Helping People. Changing Lives.

community
Action ®

PARTNERSHIP
of North Dakota

NORTH DAKOTA'S POVERTY FIGHTING NETWORK

BOARD TRAINING

PRESENTED BY: ANDREA OLSON, MS, CCAP, NCRT/NCRI

  EXECUTIVE DIRECTOR

  COMMUNITY ACTION PARTNERSHIP OF NORTH DAKOTA

RIKKI ROEHRICH, MA, (NCRT IN-PROGRESS)

  PROGRAM MANAGER

  NORTH DAKOTA DEPARTMENT OF COMMERCE, DIVISION OF COMMUNITY SERVICES

OBJECTIVES

- Increased knowledge of the Community Services Block Grant

- Understand CSBG specific tripartite board responsibilities.

- Understand legal roles and responsibilities of a non-profit board member

- Be able to understand and apply principles of board engagement and involvement in governance

Who is CAPND?

CAPND provides advocacy, training, and technical assistance for the seven Community Services Block Grant (CSBG) Grantees in North Dakota as they provide services that support self-sufficiency for people living in poverty.

COMMUNITY ACTION AGENCIES IN NORTH DAKOTA
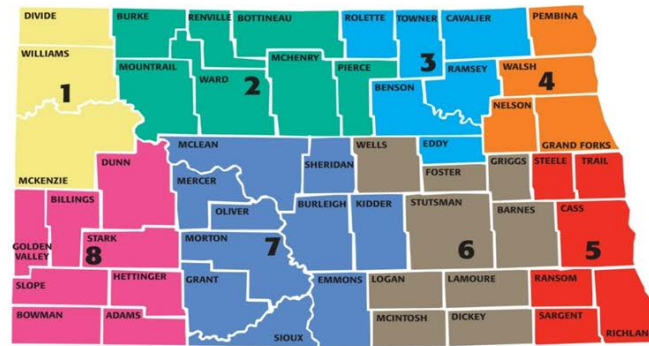
Region 1 - Community Action Partnership - Williston/Dickinson
Region 2 - Community Action Partnership - Minot
Region 3 - Dakota Prairie Community Action - Devils Lake
Region 4 - Red River Valley Community Action - Grand Forks
Region 5 - Southeastern ND Community Action Agency - Fargo
Region 6 - Community Action Program Region VI - Jamestown
Region 7 - Community Action Program Region VII - Bismarck
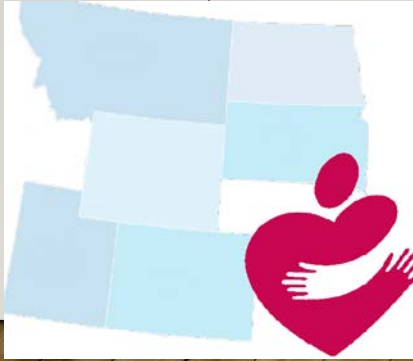Region 8 - Community Action Partnership - Dickinson/Williston

CSBG NETWORK

U.S. Department of Health and Human Services (Office of Community Services)

Regional T/TA (RPIC)

States (North Dakota Department of Commerce)

National T/TA (CAP, NASCP, CAPLAW)

State Associations (CAPND)

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MISSION OF CSBG

- To provide assistance to states and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient

- The 3 National Goals of CSBG are:
  1. Individuals and families with low incomes are stable and achieve economic security.
  2. Communities where people with low incomes live are healthy and offer economic opportunity.
  3. People with low incomes are engaged and active in building opportunities in communities.

1964 – ECONOMIC OPPORTUNITY ACT

President Lyndon B. Johnson signs the Poverty Bill (also known as the Economic Opportunity Act) while press and supporters of the bill look on [LBJ Library photo #C661-4-WH64 by Cecil Stoughton]

CSBG HISTORY

- 1974: Funding for CSBG is cut, but it is saved by the Community Services Act

- 1981: Community Services Block Grants Act passes, changing the relationship of the grant

- 1993: GPRA Passes - requires a focus on results

- 1998: Reauthorization of CSBG Act. This is the last time CSBG Act was reauthorized by congress

- 2009: Obama puts a focus on Performance Progress Reporting

- 2012: New focus on performance management in CSBG Network

- 2017: New annual report developed and implemented in a phased approach

LAWS AND POLICIES FOR BOARDS

- All Nonprofits in North Dakota subject to: Century Code Chapter10-33

    Board of Directors outlined in NDCC Chapter 10-33-27 thru 10-33-84

- CSBG Boards:
    - CSBG Act
    - Federal CSBG Policy Communications
        - Information Memorandum (IMs)
        - Dear Colleague Letters
        - Action Transmittals
    - State CSBG Policies

IMPORTANT INFORMATION MEMORANDUMS

- IM 82: Guidance on Tripartite Board functions

- IM 138: Established the Organizational Standards

- Organizational Standards were put in place by an IM. These standards are meant to ensure CSBG Eligible Entities have the capacity to provide high-quality services.

  - 58 Standards for Private nonprofit CSBGEEs
  - 50 Standards for Public CSBGEEs

TRIPARTITE BOARD REQUIREMENTS (O.S. 5.1, 5.2, 5.5 & 5.7)

- 3 Sectors to Board Structure
    - 1/3 Public
    - At least 1/3 Low-Income
    - Remainder Private
- Determine how often the board needs to meet and how many members constitute a quorum.

BOARD ROLES AND RESPONSIBILITIES

| Establish Organization Identity | Ensure Resources | Provide Oversight |

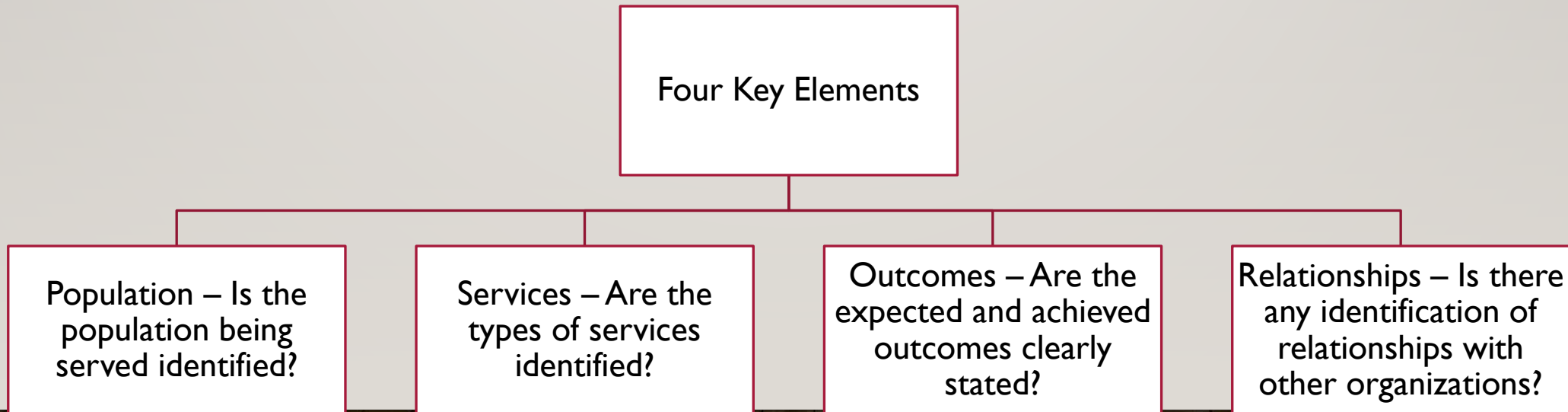| Determine Mission |
| Ensure Effective Organizational Planning |
| Select, Support and Evaluate the Executive Director |
| Ensure the Board Operates Effectively and Efficiently |
| Advocacy and Ambassadorship |
| Ensure Compliance with Legal Obligations and Ethical Norms |
| Protect Assets and Provide Proper Financial Oversight |
| Monitor Program Performance and Impact |

UNDERSTANDING MISSION STATEMENTS

- A mission statement defines the fundamental purpose of the organization and explains why the organization exists

Four Key Elements

Population – Is the population being served identified?

Services – Are the types of services identified?

Outcomes – Are the expected and achieved outcomes clearly stated?

Relationships – Is there any identification of relationships with other organizations?

DETERMINE MISSION

- Reviewed the organization's mission statement and ensure:

    1. The mission addresses poverty; and

    2. The organization's programs and services are in alignment with the mission.

- When reviewing mission statements, this is also a good time to review your vision and values

WHAT IS THE BOARD'S ROLE IN THE ORGANIZATIONAL STANDARDS

- 29 of the 58 Standards identify the Board's involvement…to report, review, approve, sign, conduct, accept or a combination of these actions.

- **Maximum Feasible Participation**
  - Category 1: Consumer Input and Involvement
  - Category 2: Community Engagement
  - Category 3: Community Assessment

A goal without a plan is just a wish.

Antoine de Saint-Exupéry
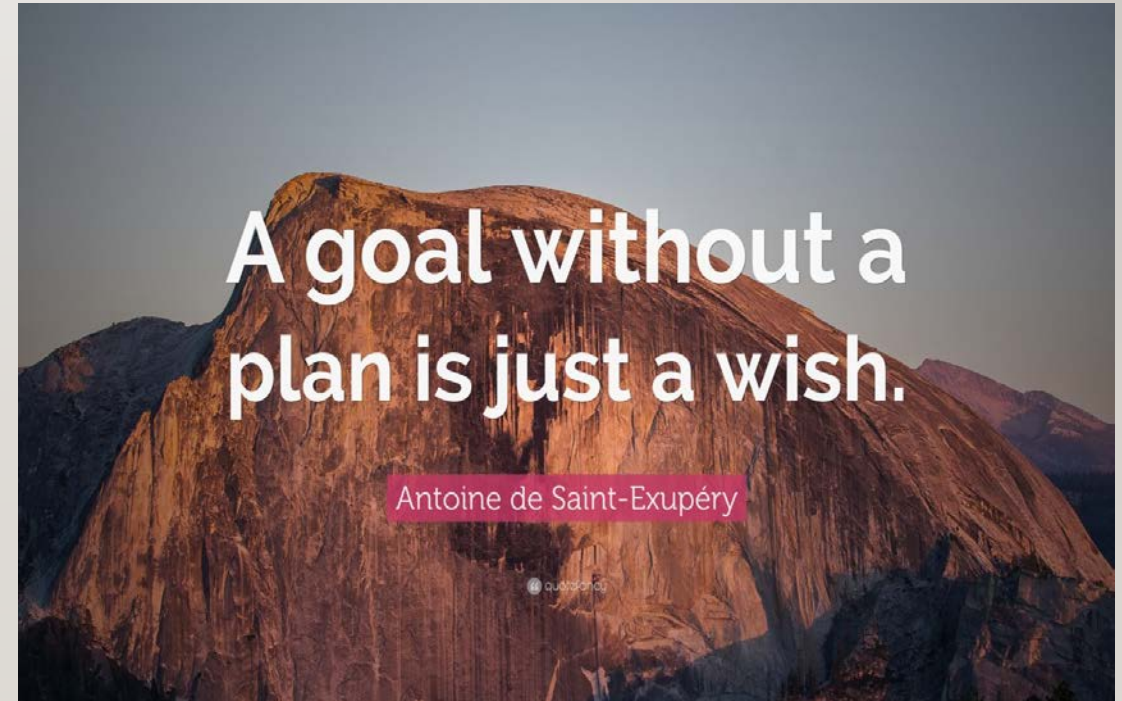
WHAT IS THE BOARD'S ROLE IN THE ORGANIZATIONAL STANDARDS

- **Vision and Direction What**
  - Category 4: Organizational Leadership
  - Category 5: Board Governance
  - Category 6: Strategic Planning

- **Operations and Accountability**
  - Category 7: Human Resource Management
  - Category 8: Financial Operations and Oversight
  - Category 9: Data and Analysis

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Antoine de Saint-Exupéry

WHAT ARE MY RESPONSIBILITIES AS A BOARD MEMBER? INFORMATION RECEIVED

- Customer satisfaction data reported to governing board (O.S. 1.3).

- An agency-wide, comprehensive risk assessment has been completed within past 2 years and reported to the governing board (O.S. 4.6).

- Annual update on the success of specific strategies included in the Community Action plan (O.S. 4.4).

- Copy of bylaws within past 2 years (O.S. 5.4).

- Training on duties and responsibilities within past 2 years (O.S. 5.8).

WHAT ARE MY RESPONSIBILITIES AS A BOARD MEMBER? ACTION ITEMS

- **Accepted –** Completed Community Needs Assessment (O.S. 3.5).

- **Received and Accepted –** Annual Audit (O.S. 8.4).

- **Conducted –** Governing board conducts a performance appraisal of CEO/Executive Director within each calendar year (O.S. 7.4).

- **Reviewed**
  - Agency mission statement within past five years (O.S. 4.1).
  - IRS Form 990 annually (O.S. 8.6).
  - Written procurement policy within past five years (O.S. 8.11).

WHAT ARE MY RESPONSIBILITIES AS A BOARD MEMBER? ACTION ITEMS

- **Approved**
  - Written Succession Plan for CEO/Executive Director (O.S. 4.5).
  - Agency-wide strategic plan within past 5 years (O.S. 6.1).
  - Personnel policies within past 5 years (O.S. 7.1).
  - Whistleblower policy (O.S. 7.7).
  - Agency-wide budget annually (O.S. 8.9).
  - Fiscal Policy changes within past 2 years (O.S. 8.10).

WHAT ARE MY RESPONSIBILITIES AS A BOARD MEMBER? ACTION ITEMS

- **Reviewed & Approved**

  - CEO/Executive Director compensation within every calendar year (O.S. 7.5).

  - The agency has presented to the governing board for <u>review or action</u>, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary (O.S. 9.3).

- **Signed –** Each governing board member has signed a conflict of interest policy within the past two years (O.S. 5.6).

ADVOCACY AND AMBASSADORSHIP

- The CSBG Act requires partnerships are formed with, local law enforcement, local housing authorities, private foundations and other public and private partners.

- Board members should help educate the community about your mission and the success of your organization.

- Education and raising awareness about what your organization does is the best way to advocate for your organization and those they serve.

ENSURE COMPLIANCE WITH LEGAL OBLIGATIONS AND ETHICAL NORMS

- Ensure a comprehensive risk assessment is being done.

- Board members must have signed a conflict of interest policy

- Written personnel policies have been reviewed by an attorney and approved by the governing board.

- A whistleblower policy that has been approved by the governing board.

- The IRS Form 990 is completed annually and reviewed by the governing board

- Comply with legal duties: Duty of Care, Duty of Loyalty and Duty of Obedience

FIDUCIARY DUTIES

- Duty of Care
  - Understand the organizations mission
  - Be present
  - Be informed
  - When making decisions, exercise the same care as a prudent person would in the handling of their own affairs

- Duty of Loyalty
  - Put the organization above self-interest
  - Do not seek personal gain and comply with conflict of interest policy
  - When making decisions act in the best interest of the organization

- Duty of Obedience
  - Comply with organizations governing documents, bylaws, and policies
  - The public trusts you to manage public funds and fulfill the organizations mission
  - Public trusts you to obey the laws and rules established by the organization

PROTECT ASSETS AND PROVIDE PROPER FINANCIAL OVERSIGHT

PROTECT ASSETS AND PROVIDE PROPER FINANCIAL OVERSIGHT

- All findings from the prior year's annual audit have been assessed by the organization and addressed where the governing board has deemed it appropriate.

- The organization's auditor presents the audit to the governing board.

- The governing board formally receives and accepts the audit.

- Receives financial reports at each regular meeting that include the following:

    1. Organization-wide report on revenue and expenditures that compares budget to actual, categorized by program

    2. Balance sheet/statement of financial position.

- Approve an organization-wide budget.

- Ensure adequate funding for the organization

- Ensure there are fiscal policies in place, update and approve necessary changes

- A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.

MONITOR PROGRAM PERFORMANCE AND IMPACT

- Make sure customer satisfaction data is being collected by the organization and reported to the board

- The board should receive programmatic reports at each board meeting.

- The governing board has been presented an analysis of the agency's outcomes, and any necessary operational or strategic program adjustments and improvements have been identified.

SUMMARY OF BOARD ROLES AND RESPONSIBILITIES

BOARDS SHOULD BE IN INVOLVED IN:

- Governance
  - Planning
  - Policy
  - Evaluation
- Advocacy
  - Be an ambassador for the organization
- Financial Health and Sustainability
  - Budgeting and oversight
  - Fundraising

BOARDS SHOULD NOT BE INVOLVED IN:

- Day to day operations
  - Individual spending decisions within the board approved budget
  - Personnel decisions taken by the E.D.
  - Program operations, boards should leave the "how" to staff
- Criticizing the organization publicly
- "Parking Lot" meetings

THANK YOU!

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EXECUTIVE DIRECTOR

ANDREAO@CAPND.ORG

RIKKI ROEHRICH, MA, (NCRT IN-PROGRESS)

PROGRAM MANAGER, CSBG

RROEHRICH@ND.GOV

ROMA

Results Oriented Management and Accountability

- This means that agencies should be **"results oriented"** (that is focused on the changes they will make)

- And that there should be processes in place to assure **accountability at all levels**.
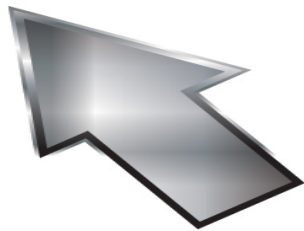
The Results Oriented Management and Accountability Cycle

Assessment
Community needs and resources, agency data

Planning
Use agency mission statement and assessment data to identify results and strategies

Implementation
Services and strategies produce results

Achievement of Results
Observe and report progress

Evaluation
Analyze data, compare with benchmarks
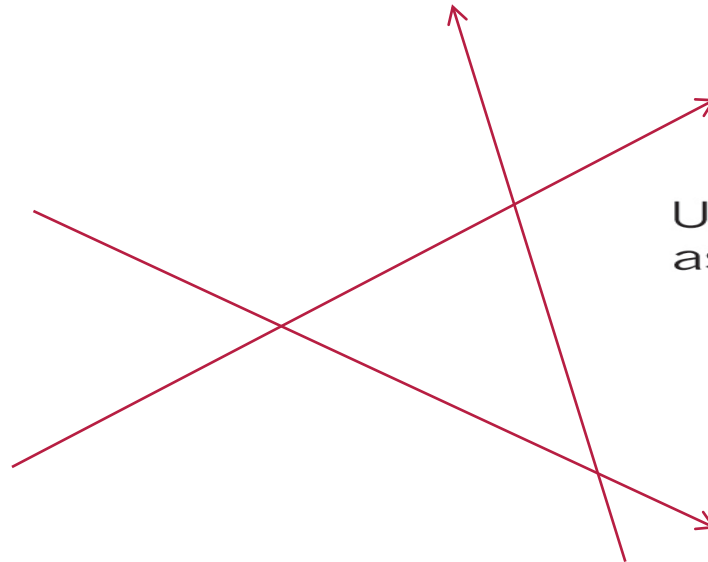
ROMA Logic Model
National ROMA Peer-To-Peer Training Program

Organization: Program: ❏Family   ❏Agency   ❏Community

Identified Need, Problem, Situation *Utilize needs identified in the Community needs assessment*	Service or Activity *Identify the projected # of clients to be served.* *Identify the **timeframe** for the project.* *May also include the # of units offered.*	Outcome *General statement of results expected.*	Indicator *Projected # of clients expected to achieve each outcome divided by the number served; the % expected to achieve.*	Actual Results *The Actual # of clients achieving the outcome, divided by the number served; the % of clients who achieved each outcome.*	Measurement Tool *What evidence will you collect to prove your outcomes were achieved?*	Data Source *Where is the data found?* **Personnel** *Who collects this data?* **Procedures** *What does the staff use to collect the data?*	Frequency of Data Collection and Reporting
Planning	Intervention	Benefit	Performance	Performance	Accountability	Accountability	Accountability
Individuals need additional training in order to get a job	60 people enrolled in job training program in FY2018	Individuals complete job training; Individuals obtain employment	55/60 people complete job training; 40/60 people		Attendance sheets; Employment offer letter; pay stubs	Class instructor will take attendance and record it in CAP60; Case manager will collect a employment offer letter and pay stubs from program graduates and record it in CAP60	Class instructor will take attendance daily; Case manage will enter information in to CAP60 weekly ED will report information from CAP 60 to board on a monthly basis;

Mission: Our program will assist individuals with low-income attain self-sufficiency through job training

Proxy Outcome:

The National Community Action Network Theory of Change

Community Action Goals

Goal 1: Individuals and families with low incomes are stable and achieve economic security.

Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.

Goal 3: People with low incomes are engaged and active in building opportunities in communities.

Services and Strategies

Employment

Education & Cognitive Development

Income, Infrastructure & Asset Building

Housing

Health/Social Behavioral Development

Civic Engagement & Community Involvement

Core Principles

- Recognize the complexity of the issues of poverty
- Build local solutions specific to local needs
- Support family stability as a foundation for economic security
- Advocate for systemic change
- Pursue positive individual, family, and community level change
- Maximize involvement of people with low incomes
- Engage local community partners and citizens in solutions
- Leverage state, federal, and community resources

Performance Management

How well does the network operate? ↔ What difference does the network make?

- Local Organizational Standards
- State and Federal Accountability Measures
- Results Oriented Management and Accountability System

- Individual and Family National Performance Indicators
- Community National Performance Indicators

A national network of over 1,000 high performing Community Action Agencies, State Associations, State offices, and Federal partners supported by the Community Services Block Grant (CSBG) to mobilize communities to fight poverty.

FOUNDATION

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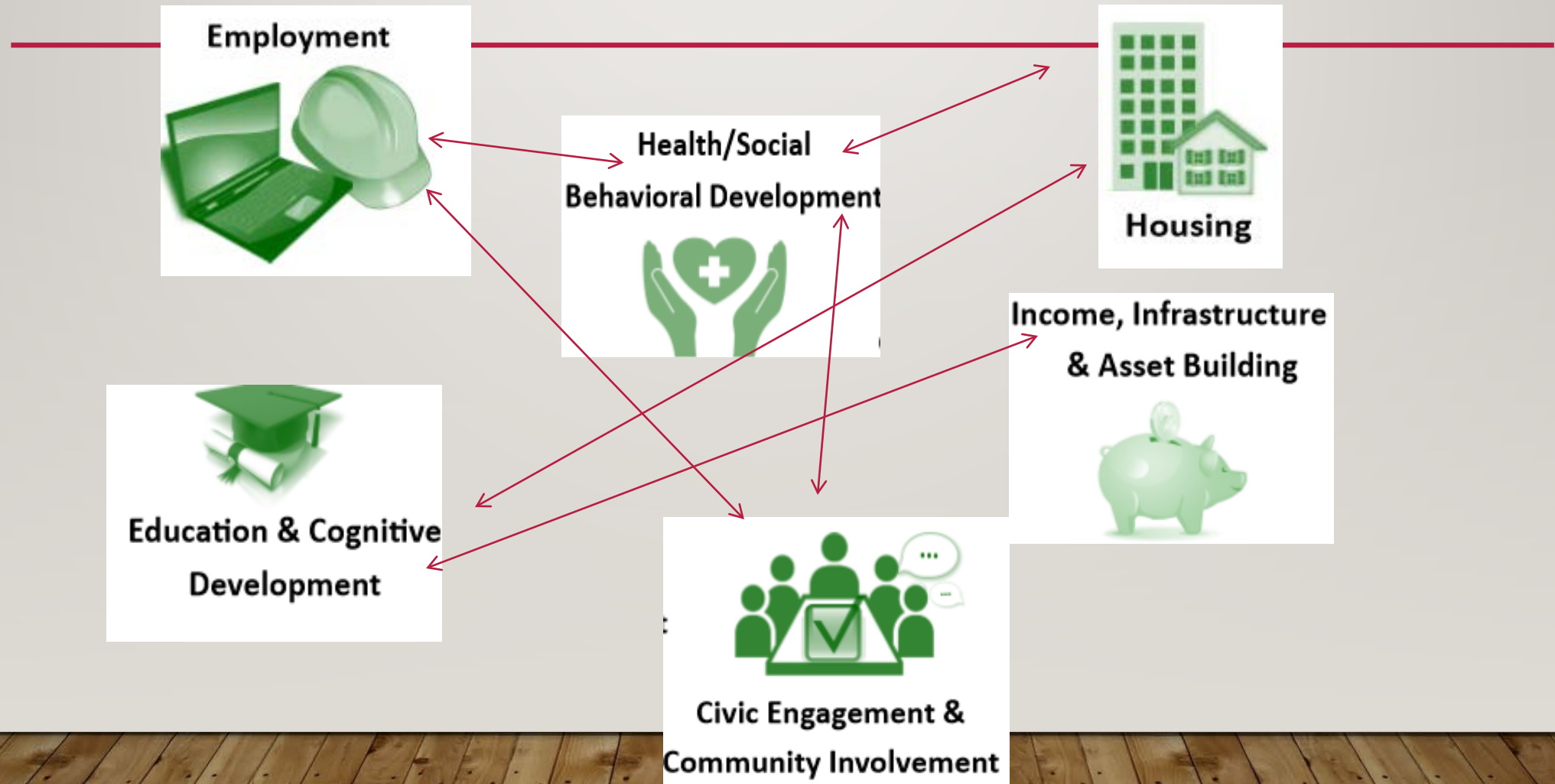How well does the network operate? ↔ What difference does the network make?

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THREE NATIONAL GOALS

The National Community Action Network Theory of Change

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WHAT CAN WE LEARN FROM BASEBALL?

- Baseball has been collecting statistics since 1876
- They recorded "what happened" and analyzed the data
- Baseball has developed standards of performance over its existence.
- They have learned that they have little ability to improve the performance of excellence despite trying to make adjustments.
- Hitting .300, 30%, is a measure of excellence
- Without educating the public about the meaning of 30%, we would not know that we are observing success.

What did baseball do that we don't?
- Clearly defined the indicator (hit and get on base)
- Kept records
- Analyzed the data and developed a benchmark
- Publicized what they found, so the public knows that 30% is excellent

WRAPPING UP ROMA

- ROMA is a performance-based management framework

- ROMA is a cycle that helps agencies focus on being results-oriented rather than service oriented.

- Accountability is key to achieving results

- The mission and national goals help tie the work of all Community Action Agencies Across the state and country together.

HOW TO IMPLEMENT ROMA AS A BOARD

- Ensure a comprehensive community needs assessment is conducted. Needs assessment should be a usable document

- Evaluate mission and ensure programs align with the mission

- Be involved in the development of a strategic plan, community action plan, appraise the progress and achievement of the plans

- Ensure there is a focus on results, not just services

- Ensure that services are high quality

- Ensure personnel and fiscal policies and procedures are in place

- Evaluate and Analyze data

- Advocate for your mission and educate people about your success

QUESTIONS?