins, models and samples.

ANA has customized its version of the Standards for Excellence program, which includes the creation and delivery of:

• An ANA-branded codebook. This book has been cobranded with ANA, ANF and ANCC.
• Cobranded Educational Resource Packets covering 27 topic areas relating to nonprofit best practices.

Customized versions of the professional development content in progress include:

• Cobranded professional development course materials related to nonprofit governance and operations, including:
  o Training programs
    ▪ Introduction, Embracing Best Practices
    ▪ Clinic Series
    ▪ Pass to Excellence
    ▪ Implementation Clinic
  o Topical courses
    ▪ Annual Reports That Shine
    ▪ The Board’s Role in Fundraising
    ▪ Board Excellence
    ▪ Bylaws and Board Governance
    ▪ Conflicts of Interest
    ▪ Ethics in the Nonprofit Sector
    ▪ Fundraising Regulations
    ▪ Intro to Employee Handbook
    ▪ Mock Board Meeting
    ▪ Intro to Telecommuting
    ▪ Business Planning
    ▪ Intro to Advocacy
    ▪ Engaging Volunteers
    ▪ Financial Leadership
    ▪ Legal Issues Overview
    ▪ Structured Capacity Building

The Standards for Excellence™ program has developed a collection of 24 Educational Resource Packets and 11 Educational Resource Bulletins that are intended to assist individual organizations with implementing specific standards. These materials are available free of charge across the ANA enterprise, as well as to C/SNAs and Premier OAs, and include tools to help
implement specific standards addressed in *Standards for Excellence: An Ethics and Accountability Code for the Nonprofit Sector*.

The Educational Resource Packets generally include information on the importance of implementing specific standards, justification for the standards, best practices associated with the issue, model procedures and sample policies. Structurally, they include a narrative memo and attachments. The attachments contain original materials created by the Standards for Excellence program as well as articles and other copyrighted documents from other sources.


Work continues at ANA to research, review and innovate with new programs and services to help strengthen the C/SNAs. One new program recently launched is the Standards for Excellence.™

- ANA-customized codebooks were mailed to each C/SNA starting in August 2014, and new shipments or codebooks are sent to the states yearly at election times.
- The website for the code and association resources, [http://community.ana.org/csnaessentials/support/support-sfx](http://community.ana.org/csnaessentials/support/support-sfx), is designed to provide access to:
  - ANA-branded Educational Resource Packets (Appendix A) that include best practices, model procedures, and sample policies and templates and provide a framework for excellence in organizational management.
  - The full-color Standards for Excellence codebook for C/SNAs to download as needed.
- ANA will continue to customize the resource materials specifically for ANA and the C/SNAs, but the content is fully available now for you to use.
- One key resource is a customized self-assessment tool. It can be useful to identify gaps or alignment in governance, leadership and operations best practices. C/SNA leaders take the self-assessment and invite their boards to do so as well, creating a comprehensive view for each C/SNA of its strengths and weaknesses. Email Tina McRae-Phelps ([tina.phelps@ana.org](mailto:tina.phelps@ana.org)) to learn more about the assessment and schedule one for your board to help with orientations or ongoing development.

See Appendix A for a full listing of available Standards for Excellence Educational Resource Packets.
C/SNA Third-Party Benefit Programs
In a continued effort to create meaningful support programs and services to the C/SNAs, ANA has partnered with national-level service providers to offer and extend discounts on services to you. The current affiliated service providers are, Election- America, DocuSign, Conference America and Merrill Lynch Financial Investment Services. Information on how to learn more or connect with these benefit programs can be accessed here:
http://community.ana.org/csnaessentials/viewdocument/csna-support-services-3rd-party

Election Services
Offered by Election-America
What’s the benefit of utilizing this service? In addition to ensuring that your election complies with relevant state and federal labor laws, including Title IV of the Labor-Management Reporting and Disclosure Act (LMDRA) and internal regulations (bylaws), a C/SNA receives a 5 percent discount on election management costs and additional discounts from ANA are available.

Conferencing Services
Offered by Conference America®
ANA has partnered with conference service provider Conference America to provide C/SNAs with special discounted rates for their phone and Web conferencing needs. This service allows users to interact virtually as they would in-person using slide shows, chat features, whiteboards, annotation tools and desktop application sharing.

Signature Services and Document Sharing
Offered by DocuSign
ANA offers C/SNAs electronic signature services through DocuSign (The Global Standard for Digital Transaction Management™) — at no cost. As an authorized user, you can send agreements and other documents without having to print, scan, and email or snail-mail to return them. Additional features include workflow tracking, document status monitoring and paperless routing.

C/SNA Financial Investment Program
Offered by Merrill Lynch
The program is designed to leverage ANA’s scale to offer C/SNAs a better return on their investment funds. ANA’s investment partner, Merrill Lynch, will provide C/SNAs the opportunity to invest excess reserve or operational funds under ANA’s investment portfolio, creating their own portfolio of investment options from the menu available to ANA. Program highlights:

1. Get professional investment oversight.
   - Experienced nonprofit investment consultants.
   - Ranked No 1 by Institutional Investor three years in a row.
2. Leverage ANA’s size and scale.
3. Access investment managers at a cost below typical minimum.
   - Pricing based on ANA scale for a broader range of investments ($50 million in investment assets).
4. C/SNA retains full control.
   - Funds are not commingled with ANA’s funds.
   - Choices are based on time horizon and risk tolerance.
Leadership Development

Leadership Summit
In addition to the consultation and advisory functions of the Leadership Council, the annual gathering will include professional development programming for presidents, presidents-elect and executive staff leaders. The combined event will include discrete foundational, advanced or combined networking and development opportunities for C/SNA leaders. The goal is to enhance the organic collaboration that exists among presidents and executive staff leaders by creating not only position-specific development, but also development that encourages positive working relationships between staff and volunteers that meets best practices identified for nonprofit management. The meeting typically occurs in November or December of each year.

The Leadership Council Operating Guidelines can be accessed here.
http://community.ana.org/csnaessentials/viewdocument/leadership-council-operating-guidel-2

To review information from the last Leadership Summit:
http://community.ana.org/csnaessentials/associationeducation/new-item2

Online leadership Development:
- Navigating ANA
- Using the Standards for Excellence Resources
- Board and Executive Partnerships
- Financial Leadership
Information and Knowledge Sharing

C/SNA Essentials

TIMELY NEWS, INSIGHTS, AND UPDATES

Site: http://community.ana.org/csnaessentials/home

A new and improved ANA*Net, now called C/SNA Essentials, went live in late October 2015. The new site is hosted on the Higher Logic platform and has new features such as a calendar, staff and peer directories, social media feeds, and document sharing functionality. C/SNA leaders are also able to synchronize LinkedIn profiles to their community profile to encourage a deeper and richer “get to know you” experience. C/SNAs are encouraged to create digest options. The digest allows users to manage the frequency of when they are alerted that new content is added to the site.

Phase two of this new site will feature discussion forums that will not only foster ANA content sharing, but C/SNA-to-C/SNA sharing, over time it is expected it will also replace the current purpose of the Pres-ED list serve, reducing the number of emails. In this phase, we will also solicit state-to-state resource sharing through linking models, samples and toolkits on the site for use by colleagues across the states.

The evolution of the resource page addresses C/SNA feedback and creates a new and a more robust site through which C/SNAs can use, access and share useful information. This initiative is aligned with Strategic Goal #5: Strengthen Constituent and State Nurses Associations and the ANA enterprise through mutual partnerships.

To enhance this new site and extend its brand, the companion C/SNA Essentials Newsletter was also created. The newsletter will include highlights of new content available on the site, as well as upcoming events and deadline reminders, and feature ANA support services on a rotating basis. The newsletter is sent to C/SNA leaders on the 10th of each month. The email address that it is sent from is: tina.phelps@ana.org (please mark by email address as a ‘Safe Sender’).
C/SNA Essentials User Questions

Q. How do I gain access to the site? You must be logged in to access all the files and navigation of the site.
A. Follow this link: cindy

Regarding the link to C/SNA Essentials, my recommendation is for you to bookmark it for future reference. In addition, should you not do this but want to remember how to access it note, there are two other places where you can find the link for access:

- When you log into ‘My ANA’, C/SNA Essentials is one of the password-protected areas assigned to your profile
- If you log in generally to ANA’s Nursespace, click on My Communities, and C/SNA Essentials is linked to your profile.

Q. Where can I find my login user name and/or password?
A. Use the same credentials you use for nursingworld.org

Q. How can C/SNA board members or staff be provided access to the site to review resources?
A. Provide the following log in information to essential C/SNA staff individuals.
   User name: csna@ana.org
   Password: Welcome1

   Note: Unique access is provided to C/SNA Presidents, President’s elect and Chief Staff Officers

Q. How do I update my profile?
A. After you log into the site, go to the upper right corner of the site and select this , click the down arrow on this image, and select ‘profile.’ Once there you can choose to manually ‘add’ your profile information or select the ‘import from LinkedIn function.
Q. How often is this site updated?
A. Social media feeds and newsroom are updated in real time. New content and updates are updated on a rolling basis.

Q. How to I keep up with ANA’s meetings and events?
A. Once logged into the site, scroll over the ‘Event’s navigation. You can review events and meetings in a list. You can click on specific events and meetings and add them to your Outlook calendars.

Q. How do I post to the discussion threads?
A. To do so, here are the few, quick and simple instructions:

- Log in at: http://community.ana.org/csnaessentials/home
- Within the blue navigation bar on the home page, select ‘Engage’
- Click ‘C/SNA Network’
- On the right, click ‘Post New Message’
- Fill in the details asked for on the page, including inserting your question in the message box
- Click ‘send’

Here are a few things to know about engaging within the discussion forums:

1. This community (group) is comprised of all C/SNA and IMD leaders (Presidents, IMD Chair, Presidents-elect and Chief Staff Officers) as well as key ANA leadership staff. In total there are over 100 individuals with access and receiving updates on all discussions.

2. Each member can send or reply to the group or just to a sender. Please consider the usefulness of broad vs. specific distribution when composing your message(s). Here are the two options you are presented with to post messages:

   - Reply to Group
   - Reply to Sender

3. Each member can adjust their own notification settings. At current everyone is defaulted to real time. Since this is a newer tool for our C/SNA leaders we made this choice such that the ease of use was evident, and clear that your messages would function as real time emails. However, if you choose, you can self-select to receive daily or weekly notification of discussion posts. To do so, please note as follows:

   - Go to settings in the upper right corner
   - Under Email notifications - select your preference
4. When you are replying from the email notification you receive in your inbox, if you want to be safe, and only reply to the sender, select 'reply'(not reply all) or forward, then insert the recipient’s information as you would with an email.

Q. Can I share content from the ANA social media or newsroom feeds?
A. Absolutely and we hope you do! Click on the appropriate share options for each and repurpose the content.

Q. If I am looking for something and am unable to find it, what should I do?
A. First use the ‘search’ feature in the upper right-hand corner. If that still does not yield results, click on the ‘Contact Us’ option in the top right corner of the site and send a message to let us know. If you are unable to locate content, or need assistance, contact Tina McRae-Phelps at tina.phelps@ana.org

Q. Is there a tutorial for using the site?
A. Yes, the tutorial is located on the bottom left hand side of the home page or access here

Regarding the tutorial, in addition to accessing it from the link provided above, this same link is available on the home page of C/SNA Essentials when you log in. If you have any questions in general or about log in/ navigation please contact Tina McRae-Phelps at tina.phelps@ana.org or Shivangi Bhatt at Shivangi.bhatt@ana.org
Appendix A: *Standards for Excellence®* Educational Resource Packets

The Standards for Excellence Institute® has developed and maintains educational resource packets for organizations interested in implementing the *Standards for Excellence: An Ethics and Accountability Code for the Nonprofit Sector*. The educational resource packets generally include information on the importance of implementing specific standards, justification for the standards, best practices associated with the issue, model procedures and sample policies. Structurally, they include a narrative memo and attachments. The attachments include both original materials created by the Standards for Excellence Institute, as well as documents that have been obtained with permission from other sources.

The *Standards for Excellence* educational resource packets were prepared by conducting an exhaustive review of the literature on the particular topic, pulling the most useful information, creating original materials (including model policies) where the available information is not sufficient, and packaging the materials in an easy to use format. The cover memo for each packet provides a conceptual framework which is intended to help organizations make good use of the accompanying materials.

Collectively, the packets cover each of the 67 standards in the *Standards for Excellence: An Ethics and Accountability Code for the Nonprofit Sector*. The following *Standards for Excellence* educational resource packets are available:

---------------------------------------------

**Mission, Strategy and Evaluation**

**1)  Mission, Impact and Planning (Updated January 2015)**

- Steps the engage in strategic planning
  - Conduct a SWOT analysis
  - Develop and revise the mission statement
  - Create a plan
  - Developing a 3 to 5 year plan (strategic plan)
    - Prepare to plan
    - Get organized
    - Review mission, vision, and values
    - Decide on strategies
    - Create goals and objectives
    - Connect long range strategic planning with ongoing operations
- Pitfalls of planning
- Examples of mission statements
- *Attachments*: Strategic Plan Sample Worksheet for Executive Summary and Sample Strategic Plan Implementation/Action Plan

**2) Program Evaluation (updated January 2015)**

- Definition of program evaluation
- Purpose of program evaluation
- Defining your programs
- Monitoring vs. evaluation
- The program cycle
- Approaches to outcome evaluation
- Logic models
• Methodologies: quantitative and qualitative approaches
• Data collection techniques
• Effectiveness v. efficiency
• Cost-benefit analysis
• Measuring participant satisfaction
• Using program evaluation data
• Attachment: Sample Outcomes Logic Model (WK Kellogg Foundation) and Sample Program Evaluation Matrix (Standards for Excellence Institute)

(3) Strategic Partnerships (updated February 2015)
• Types of partnerships and important considerations
• Identifying and vetting potential partners
• Memorandum of Understanding
• Role of the board
• Attachments: Sample Policy on Strategic Partnerships (Pathfinders for Autism), Mergers Due Diligence Checklist, Legal Issues and Nonprofit Mergers

Leadership: Board, Staff and Volunteers

(4) Board Member Responsibilities (updated September 2018)
• Board’s governance and fiduciary responsibility
• Board member legal responsibilities
• When board members act in a representative capacity
• Bylaws
• Policies
• Board evaluations of its own performance
• Expectations for board members
• Board member development, orientation and training
• Board meetings and attendance
• Meeting minutes
• Strategic meeting agendas
• Committees
• Some characteristics of effective committees
• Attachments: Sample Bylaws, Sample Board Evaluation, Position Description, Sample Board Commitment Form, Board Orientation Checklist, Board Member Handbook, Ten Tips for Effective Meetings, Board Meeting Minutes, and Board Committees, list of policies that should be approved by the board

(5) Board and Executive Partnership (updated September 2014)
• Defining roles
• Sorting out board and staff roles and responsibilities
• Understanding the line between management and governance
• Hiring the chief executive
• Executive roles and responsibilities
• Determining chief executive compensation
• Evaluating the chief executive
• Chief executive termination/removal
• Policies
• Additional policy considerations
• Attachments: Leadership Roles in Management and Governance Diagram, Board Calendar Board Room Quick Tip, Sample Position Description: Executive Director, Sample Executive Director Evaluation Process Resource Tool

(6) Succession Planning (updated September 2016)
• Staff departure-defined succession planning vs. emergency succession planning
• Preparing for succession, leadership development
• Developing succession plans and procedures
• Key elements of succession plans and procedures
• Hiring a new executive director
• Succession planning for board leadership
• Attachments: Sample Leadership Development and Succession Plan, Board Room Quick Tip, Strategies for Successful Succession

(7) Board Member Composition and Independence (updated September 2014)
• Commitment to the mission of the organization
• Employees on the board
• Relatives and business associates in leadership position on the nonprofit board
• Board member recruitment and selection
• Board Development, Nominating, or Governance Committee
• Board diversity
• Term limits
• Compensation
• Board size
• Board independence
• Attachments: Board Development Committee, Board Composition Analysis, Statements on Board Diversity, Family and Business Relationships and Interested Person Independence Questionnaire

(8) Personnel Policies, Employee Orientation, Compensation, and Evaluation (Updated December 2016)
• Board and staff human resource roles and responsibilities
• Personnel Policies and Procedures
  o Benefits of personnel policies
  o Model employee handbook
  o Developing personnel policies
  o Drafting an employee handbook
  o Distributing the handbook
  o Additional policies to consider
  o Staff Management
• Staff management
  o Employee orientation
• Performance evaluation
  • Outcomes of competitive compensation and employee evaluations

• Compensation Structure Overview
  • Conducting a salary structure review
  • Developing a compensation philosophy statement
  • Provisions of intermediate sanctions

• Appointing the executive director, setting executive compensation and conduction annual evaluation
  • Hiring the executive director
  • Setting the executive director’s compensation
  • Evaluating the executive director’s performance

• Attachments: Annual Reviews of Executive Director, Annual Employee Evaluation Form, Compensation Philosophy Statements, Compensation Policy for Employees, Compensation Policy for Executive Director, Model Review of Organization’s Salary Structure, Model Employee Handbook (includes employee orientation checklist) and A Charitable Nonprofits’ Guide to Telecommuting

(9) Organizational Sustainability and Sustainability Planning (updated October 2017)
• Taking a broader view of sustainability and sustainability planning
• Working toward a more sustainable organization
• Double bottom line: The Matrix Map
• Environmental Sustainability
• Strategic Planning
• Capital Planning (Operating reserve, facilities and maintenance)
• Funding Depreciation
• Strategic Partnerships
• Succession Planning
• Leadership Development
• Succession Planning for Board Leadership
• Definitions of sustainability for nonprofits
• Approaches to working toward a more sustainable organization
• Considerations of sustainability in terms of: programming, leadership, personnel, finances, infrastructure
• Attachments: Sample worksheets on cataloging income, capturing expenses, and assets and liabilities, organizational sustainability assessment, calculating revenue and expenses by program (Recession Tool Kit)

(10) Volunteer Policies (updated September 2016)
• Benefits of volunteer policies
• Developing volunteer policies
• Preparing for incorporating volunteers into an organization’s efforts
• Ongoing volunteers and episodic/special events volunteers
• Nonprofits engaging unpaid interns
• Whistleblower protection for volunteers
• Inclusive workplace
• Initial assessment or screening of volunteers
• Assigning and training volunteers for appropriate work responsibilities
• Ongoing supervision and evaluation
• Motivating and promoting volunteer enthusiasm and productivity
• Recognition and opportunities for advancement
• Attachments: Model Volunteer Program Policies and Procedures, Position Description for Volunteer Coordinator, Sample Volunteer Policies, Sample Volunteer Agreement, Sample Agreement for Unpaid interns

(11) Diversity, Equity, and Inclusion (updated November 2018)
• Assessing your Diversity, Equity and Inclusion (DEI) work and values
• Creating a strong and effective DEI Policy
• Historical concept for DEI
• Understanding the terms and language around DEI
• Benefits of including DEI practices within programmatic outcomes and nonprofit work culture
• Attachments: Organizational assessment and planning for DEI, Sample DEI Self Assessment for Nonprofit Organizations, DEI Self Assessment for a Nonprofit’s Stakeholders, Sample DEI Plan (Oyster Recovery Project), Sample Cultural Competency Policy (Arc of Central Chesapeake)

Legal Compliance and Ethics

(12) Legal Requirements Checklist (updated October 2016)
• Affordable Care Act
• Employer shared responsibility provisions under the Affordable Care Act
• Notice for retirement benefits for same sex marriages
• Requirements applicable to tax exemption/tax exempt status
• Requirements for corporate start up
• Requirements related to organizations with employees
• Requirements related to Americans with Disabilities Act
• Requirements related to solicitations, fundraising, and related activities
• Requirements applicable to lobbying activities
• Miscellaneous requirements
• Attachments: Checklist of Compliance with Selected Legal, Regulatory, and Financial Reporting Requirements for Charitable Nonprofits,

• Before you solicit contributions be sure your organization and the fundraisers it works with are properly registered
• Disclosure requirements in fundraising solicitations
• Disclosure requirements regarding the deductibility of donor contributions
  o Deductibility and charitable auctions
  o Deductibility and membership benefits
  o Benefits provided to employees of corporate contributors
• Disclosure requirements in fundraising receipts/acknowledgements
• Sponsorships and taxable advertisements
• Disclosure requirements regarding financial documents that must be provided to a member of the public upon request
• Detailed disclosures are required for contests, sweepstakes and promotions

(14) Reporting Misconduct and Whistleblower Protection (Updated June 2015)
• Benefits of reporting improprieties
• Confidential means to report improprieties
• Protections for those that “blow the whistle”
• How a nonprofit can implement a policy to promote confidential reporting of financial improprieties
• Attachments: Sample policy on Confidential Reporting of Financial Impropriety or Misuse of Organization’s Resources, Sample policy on Reporting Improprieties, Fraudulent or Dishonest Conduct, Sample Financial Impropriety or Misuse Policy, Sample Job Description for Individual (Volunteer or Paid Staff) Managing the Ethics Hotline (or similar mechanism to provide employees a confidential means to report suspected financial improprieties or misuse of organization resources).

(15) Conflicts of Interest (updated July 2018)
• Why a conflict of interest policy is important
• Identifying conduct that raises conflict concern
• Benefits of a conflict of interest policy
• Disclosure
• Duality of Interest
• Independent review and approval
• Perceived conflicts and the appearance of impropriety – policy in action
• Nepotism
• Other family relationships
• Other business interests
• Gifts/no-gifts policy
• Summary of steps to take in preparing a conflict of interest policy
• Attachments: Model Conflict of Interest Policy, Model Conflicts of Interest Annual Affirmation of Compliance and Disclosure Statement, Sample Questionnaire on Family and Business Relationships and Interested Person Independence, Sample Gifts to Staff Policy

(16) Developing a Code of Ethics (updated October 2014)
• Developing a code of ethics
• Step-by-step strategy for developing a code of ethics

(17) Working Professionally and Respectfully with Program Stakeholders (updated February 2015)
• Respect
• Confidentiality policies
• Grievance procedures
• Attachments: Sample Statement of Privacy, Sample Confidentiality Policy with Accompanying Enrollment Form and Family Rights Policy (Prince Georges’ Childcare Resource Center), and Sample Fundamental Human Rights Policy (Humanim)
Finance and Operations

(18) Financial Budgeting, Reporting, and Monitoring (Updated June 2015)

- The budget
- The finance committee
- Steps in the budget process
- Financial statements
- Resources spent on program administration and fundraising
- Audits
- 2009 Accounting standards codification and 2006 audit standards revision
- Audit Committee and the Sarbanes-Oxley Act
- Form 990
- Attachments: Glossary of Terms associated with financial planning and monitoring, Sample Request for Proposal for an Audit, sample Independent Nonprofit Auditor Policy, Board’s Review of the Form 990 Policy, Effective Fiscal Management, Sample Section of Board Minutes Reflecting Review of Percentages Spent on Program, Administration and Fundraising

(19) Financial Policies and Internal Controls (Updated June 2015)

- Policies versus procedures
- Policies address in the Standards for Excellence code
  - Investment policies
  - Unrestricted current net assets
  - Purchasing policies
  - Internal controls policies and procedures
- Attachments: Sample Investment Policies, Sample Joint Venture Policy, Sample Policy on Unrestricted Net Assets, Model Purchasing Policy, Sample Internal Control Policy, Practical and Almost Painless Approaches to Improving Internal Controls

(20) Administrative Policies (updated October 2017)

Crisis and Disaster Planning

- Importance for nonprofits
- Dealing with crisis
- Key principles and guidelines for organizational responses to crises and disasters
- Benefits associated with crisis management (and risks for not addressing crisis planning)
- Recommended components of a Crisis and Disaster Plan
- Integrating program delivery, service populations, and other stakeholders into crisis and disaster planning
- Crisis communication
- Steps in developing a crisis communications plan
- Attachments: Sample crisis and disaster plan introduction, Roles and Responsibilities of the Disaster/Crisis Team, Sample Risk Assessment Worksheet, Sample Continuity Plan Worksheet, Sample Emergency/Crisis Communication Plan

Information Technology Planning

- Benefits of information technology (IT) planning
- Full scope of information technology
- IT Policies (acceptable use, contracting, outsourcing, data integrity,
• Strategic IT Planning (including strategy and needs assessment, budgeting, total costs of ownership)
• Online Fundraising
• Getting Started with IT Planning
• Attachments: Sample Technology Policy (and Privacy Policy for Users), Acceptable Use Policies, Information Technology Consultants, Data Security and Integrity, Getting Started with IT Planning

Communications and Social Media
• How to begin
• Social Media Platforms
• Mobile Applications
• The communications policy
• The communications plan
• Working with social media
• Attachments: Sample Nonprofit Style Guide, Sample Communications Policy, Social Networking Policy (The Arc Baltimore), Essential Communications Tools (excerpted from Generate Buzz! Strategic Communications of Nonprofit Boards)

(21) Risk Management and Insurance (updated September 2018)
• Managing Risk (with risk cycle)
• Insurance for Nonprofits
• Directors and officers insurance
• Other types of insurance
• Immunity for nonprofits
  ○ Federal immunity laws
  ○ State immunity laws
• Attachment: Questions and Answers about D & O Coverage

Resource Development

(22) Resource Development Planning and Sources of Income (updated October 2014)
• Elements of a resource development plan
• Carrying out the development plan
• Sample income streams that may be found in a resource development plan
• Assessing sources of income Attachments: Sample Resource Development Plan, Sample Board Development Calendar, Income Worksheet, Fundraising Case Statement Fundraising Readiness Worksheet, Annual Campaign Information, Telemarketing and Phone-a-thon Information, Major Gifts, Grants, Federated Fundraising, Special Events, Planned Giving Overview, Supporting Organizations Overview

(23) Fundraising Costs (Updated November 2014)
• Controlling cost of raising money
• Determining ratio of charitable contributions for fundraising results to costs
• Fundraising ratios do not reveal efficiency or effectiveness of nonprofits
• Reasonable over time
• Attachments: Typical Fundraising Event Expenses, Nonprofit’s Fundraising Expenses
Fundraising, Solicitation, Acceptance of Gifts, and Working with Donors (Updated September 2016)

- Benefits of fundraising and development policies
- Fundraising activities
- Online fundraising
- Fundraising by third parties
- Donor relationships and privacy
- Acceptance of gifts
  - Limits on persons or entities from whom organization will accept gifts
  - Limits on types of gift that will be accepted
  - Limits based on the practical or financial implications of accepting a gift
  - Limits on the purpose for which a gift will be used
  - Anticipating the unexpected
- Attachments: Model Solicitations and Acceptance of Gifts Policy, Donor Bill of Rights (Association of Fundraising Professionals)

Fundraising on Behalf of the Organization (updated November 2014)

- Working with fundraising consultants
- Avoiding commission or formula based compensation for fundraisers
- Proper registration of fundraising consultant
- Exercising control over individuals or groups soliciting on the nonprofit’s behalf
- Attachment: Sample Fundraising Agreement for Outside Organizations Raising Money Without Charge on Behalf of a Nonprofit

Public Awareness, Engagement and Advocacy

Educating and Engaging the Public (updated September 2014)

- Benefits of engaging the public
- How to begin
- Openness
- Annual reporting
- Five elements of an annual report
  - Element 1: Mission statement
  - Element 2: Program activities and accomplishments
  - Element 3: Basic financial report
  - Element 4: Names of board members
  - Element 5: Names of management staff
- Public access - opportunities for the public to communicate with organization leadership
- Public access – opportunities for the organization leadership to communicate with the public
- Educational information
- Attachment: Final Checklist Before Releasing Materials to Public
(27) Advancing the Mission through Public Policy (updated August 2014)

- Advocacy and lobbying in charities is legal
- Defining the terms: What is advocacy? What is lobbying?
- Allowable lobbying activity
  - Federal regulations
- Registration and disclosure of lobbying activity
- Developing an advocacy policy for your organization
- Activities must be strictly nonpartisan

IRS Form 990 Governance and Management Policy Compendium

- Ensuring nonprofits have the tools needed to complete the management and governance sections of the 2008 Form 990
- Attachments: Board Member Independence Questionnaire, Board’s Review of the Form 990, Conflict of Interest Policy, Compensation Policy, Auditor Independence Policy, Whistleblower Policy, Joint Ventures Policy, Expense Reimbursement Policy, Solicitation and Acceptance of Gifts Policy, Document Retention and Destruction Policy

November 4, 2018