Recruitment to the Board of Directors

- Are new board members recruited on a regular or on-going basis? Yes ☐ No ☐

- In recruiting board members, does your organization:
  (check as many as apply)

  - Have a nominating committee? Yes ☐ No ☐
  - Do all Board members and the Executive Director actively identify and solicit potential new board members who will address the needs as identified by the Board? Yes ☐ No ☐
  - Invite potential Directors to be "members for a day"? Yes ☐ No ☐
  - Rank candidates from a list provided by the nominating committee? Yes ☐ No ☐
  - Provide prospective Directors with a board orientation packet so they are made aware of the time commitment and their responsibilities? Yes ☐ No ☐
  - Interview prospective Board members? Yes ☐ No ☐
  - Have an advisory council to use as a training ground? Yes ☐ No ☐
  - Have an application form to be filled out by prospective candidates, listing particular expertise, availability, understanding of mission, interest in the organization, and references? Yes ☐ No ☐
  - Approach corporations/businesses in your community to let them know you're interested in volunteers or potential board members from their workpool? Yes ☐ No ☐

- Do new Directors "go to the office" for part of a day or all day for an orientation and a firsthand look at what your organization does for the community? Yes ☐ No ☐

- Does your Board work at "continuing education" such as attending workshops, spending a short period of time on issues Directors want to know more about, bringing in experts or holding a retreat? Yes ☐ No ☐

- When your Board has a conflict, do you table the issue to allow Directors to rethink their opinions, gather materials to support a position or refer the issue back to committee? Yes ☐ No ☐

- At the end of your term, do you evaluate yourself to determine if you are still an active and interested Director making a contribution to the organization? Yes ☐ No ☐

- Is recruitment aimed at creating a board with necessary skills and varied viewpoints in addition to being a community resident? Yes ☐ No ☐
  (refer to NPP/RPP Policy Manual for DHCR requirements.)

- Do your Directors include persons with corporate affiliation, technical expertise, financial and managerial experience, familiarity with government agency contracts, fund-raising skills and community contacts? Yes ☐ No ☐

- Is an information/orientation packet given to new Directors containing: a welcome letter, an annual meeting schedule, a list of names and addresses of all Directors, roles and responsibilities for Directors and Officers, prior year Meeting minutes, Bylaws, personnel policies, and office procedures? Yes ☐ No ☐

- Does the board assign a "mentor" who will take the time to orient a new Director? Yes ☐ No ☐

- Is an orientation scheduled for new Directors, as well as an annual refresher class for the entire board? Yes ☐ No ☐

- Is there a follow-up evaluation/feedback period where the board and the new Director assess the new Director's long-term potential effectiveness, interest and commitment to the organization's goals? Yes ☐ No ☐

Operating Procedures of the Board of Directors

- Does your board hold at least ten meetings each year, one of which is the annual meeting? Yes ☐ No ☐
- Are agendas prepared and distributed in advance of the meeting? Yes ☐ No ☐
- If you receive agenda information that is unclear, do you contact your Executive Director for clarification prior to a Board meeting to increase the effectiveness of Board meetings? Yes ☐ No ☐
- If a non-agenda item is brought up that is not of particular urgency, does the Board move the item to next month's agenda to allow adequate preparation? Yes ☐ No ☐
- As a Director, do you
  - actively participate in meetings? Yes ☐ No ☐
  - practice the art of compromise? Yes ☐ No ☐
  - practice the art of listening? Yes ☐ No ☐
  - work toward consensus on all issues? Yes ☐ No ☐
- Do meetings begin and end on time? Is the duration of meetings 2.0 hours or less? Yes ☐ No ☐
- Are committees established with defined mission statements and regular meeting schedules? Yes ☐ No ☐
- Do Directors put in time outside of meetings, such as preparing for meetings, serving on a committee, attending fund-raisers, workshops, grant meetings, consultation with experts, etc.? Yes ☐ No ☐
- Are all Directors required to serve on at least one committee? Yes ☐ No ☐
- Do your committees have clear goals and objectives? Yes ☐ No ☐
- Do you disband outdated committees and create new ones as needed? Yes ☐ No ☐
- Do you evaluate your committees' performance? Yes ☐ No ☐
- Do your committees provide a standardized one to two-page summary for committee recommendations/decisions as a part of an agenda packet and avoid wasting valuable meeting time? Yes ☐ No ☐
- Are decisions made on a committee level? If Board does not accept recommendation of a committee, does the issue go back to committee rather than have the full Board deal with the issue? Yes ☐ No ☐
- Are meetings conducted according to a standard such as Roberts' Rules of Order? Yes ☐ No ☐

- Is a written record of each board meeting kept, distributed in a timely fashion to all Directors, and ratified at the following meeting? Yes ☐ No ☐
- Does the board make informed decisions in a timely fashion? Yes ☐ No ☐
- Does the Board Chair meet regularly with the Executive Director to discuss his/her priorities and relay these to the Board? Yes ☐ No ☐
- Does the Board Chair keep Directors informed about issues and developments? Yes ☐ No ☐
- Does the executive committee meet on a regular basis? Yes ☐ No ☐
- Does your organization have a system for marking “confidential” information distributed to Directors? Yes ☐ No ☐
- Do Directors maintain strict confidentiality with all sensitive client and corporate information? Yes ☐ No ☐
- Are signed DHCR Conflict of Interest statements on file, both in your office and with DHCR for each Director? Yes ☐ No ☐
  (refer to NPP/RPP or NRDP Policy Manual for DHCR requirements)
- Is written notice given to DHCR within five days of any changes in Board composition? Yes ☐ No ☐
  (refer to NPP/RPP or NRDP Policy Manual for DHCR requirements)
- Does the Board evaluate the Executive Director annually on the basis of the job description, performance and extent to which the organization's mission statement was accomplished? Yes ☐ No ☐
- Has the Board defined the job requirements of its Executive Director, including education and experience, salary range and duties? Yes ☐ No ☐
- Has the Board approved Personnel Policies which include but are not limited to leave accruals, work hours and holiday schedules for all employees? Yes ☐ No ☐
- Is there a clear separation of Board and staff roles? Yes ☐ No ☐
- Is there an Affirmative Action Plan in place for employment and letting of contracts? Yes ☐ No ☐
- Does the Board approve time sheets including accruals for the Executive Director? Yes ☐ No ☐

Responsibilities of the Board of Directors

- Is the Board aware of its responsibility to supervise the Executive Director and the Executive Director's responsibility to supervise the staff? Yes ☐ No ☐
- Does the Board ensure compliance with all applicable laws and regulations? Yes ☐ No ☐
- Is there a clearly written mission statement? Yes ☐ No ☐
- Is the mission of your organization clear to each Director? Yes ☐ No ☐
- Are the organization's programs consistent with its mission statement? Yes ☐ No ☐
- Is the existing Board and staff capable of carrying out that mission? Yes ☐ No ☐
- Is the mission statement revisited at least annually and an assessment made of the organization's progress in meeting its goals and determining if the organization meets the needs of the service area? Yes ☐ No ☐
- Does the Board advocate for the community's needs and inform the community about the organization's accomplishments? Yes ☐ No ☐
- Do Directors always act in the best interest of the organization rather than their own personal interest? Yes ☐ No ☐

Fiscal Management by the Board of Directors

- Do Directors understand basic terms and concepts of financial management? Yes ☐ No ☐
- Does the Board have a treasurer? Yes ☐ No ☐
- Does the Board have a standing financial committee that oversees the Company's finances? Yes ☐ No ☐
- Are payroll and other taxes paid on time? Yes ☐ No ☐
- Does your Board help to develop, as well as approve, the annual budget? Yes ☐ No ☐
- Is there a clear plan for raising and managing money? Yes ☐ No ☐
  - Does the Board establish an annual fund-raising goal? Yes ☐ No ☐
  - Do you take initiative in developing new ways to bring money into your organization? Yes ☐ No ☐
  - Does the Board hold annual fund-raising campaigns (direct mail, phone solicitation and personal contacts), special events and capital campaigns? Yes ☐ No ☐
  - Does the Board assess the effectiveness of fund-raising events and evaluate their success? Yes ☐ No ☐
- Do Directors contribute financially to the organization according to their individual ability? Yes ☐ No ☐
- Is the Board aware of its responsibility to raise funds for the organization? Yes ☐ No ☐
- Do all Directors receive quarterly balance sheets with a consolidated accounting of all assets and current liabilities? Yes ☐ No ☐
- Are quarterly balance sheets prepared within 30 days of the end of each quarter by a capable in-house accountant/bookkeeper or an external service bureau? Yes ☐ No ☐
- Are monthly financial reports provided to the Treasurer and members of the Financial or Executive Committees and all Directors? Yes ☐ No ☐
- Do monthly reports show comparative figures for the same period of the preceding fiscal year? Yes ☐ No ☐
- Does the Finance Committee suggest improvements in the formats and presentations of financial reports? Yes ☐ No ☐
- Does the Board review reports to be submitted to funding agencies? Yes ☐ No ☐
- Are reports prepared and submitted to funding agencies on time? [refer to NPP/RPP or NRDP for Reporting Schedule (Appendix C)] Yes ☐ No ☐

- Are Directors, staff, and company auditors aware of specific financial management requirements of DHCR and other funding agencies? (See DHCR Audit & Accounting Manual) Yes ☐ No ☐

- Does the Board ensure that the Corporation is maintaining proper books and records that will facilitate a formal audit process in conformity with generally accepted accounting practices, procedures and standards? (See NPP/RPP Policy Manual and DHCR Audit & Accounting Manual) Yes ☐ No ☐

- Does the Board contract for an annual audit and respond to any findings? Yes ☐ No ☐

- Does the Finance Committee review the annual audit and make recommendations to the Board? Yes ☐ No ☐

- Does the Treasurer, Finance Committee, President and staff meet with the auditor for an entrance and exit conference? Yes ☐ No ☐

- Do Directors ask key questions at the exit conference, including:

  - Is money owed to any funding source for disallowed or ineligible costs? Yes ☐ No ☐
  - Are there any unspent funds? Yes ☐ No ☐
  - Have any findings been identified regarding internal controls or compliance believed to jeopardize company funding? Yes ☐ No ☐
  - What are the auditor's recommendations for corrective action? Yes ☐ No ☐
  - Is there an adverse or disclaimer of opinion? Yes ☐ No ☐
  - What are the specific steps to be taken to implement auditor’s recommendations? Yes ☐ No ☐

- Does the organization issue a Request for Proposal (RFP) for audit services every 2-3 years? Yes ☐ No ☐

- Does the Board ensure that adequate internal controls are in place to protect assets and limit risks? Yes ☐ No ☐

- Does the Finance/Audit Committee recommend policy and an Accounting Procedures Manual for full Board approval? Yes ☐ No ☐

- Does the Finance Committee recommend the auditor to the full board? Yes ☐ No ☐