



**AMADOR TUOLUMNE COMMUNITY ACTION AGENCY
SPECIAL BOARD OF DIRECTORS MEETING**

AGENDA

January 11th 2019 | 10:30 a.m.

Video Conference Between

ATCAA Jackson Service Center, Jackson Community Room, 10590 Hwy 88, Jackson, CA 95642 and
ATCAA Sonora Service Center, 2nd Floor Conference Room, 427 N Hwy 49, Sonora, CA 95370

1. CALL TO ORDER:

2. ROLL CALL:

ATCAA 2019 Board of Directors				
Lloyd Schneider	TUO PRI		Board Chairman	
Lynn Morgan	AMA PRI		Board Vice-Chair	
Karl Rodefer	TUO PUB		Board Secretary/Treasurer	
Amador			Tuolumne	
Frank Axe	PUB		Walt Kruse	LIR
Joni Drake	LIR		Alisha Morrow	HSPC
Mary Pulskamp	LIR		Dana Reel	LIR
Linda Rianda	PRI		Connie Williams	PUB
Susan Ross	PRI		TUO BOS	PUB
Jim Wilmarth	PRI			-
AMA BOS	PUB			-

Others Present:

Rajeev Rambob	ATCAA Executive Director	
Bruce Giudici	ATCAA Fiscal Officer	
Katelyn Goehner	Secretary to the Board	

3. APPROVAL OF AGENDA: Approval of agenda for this date, any and all off-agenda items must be approved by the Board (pursuant to Government Code 54954.2)

4. PUBLIC MATTERS NOT ON THE AGENDA: Discussion items only, no action to be taken. Any person may address the Board at this time upon any subject; however, any matter that requires action may be referred to Staff and/or Committee for a report and recommendation for possible action at a subsequent Board meeting. Please note there is a five (5) minute limit per topic.

5. CONSENT AGENDA: Items listed on the consent agenda are considered routine and may be enacted by one motion. Any item may be removed for discussion and made a part of the regular agenda at the request of a board member(s).

- 5.1. Board Minutes of 12/14/2018. Pg. 3
- 5.2. Risk Management Assessment. Pg. 10
- 5.3. Conflict of Interest. Pg. 23
- 5.4. Approval of New Signers on ATCAA Accounts. Pg. 25

6. COMMITTEE REPORTS:

- 6.1. Finance Committee: Has not met.
- 6.2. Executive Committee: Has not met.
- 6.3. Internal Affairs Committee: Has not met.
- 6.4. Nominating Committee: Has not met.
- 6.5. Early/Head Start Policy Council: Has not met.
- 6.6. Board Member Reports/Site Visits

7. OLD BUSINESS: None

8. NEW BUSINESS:

9. EXECUTIVE DIRECTOR REPORT: Verbal Report.

10. ITEMS FOR FUTURE AGENDAS: None.

11. INFORMATIONAL:

12. CLOSED SESSION: Executive Director Search

13. ADJOURNMENT:

LATE AGENDA MATERIAL: Late agenda material can be inspected at the ATCAA Jackson Service Center 10590. State Hwy. 88 Jackson, CA and the ATCAA Sonora Service Center 427 N. State Hwy. 49 Sonora, CA.

SPECIAL NEEDS: Persons who need auxiliary aids or services are requested to call our Sonora Service Center at 209-533-1397 or our Jackson Service Center at 209-223-1485 during business hours at least 48 hours before the meeting so appropriate arrangements may be made.



**AMADOR TUOLUMNE COMMUNITY ACTION AGENCY
BOARD OF DIRECTORS MEETING**

MINUTES

December 14th, 2018 | 10:30 a.m.

Jackson Service Center, Jackson Community Room, 10590 Hwy 88, Jackson, CA 95642

1. CALL TO ORDER:

The meeting was called to order at 10:37am by Chairperson Lloyd Schneider.

2. ROLL CALL:

ATCAA 2018 Board of Directors				
Lloyd Schneider	TUO PRI	P	Board Chairman	
Laurie Webb	AMA PRI	P	Board Vice-Chair	
Joni Drake	AMA LIR	A	Board Secretary/Treasurer	
Amador			Tuolumne	
Frank Axe	PUB	A	Randy Hanvelt	PUB P
Jill Gilmore	PRI	A	Walt Kruse	LIR P
Lynn Morgan	PUB	P	Alisha Morrow	HSPC A
Linda Rianda	PUB	P	Dana Reel	LIR A
Christy Sharps	LIR	A	Karl Rodefer	PUB P
			Connie Williams	PUB P

Others Present:

Rajeev Rambob	ATCAA Executive Director	P
Bruce Giudici	ATCAA Fiscal Officer	P
Marcia Williams	ATCAA ECS Director	P
Joseph Bors	Energy Director	P
Katelyn Goehner	Secretary to the Board	P

P=Present, A=Absent

Others present: Prospective Board Members: Mary Pulskamp (LIR), Susan Ross (PRI), Jim Wilmarth (PRI).

From Izabal, Bernaciak & Company: Robert Izabal and Peter Dubin to present the Audit.

Denise Cloward, ATCAA Housing Programs Director, Rachel Leach, ATCAA CSBG Coordinator and Records Clerk, Alison McElwee, Fiscal Services Coordinator, Cheri Cunningham, ATCAA Human Resources Manager, and Kristy Moore, ATCAA Communications Manager.

3. **APPROVAL OF AGENDA:** Approval of agenda for this date, any and all off-agenda items must be approved by the Board (pursuant to Government Code 54954.2)

Member Morgan moved and Kruse seconded the Approval of the Agenda. MPU.

4. **PUBLIC MATTERS NOT ON THE AGENDA:** Discussion items only, no action to be taken. Any person may address the Board at this time upon any subject; however, any matter that requires action may be referred to Staff and/or Committee for a report and recommendation for possible action at a subsequent Board meeting. Please note there is a five (5) minute limit per topic.

- *Alison McElwee, ATCAA Fiscal Services Coordinator, asked if anyone was missing a bag. There was one left in the restroom. No one claimed it.*
- *Denise Cloward, ATCAA Housing Programs Director, gave an update on the homeless and housing. She provided a handout to help explain how the State and Federal grant funding trickles down.*
- *Laurie Webb, Vice Chair, brought See's Candy Peanut Brittle to share for snacks.*
- *Karl Rodefer, Board Member, wanted the Board, Potential Board, and Staff to give Members Laurie Webb and Randy Hanvelt a round of applause for all of the years of service on the ATCAA Board.*
- *Lloyd Schneider, Chairperson, suggested that everyone present at the meeting to introduce themselves to the Potential Board Members.*

5. **ANNUAL AUDIT PRESENTATION:** Audit Completed by Izabal, Bernaciak & Company, presented by Peter Dubin and Robert Izabal.

For the Fiscal Year ending 06/30/18, the auditors had no difficulties in doing the audit and no disagreements with their findings. This year, they tested Low Income Home Energy Assistance Program (LIHEAP), Community Development Block Grant (CDBG), and internal controls.

Member Rodefer moved and Williams seconded the acceptance of the Fiscal Year ending 06/30/18 ATCAA Audit.

Chairperson Schneider asked how long they had been doing the ATCAA Audit, around 10 years. Vice Chair Webb mentioned that a few years ago, discussions were had to switch auditors to avoid speculation. After discussions with County Counsel back then, they suggested staying with Izabal, Bernaciak & Company because they were the best for the unique nature of ATCAA.

6. **PROGRAM PRESENTATION:** Weatherization and Energy Programs, Joe Bors

Joe Bors trained the Board and Potential Members on where his departments stand

- *For 2018, Weatherization and Energy focused on people, career paths, and increased efficiency*
- *A total of 5,149 people assisted across the tri-county region*
- *7 programs available with nearly \$5.5M in grants*
- *2017 LIHEAP Utility Assistance: 100% of funds expended and 1,615 homes served vs. goal of 1,517*
- *2017 LIHEAP WX Assistance: 99.4% available funds expended and 99 homes served vs. goal of 39*
- *2017-2018 DOE WAP WX Assistance: spending is behind plan, but recovery plan is in place and 6 homes served with a goal of 4*
- *2018 LIHEAP Utility Assistance: program ends in April 2019, 88% of available funds expended and 1,878 homes served vs. goal of 1,944*
- *2018 LIHEAP WX Assistance: 100% funds expended and 121 homes served with goal of 57*
- *2019 LIHEAP Utility Assistance: program runs 10/1/18-6/30/20, the program is 20% spent on the first 50% of award money*

- **2019 LIHEAP WX Assistance:** program just getting started and \$8.6K of ~\$180K expended
- **DWR Prop-84, Round-2:** wrapping up 3 year program in the Tuolumne-Stanislaus IRWM, 175 homes served of 192 plan, \$170K of \$188K expended, average cost per home is within \$6 of target, average savings per home served is ~1,200 gallons/month (nearly 7 times goal), cumulative savings of ~7.7 acre/ft. annually
- **DWR Prop-84, Drought Round:** program was on hold due to lack of reimbursement, restarted in October, program extension to June 2020 requested and verbally accepted, \$277K of \$782K expended (35.5%), average cost per home is within 8% of target, average savings per some served is ~1,330 gallons/month (nearly 5 times goal), cumulative savings of ~4.9 acre/ft. annually
- **2016 Water-Energy Grant:** planned for 376 homes within the T-Stan IRWM and the MAC UMRWA, implemented by a Teaming Agreement with Central Valley Opportunity Center, \$86.7K spent of \$720.7 budget, actual cost per home is only 46% of plan, some corrective actions in place, Greenhouse gas (GHG) emission reductions of 159 metric tons of CO2 to date, GHG emission reductions per home of only 28% of plan, cumulative water savings of 16.3 acre/ft. over the lifetime of the project, similar underrun of savings per home of 33% of plan

Bors enlightened the Board that fixing plumbing and irrigation leaks were the most cost saving for clients.

Member Hanvelt left the meeting with some final words for the potential board members: ATCAA is an important organization and it does really important work. Let me just ask you to contemplate one thing, picture the world in either Tuolumne County or Amador County without ATCAA, pretty ugly picture. You really need to energize yourself to get the work done in the most effective manner possible because you are making a difference in people's lives.

7. NEW BOARD MEMBER APPOINTMENT: Consideration to appoint Jim Wilmarth, Lynn Morgan, Mary Pulskamp, and Susan Ross.

- Jim Wilmarth will represent Umpqua Bank in the Private Sector, replacing Jill Gilmore who will resign as of 12/31/18.
- Lynn Morgan will represent the Amador Senior Center in the Private Sector, replacing Laurie Webb who will resign as of 12/31/18.
- Mary Pulskamp will represent the Low-Income Sector, replacing Christy Sharps who has been removed due to lack of participation (ATCAA Bylaws, Section G).
- Susan Ross will represent the Amador School Board, filling the Private Sector at large position.

The appointed new members will be voting for the remainder of the meeting.

Member Kruse moved and Rodefer seconded the appointment of the above mentioned Potential Board Members. MPU.

Raj Rambob presented Vice Chair Laurie Webb with an award to show ATCAA's appreciation for her 25 years of being on the Board.

8. CONSENT AGENDA: Items listed on the consent agenda are considered routine and may be enacted by one motion. Any item may be removed for discussion and made a part of the regular agenda at the request of a board member(s).

- 8.1. Board Minutes of 09/14/2018. Pg. 4
- 8.2. Administrative Budget approval as of 10/31/18. Pg. 9
- 8.3. ATCAA Budget to Actual Report by Department as of 10/31/18. Pg. 11

- 8.4. Fiscal Overview by Program as of 10/31/18. Pg. 14
- 8.5. Revenue & Expenditure Report as of 10/31/18. Pg. 16
- 8.6. Balance Sheet as of 10/31/18. Pg. 17
- 8.7. Contracts and Amendment Reports for 02/2018 - 12/18. Pg. 18
 - 8.7.A. Discretionary Funds as of 10/31/18. Pg. 19
 - 8.7.B. Fixed Fee Funds as of 10/31/18. Pg. 21
 - 8.7.C. Reimbursable as of 10/31/18. Pg. 22
- 8.8. Early/Head Start
 - 8.8.A. Policy Council Minutes 10/5/18. Pg. 24
 - 8.8.B. Policy Council Minutes 11/2/18. Pg. 28
 - 8.8.C. Monthly Statistical & Attendance Reports for October, 2018. Pg. 31
 - 8.8.D. Budget & Expenditure and In-kind (Match) Reports through 10/31/18. Pg. 32
 - 8.8.E. Credit Card Expenditure Reports through 10/31/18. Pg. 34
 - 8.8.F. Program Informational Report (PIR 2018). Pg. 36

Member Rodefer moved and Kruse seconded the Approval of the Consent Agenda. MPU.

9. COMMITTEE REPORTS:

- 9.1. Finance Committee: Verbal Report of 12/14/18 meeting

Member Rodefer reported out that there was no quorum, so there is nothing to report except that those present at the Finance Committee are sending the Line of Credit Renewal to the Board with no request from the Committee. It is a yearly extension.

Member Rodefer moved and Rianda seconded the Renewal of the Line of Credit. Member Wilmarth abstained.

- 9.1.A. Fiscal Officer Narrative - Bruce Giudici. Pg. 43

- 9.2. Executive Committee: Verbal Report of 11/28/18 meeting

- 9.2.A. ATCAA Employee Health Benefits. Pg. 45

- 9.2.B. ATCAA Emails for Board Members. Handout

It was suggested and approved at the Executive Committee meeting that Board Members who did not have a public email address should be given ATCAA emails for ATCAA related business.

The Secretary to the Board Katelyn Goehner handed out the passwords.

- 9.3. Internal Affairs Committee: Has not met.

There was no meeting, but Committee Chair Webb would like to create an ad hoc committee to be on the Executive Director search committee.

Member Rodefer let the Board know that he will be the new Tuolumne Board of Supervisors Chair, with that he will nominate Member Hanvelt's replacement on the Board on January 7th, and let the pending new Internal Affairs Chair Morgan know that day.

- 9.4. Nominating Committee: Verbal Report of 10/08/18 meeting

Member Rodefer gave the new Board members a history of the committees and how and why they are designed the way they are.

- 9.4.A. Nominations for 2018-19 Executive Board Seats. Action Item. Pg. 48

Member Rodefer moved and Webb seconded the approval of the Committee Nominations for 2019. MPU.

Recess from 11:58am-12:08pm

9.5. Early/Head Start Policy Council: Verbal Report.

Early Childhood Services Director Marcia Williams informed the Board that they had elected new officers last Friday, December 7th. There is no January meeting because all sites are closed. There will be training on January 11th. Lastly, the Promotores de Salud is there to help immigrant families feel safe in Tuolumne County. They are currently doing a project to get children passports to visit their parents if they have been deported.

9.6. Board Member Reports/Site Visits

Member Rodefer emphasized the need to go visit sites, especially new members. Speaking from experience, he says it gave him a different perspective as a Board member. He suggested creating a schedule, and for those who will be visiting to give the site supervisor some notice. Chairperson Schneider talked about his visit for the Foodbank for the Empty Bowls Fundraiser and the more recent \$20,000 check acceptance and luncheon. Also, he and Member Kruse were at the Foodbank's Annual Turkey Drive where over 2,000 turkeys were donated. Kruse mentioned he went to the new Jackson Service Center's Open House in October and there were lot of community members there in support.

10. OLD BUSINESS: None

11. NEW BUSINESS:

11.1. 60 Day Monitoring Review Notification Letter. Pg. 49

Ms. Williams informed the Board that the Monitoring Review will be February 11-15, 2019 and ATCAA has done very well in the past.

11.1.A. 2019 Board Interview Questions. Pg. 50

Ms. Williams went through the six questions that will be asked and the Board came up with possible answers. While going over the answers, it was noted that there was a lot of repetition throughout the questions and answered. Board Members were asked to try and make themselves available. Ms. Williams will be getting a schedule and will reach out to the Board members to see who can fit within the schedule. It was said that they Monitors will be interviewing Fiscal Officer Bruce Giudici and Secretary-Treasurer Rodefer along with a couple other Board members.

Chairperson Schneider left the meeting. Vice Chair Webb will run the remainder of the meeting.

11.2. Bank Account Signatory Authorization changes.

By consensus, the Board approved the procedural change of check signatures from Laurie Webb, Christy Sharps, and Joni Drake to Lloyd Schneider, Lynn Morgan, and Linda Rianda.

12. EXECUTIVE DIRECTOR REPORT: Verbal Report.

Raj Rambob started his report with a piece of advice that his first mentor taught him; a really good principal can die in their office and no one would notice 3 weeks. This logic is a big part of the job as a leader is to empower and equip the people on the team. You are there to handle a crisis and to be looking forward and planning for the future. Rambob brought this up because if something were to happen the programs can still continue. In that spirit, Rachel Leach is the primary CSBG Coordinator. She and Patrick Kane are there so ATCAA gets certified and go to all the meetings, webinars, etc. Rambob planed this so there are 3 people involved.

- *Housing – Denise Cloward’s update in the Public Comment section sums it up. Rambob wanted to revisit the layered relationship that ATCAA has in this region regarding housing, it is important but complicated. ATCAA as an agency is a direct services provider. We operate a shelter out of two counties, housing and rental assistance, homeless prevention programs and try to get people into rehab. ATCAA sits on the Continuum of Care (COC), a distinct body primarily made up of service providers in the four counties, Amador, Calaveras, Mariposa, and Tuolumne. ATCAA is the largest and most established agency in the COC, and has been asked many times to serve as the lead agency. The COC monies that come down, ATCAA will apply to be a provider but will also serve as the administrative entity.
New hire to start soon, and couple job postings are out.*
- *A year ago Rambob was looking for new office space for the Sonora Service Center. The old Tuolumne County General Hospital was mentioned. The plan would for ATCAA would hold the master lease, rehab the building, and then sublet to other nonprofit/helping entities. The building is 60,000 square feet. The top floor is usable, but the boilers, heating/cooling are nonfunctional and asbestos is in the walls. If ATCAA could get some funds, the County was willing to go along with this plan. Member Hanvelt introduced Rambob to Kim Vann, the Rural Representative of the United States Department of Agriculture in California. Rambob visited Vann at her office, and Vann said that there can be a low interest loan to cover the labor and cost to the renovation of the infrastructure. There were also some grant funds to get some hardware to update the building. Since then, it has been left behind. If this could happen, it would lead to a lot of organic partnerships, other JPA entities, and nonprofits, city and County offices that could be housed and collaborated in one space. Sore need for daycare, and an idea that came up informally was a restaurant because of the Columbia College Hospitality Program, and Mother Lode Job Training.
Rambob ended his verbal report with that he may be leaving, but will not be gone. He is willing, at the Board’s interest and discretion, to continue with any introductions and stay in relationships. He does not wish to end the relationship with the Board permanently.*

13. ITEMS FOR FUTURE AGENDAS: None.

14. INFORMATIONAL:

- 14.1. ATCAA 2019 Board Meeting Schedule. Pg. 51
Chairperson Schneider added 2 more Board meeting dates, one on January 11th, and the other on March 8th. These meetings will primarily for the Executive Director search. These meetings will be video conferences between the Sonora and the Jackson Service Centers.
- 14.2. ATCAA 2019 Board Roster - Pending Board Approval of 10.2. Pg. 52
- 14.3. ATCAA 2019 Committee Assignments - Pending Approval of 9.4.A. Pg. 53
- 14.4. ACF Program Instruction on FY 2019 Head Start Funding Increase. Pg. 54
- 14.5. CDE Management Bulletin 18-11 on FY 2019, Request for Applications CA State Preschool Program Expansion Funds. Pg. 56
- 14.6. CDE Management Bulletin 18-12 on FY 2019, Request for Applications General Child Care & Development. Pg. 59
- 14.7. CDE Management Bulletin 18-13 on Travel and Per Diem Rates. Pg. 62
- 14.8. ACF Informational memorandum on Integrating Approaches that Prioritize and Enhance Father Engagement (ACF-IM-18-01). Pg. 65

15. CLOSED SESSION: Executive Director Evaluation
Closed Session was from 1:10pm to 1:59pm.

Vice Chair Webb reported out the Board Members were given various assignments to begin the recruitment and transition process immediately.

16. ADJOURNMENT:

The meeting was adjourned at 2:00pm by Vice Chair Laurie Webb.

LATE AGENDA MATERIAL: Late agenda material can be inspected at the ATCAA Jackson Service Center 10590. State Hwy. 88 Jackson, CA and the ATCAA Sonora Service Center 427 N. State Hwy. 49 Sonora, CA.

SPECIAL NEEDS: Persons who need auxiliary aids or services are requested to call our Sonora Service Center at 209-533-1397 or our Jackson Service Center at 209-223-1485 during business hours at least 48 hours before the meeting so appropriate arrangements may be made.

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
1.1	Risk Management: Function	Does your agency employ a full-time or part-time professional risk manager?				
1.2	Risk Management: Function	Has responsibility for <i>risk management</i> been officially assigned to an individual, department, or unit within your agency?				
1.3	Risk Management: Function	Does your Community Action Agency currently have a <i>risk management committee</i> ?				
1.4	Risk Management: Function	Does your CAA have a <i>risk management</i> policy statement or other statement that addresses your commitment to safety?				
1.5	Risk Management: Function	Is risk management something that garners the attention and interest of your Board of Directors?				
2.1	Risk Financing	Does your Community Action Agency currently purchase any forms of insurance?				
2.2	Risk Financing	Does your Community Action Agency have an ongoing relationship with a licensed insurance professional, such as an agent, broker, or insurance consultant?				
2.3	Risk Financing	Is your insurance advisor (agent, broker, or consultant) also a member of your Board of Directors?				
2.4	Risk Financing	How long has your organization used the same insurance advisor?				
2.5	Risk Financing	Do you have a high level of confidence in the expertise of your insurance advisor (broker, agent, or consultant)?				
2.6	Risk Financing	Are you confident about your ability to read and understand your insurance policies?				
3.1	Workplace Safety	Are your employees or volunteers particularly vulnerable to physical harm due to the type of services you provide/sponsor, the locations to which staff are deployed, or the characteristics of the clients you serve?				
3.2	Workplace Safety	Has an employee, volunteer, or client ever threatened or harmed another with physical violence?				
3.3	Workplace Safety	Are your staff (employees and volunteers) exposed to hazardous chemicals or materials on your premises?				
3.4	Workplace Safety	Do you conduct periodic safety inspections of your premises?				
4.1	Risk Oversight	Does the Board of your Community Action Agency recognize and embrace its responsibility of risk oversight?				
4.2	Risk Management: Philosophy & Goals	Has the Board of your Community Action Agency approved a statement of philosophy and specific goals for your risk management program?				
5.1	Governance Risks	Do the members of your Board understand and are they able to describe the mission and key programs of your Community Action Agency?				
5.2	Governance Risks	Are the members of your Board confident that the organization is in compliance with federal, state, and local regulations?				
5.3	Governance Risks	Do the members of your Board know enough about the organization's programs and services to provide thoughtful leadership?				
5.4	Governance Risks	Are written background materials consistently distributed to the Board at least one week in advance of meetings to enable time for thoughtful review?				
5.5	Governance Risks	Do the minutes of your CAA Board meetings reflect dissenting views and dissenting votes where applicable?				
5.6	Governance Risks	Is the entire Board of your Community Action Agency involved and engaged in evaluating the performance of the Executive Director on no less than an annual basis?				
5.7	Governance Risks	Does your Community Action Agency Board provide oversight of the organization's finances, approve a realistic budget each year, and effectively monitor financial performance?				
5.8	Governance Risks	Are the members of your Community Action Agency Board well versed in the organization's employment policies and procedures? By "well versed" we mean they have seen and approved the Employee Handbook or Personnel Policies Manual and are familiar with its key provisions, such as your employment-at-will environment, whether there are any contract employees, and whether your agency has a performance management (sometimes referred to as performance appraisal) system in place.				
5.9	Governance Risks	Does the organization have a conflict of interest policy that applies to the Board of Directors?				
6.1	Tripartite Board Required by CSBG Act	Are 1/3 of the Board members elected public officials or their representatives? Keep in mind that if not enough elected public officials are available appointed officials or their representatives may serve.				
7.1	Identification of Public Official Candidates	Unless specified in your Bylaws, has the Board or a Committee of the Board reviewed and determined which public officials should be invited to serve on the Board?				
8.1	Representatives	Are the low-income community representative Board members selected by a democratic process and also required to live in your service area?				
9.1	Election After Vetting Process	Does your Community Action Agency Board officially elect new Board member candidates after they have been selected through the appropriate selection process for their sector?				

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
10.1	Financial Management Expertise	Does the membership of your Community Action Agency Board include individuals with financial management expertise?				
11.1	Fundraising Expertise	Does your Community Action Agency Board include members with fundraising experiences and skills, or members who are connected to people with this type of expertise?				
12.1	Analysis of Need for Skills, Talents and Perspectives	Does the Board of your Community Action Agency or a Board Committee (e.g., the Board Development Committee, or Nominating Committee) identify the skills, talents and perspectives that are needed on the Board as part of the recruitment process?				
13.1	Timely Filling of Vacancies	Are there procedures in place to ensure that vacancies on the Board are filled on a timely basis?				
14.1	Eligibility for Re-Election	Is the service and participation of incumbent Board members reviewed and considered before incumbents are nominated for re-election?				
15.1	Adherence to Election Procedure	Are all Board members and officers properly elected/appointed in accordance with the procedure contained in your Bylaws?				
16.1	Term Limits	Do your Bylaws establish term limits, or may Board members be re-elected without limitation?				
17.1	Board Size	Has the Board or a Committee of the Board recently considered the subject of Board size and whether the Board should be enlarged, reduced or remain the same?				
18.1	On-Boarding	Has your Community Action Agency developed a specific process for helping new Board members become oriented to your governing structures, processes, rules and activities? This process is often referred to as "on-boarding" but may also be called "orientation."				
19.1	Committee Structure and Leadership	Effective Community Action Agency Boards have strong Committees with clearly defined roles and responsibilities. Effective Committees (led by strong Committee Chairs) are essential to good governance. Is the current Committee structure for your Community Action Agency effective?				
20.1	Committee Charters	Do all of your Committees have define "charters" - documents that outline the scope of authority, reporting relationship and roles/responsibilities of the committees?				
21.1	Board Self-Evaluation	Does your Board conduct an annual self-evaluation to measure its own effectiveness and performance?				
22.1	Board Rules and Policies	High-functioning nonprofit boards establish rules and policies to guide their deliberations. These policies can be quite formal, such as a Conflict of Interest Policy, or informal, such as guidelines outlining how members should behave when they disagree with one another during a meeting, or how members should respond when asked by non-board members about the board's deliberations. Does your Community Action Agency board have clear rules and policies that guide its deliberations and help ensure that decision-making takes place in an environment of mutual respect?				
23.1	Employment Issues	Do you conduct credit checks or criminal history background checks (or both) on prospective employees or volunteers who will be handling cash?				
23.2	Employment Issues	Is your agency's stance on employee theft clear and unequivocal? For example, do employees know that the organization will report internal theft to the authorities, or is it possible employees believe the organization would not report or prosecute theft? Our position on prosecuting employee theft may not be known to all employees. We may not be as "touchy" with respect to this issue as is recommended.				
23.3	Employment Issues	Are employees and volunteers who handle cash covered under your crime policy? (bonded?)				
24.1	Cash	Does the governing board of your Community Action Agency authorize all bank accounts and check signers?				
24.2	Cash	Are incoming checks immediately restrictively endorsed "for deposit only" by the person who opens the mail?				
24.3	Cash	Are receipts (checks and currency) deposited intact on a daily basis?				
24.5	Cash	Do adequate physical controls exist over cash receipts from the time mail is opened until the time bank deposits are made?				
24.6	Cash	Does your organization use the lock box services of a bank?				
24.7	Cash	Are all disbursements (including payroll), except petty cash disbursements, made by check?				
24.8	Cash	Do you believe that control of your agency's blank check stock is adequate?				
24.9	Cash	Are you confident that your Community Action Agency has adequate controls for cash disbursements? If you're uncertain, answer "no."				
24.10	Cash	Are duties related to cash receipts and disbursements sufficiently segregated to prevent one person from manipulating a transaction? If you're uncertain, answer "no."				

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
24.11	Cash	Are reconciliations for all of your bank accounts completed within one month after the end of the month and subsequently reviewed by someone outside the accounting function? If the failure to complete bank recs on time has been noted in a financial review or audit, answer "no."				
25.1	Payroll and Employment-Related Expenses	Does an adequate system exist for distributing payroll costs to the proper accounts, programs, and other functions?				
25.2	Payroll and Employment-Related Expenses	Is payroll-related information kept strictly confidential and maintained in a limited-access, fireproof safe or file which is locked when unattended?				
25.3	Payroll and Employment-Related Expenses	Does your Community Action Agency maintain employee files containing complete W-4 (Employee's Withholding Allowance Certificate) forms, notices of salary or wage changes, and forms authorizing deductions from pay (taxes, insurance, benefits, credit unions)?				
25.4	Payroll and Employment-Related Expenses	Does your agency maintain timesheets, timecards or other time reporting records that contain the signature of both employee and supervisor and consistently use these records to prepare payroll?				
26.1	Program Services	Organizations that solicit donations or charitable contributions generally adopt budgets that contain projections for these amounts. Have your Community Action Agency's projections for incoming donations been generally accurate?				
26.2	Program Services	Is there a designated staff person in your Community Action Agency who is specifically responsible for assuring compliance with the terms and conditions of all grants and restricted contributions, or several persons who share this responsibility?				
26.3	Program Services	Does your Community Action Agency have a procedure in place whereby receivables are reviewed by a responsible person, aged and reconciled to the general ledger on a monthly basis?				
27.1	Investments	Does the Board or Investment Committee of your Community Action Agency approve the purchase and sale of all investments?				
27.2	Investments	Are schedules of investments showing all income received prepared monthly and reviewed by a responsible person?				
27.3	Investments	Does your Community Action Agency have any restricted investments? For example, a restricted investment might be an endowment fund whose principal may not be spent without board approval, and whose earnings may only be spent on education initiatives.				
27.4	Investments	Has your Community Action Agency board or Audit Committee identified and resolved all prior audit or financial review findings?				
28.1	Contracts and Procurement	Does your organization use volunteers (other than your Board of Directors)?				
28.2	Contracts and Procurement	Do you use written agreements to appoint and set out the terms and conditions of volunteer service?				
29.1	Purchasing Goods and Services	Does your Community Action Agency use written contracts when it purchases goods and services?				
29.2	Purchasing Goods and Services	Do any current or former board members or senior staff members get paid to offer goods or services to your organization (apart from regular employment)?				
29.3	Purchasing Goods and Services	In any of your contracts, have you been asked to or have you provided indemnification for another party?				
29.4	Purchasing Goods and Services	Do any of your contracts indicate a choice of law, choice of forum, or arbitration provision to settle any conflicts about the agreement?				
29.5	Purchasing Goods and Services	Do any of your contracts contain a force majeure clause, in which the other party lists situations and conditions that would excuse them from having to perform the contract?				
30.1	Special Contracts	Does your Community Action Agency employ anyone outside the organization (e.g., independent contractors, fundraisers, website design/hosting, authors, or publishers) to perform services?				
30.2	Special Contracts	Do you have written agreements with the independent contractors who provide services to your organization?				
30.3	Special Contracts	Does your organization use outside fundraisers?				
30.4	Special Contracts	Are your fundraising contracts in writing?				
30.5	Special Contracts	Does your organization rent space from hotels or facilities to hold meetings or special events (e.g., dances, awards luncheons, board meetings, or office picnics)?				
30.6	Special Contracts	Does your organization hold events (annual meetings, seminars) that require participants to stay overnight in a hotel?				
30.7	Special Contracts	Have you entered into an employment contract with any employee?				
30.8	Special Contracts	Do you provide services to any municipality, for-profit organization or other nonprofit?				
31.1	Property Leases	Do you have any real estate (e.g., an extra office, storage space) or personal property (e.g., photocopier) that you lease to others?				
31.2	Property Leases	Do you have a written agreement that describes your rights and responsibilities and those of the person or organization renting the property from you?				
31.3	Property Leases	Do you lease space from anyone else?				
31.4	Property Leases	Do you have a written agreement that sets forth your respective rights and obligations?				
32.1	Legal Review	Does a lawyer review any of your organization's contracts?				
33.1	Human Resources	Does your organization have paid staff?				

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
33.2	Human Resources	How many full-time and part-time paid staff does your organization employ?				
33.3	Human Resources	Do you employ workers at more than one location?				
33.4	Human Resources	Does your organization use independent contractors or consultants?				
33.5	Human Resources	Are you a federal contractor?				
33.6	Human Resources	Do you use a human resources department, human resources manager or other department or person to coordinate your employment practices (hiring, firing, record keeping, etc.)?				
33.7	Human Resources	Do you have a process in place to ensure and facilitate the periodic review of your employment practices, including hiring strategies and results, turnover concerns, adequacy of employee benefits, and compensation?				
		How is your board of directors involved in the development of employment policies?				
33.8	Human Resources					
34.1	Written Employment Policies	Are your key employment policies in writing?				
34.2	Written Employment Policies	Do you have an Employee handbook or Personnel policy manual containing key employment policies?				
34.3	Written Employment Policies	Was your Employee handbook reviewed by an employment attorney licensed in your state before it was distributed?				
34.4	Written Employment Policies	When was the last time the Handbook was reviewed by an attorney?				
34.5	Written Employment Policies	What procedure is used, in most cases, when new employment policies are developed?				
		Does your organization consult an employment attorney licensed in your state before revising existing employment policies or adopting new policies?				
34.6	Written Employment Policies	Are new employees required to certify that they have read your personnel policies and agree to abide by them?				
34.7	Written Employment Policies	Are employees required to acknowledge receiving an updated personnel manual, employee handbook, or other written policies and also agree to accept the terms of newly revised policies?				
34.8	Written Employment Policies					
34.9	Written Employment Policies	Does your Handbook specifically indicate that management has the right to change the organization's employment policies at any time?				
		Does your Handbook feature a prominent disclaimer concerning the at-will employment relationship and stating that the handbook is not an employment contract?				
34.10	Written Employment Policies	Does your organization have an Equal Employment Opportunity policy?				
34.11	Written Employment Policies	Does your organization have an Affirmative action plan?				
34.12	Written Employment Policies	Do you have a written workplace violence policy?				
34.13	Written Employment Policies	Do you have an office technology policy?				
34.14	Written Employment Policies	Does your organization have a workplace privacy policy?				
34.15	Written Employment Policies	Does your organization have a policy that addresses workplace safety and accident reporting?				
34.16	Written Employment Policies	Do any employees have a contract of employment with the organization?				
34.17	Written Employment Policies	Does your employee handbook or policy manual include a policy prohibiting sexual harassment?				
35.1	Sexual Harassment	Does your policy prohibiting sexual harassment describe your internal complaint procedure?				
35.2	Sexual Harassment	Does your organization use written job descriptions for every position?				
36.1	Hiring	Does your organization use a written application form as a screening tool?				
36.2	Hiring	Does your application contain an at-will employment disclaimer?				
36.3	Hiring	Does your application contain a truth clause or false information warning?				
36.4	Hiring	Does your application contain an authorization to conduct record checks?				
36.5	Hiring	Does your application contain an authorization to check references?				
36.6	Hiring	Does your organization use an interview guide or script and distribute the guide to all staff that are involved in interviewing candidates?				
36.7	Hiring	Does your organization use a standard interview appraisal form or similar document?				
36.8	Hiring	Are several reference checks always conducted before final job offers are made?				
36.9	Hiring	Do you use pre-employment tests or background checks in your hiring process?				
36.10	Hiring	Do you document your hiring process carefully?				
36.11	Hiring	Does your organization use a Hiring Checklist to make certain that key steps have been taken before an offer of employment is made?				
36.12	Hiring	Do you send a written offer letter to all applicants selected for hire?				
36.13	Hiring	Does the written offer letter contain information about any of the following: probationary period, annual salary, salary review date, eligibility for benefits, duration of employment, potential for advancement, or job rights?				
36.14	Hiring	Do new employees serve an initial probationary period?				
36.15	Hiring	Do you notify applicants who are considered but not selected for a position of the specific reason for the rejection?				
36.16	Hiring					

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
36.17	Hiring	Do you have an orientation program or schedule for all new employees?				
37.1	Personnel Files	Do you maintain up-to-date personnel files for each employee?				
	Personnel Files	Does your organization keep employee personnel information (such as <i>application form</i> s, resumes, results of reference checks, etc.) separate from employee medical information (such as health <i>insurance</i> forms, requests for leaves of absences for medical reasons, etc.)?				
37.2	Personnel Files	Where do you file IRS I-9 forms?				
37.3	Personnel Files	Does your organization conduct <i>performance reviews/appraisals</i> at least annually for each employee?				
38.1	Performance Appraisals	Are employees required, with input from their supervisor, to develop a statement of goals for the coming year?				
38.2	Performance Appraisals	Does your <i>performance review</i> form include narrative as well as multiple choice or rating questions?				
38.3	Performance Appraisals	Are completed appraisals always reviewed by someone other than the direct supervisor to ensure objectivity?				
38.4	Performance Appraisals	Do all persons who conduct <i>performance reviews</i> receive training or coaching about the importance of conducting objective, truthful appraisals of performance?				
38.5	Performance Appraisals	Does your organization conduct <i>Multi-source assessments</i> for any or all employees?				
38.6	Performance Appraisals	Are employees eligible for salary increases based on performance?				
38.7	Performance Appraisals	The Internal Revenue Service has regulated the compensation of certain nonprofit 'insiders' by defining them as 'disqualified persons.' Has your organization identified who is a 'disqualified person' subject to the IRS regulations?				
39.1	Compensation	Does the organization have a process for the Board to review the compensation package of the top paid employees by comparing their salary and benefits to those of comparable organizations in the same geographic area?				
39.2	Compensation	Are your total annual gross receipts under \$1 million?				
39.3	Compensation	Are decisions of the board of directors or personnel committee concerning salary levels and adjustments documented?				
39.4	Compensation	Does your organization identify those job positions that are exempt from overtime?				
39.5	Compensation	Does your organization have a <i>progressive discipline</i> policy?				
40.1	Terminating Staff	Do poor performers always receive written notice of performance failings and consequences before adverse action is taken?				
40.2	Terminating Staff	Is an employee whose performance has fallen below your expectations always given an opportunity to correct those deficiencies after receiving written notice?				
40.3	Terminating Staff	Does someone other than an employee's direct supervisor always review the record before an employee is terminated?				
40.4	Terminating Staff	Are employees ever terminated 'on the spot' and without notice?				
40.5	Terminating Staff	Are employees ever terminated 'on the spot' and without notice?				
41.1	Insurance for Employment Practices	Do you currently purchase <i>employment practices liability insurance</i> , either as a separate policy or as coverage included in another policy?				
41.2	Insurance for Employment Practices	Choose the best answer: 'Our employment practices coverage is...'				
41.3	Insurance for Employment Practices	When was the last time that you or an employment attorney representing your nonprofit reviewed your EPL coverage to evaluate its sufficiency?				
41.4	Insurance for Employment Practices	Does your policy provide coverage for administrative complaints (such as complaints filed with the EEOC or a similar state agency) in addition to claims for money damages?				
42.1	Communication Risks	Does your nonprofit have a good track record when it comes to responding, on a timely basis, to volunteer inquiries and requests?				
42.2	Communication Risks	Is your Community Action Agency able to provide timely and appropriate responses to media requests?				
42.3	Communication Risks	Has your Community Action Agency adopted a policy concerning Social Media use by staff, volunteers and participants, and provided training and information about the intent of the policy?				
42.4	Communication Risks	Does your CAA obtain signed releases from participants (or parents/guardians of young participants) prior to taking and using photographs of participants for publicity, marketing or other purposes?				
43.1	Service Delivery Risks	Does your CAA offer early childhood education services (e.g., a Head Start program)?				
43.2	Service Delivery Risks	Is your Community Action Agency fully compliant with Head Start regulations?				
43.3	Service Delivery Risks	Does your CAA offer weatherization or energy services?				
43.4	Service Delivery Risks	Has the team responsible for your weatherization and energy service program considered the risks that arise from this program and developed specific risk management responses and strategies to mitigate those risks?				

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
43.5	Service Delivery Risks	Does your CAA offer food and nutrition programs?				
43.6	Service Delivery Risks	Has your food and nutrition team identified the specific risks that arise from the services they manage and developed specific risk mitigation strategies in response to the identified risks?				
43.7	Service Delivery Risks	Does your CAA have a Family Development department, providing strength-based family support?				
43.8	Service Delivery Risks	Has your Family Development team identified the specific risks that arise from your case management or emergency services work and developed targeted risk management strategies to address those risks?				
43.9	Service Delivery Risks	Does your CAA offer training and employment services, such as a computer lab, program serving ex-offenders, or Workforce Investment Act initiative?				
44.1	Service Delivery Risks	Has the team responsible for training and employment programs at your CAA identified the specific risks that arise from their programs and developed corresponding risk management strategies?				
44.2	Service Delivery Risks	Does your Community Action Agency have an Income Management program?				
44.3	Service Delivery Risks	Has the team leading your Income Management program identified the specific risks that arise from its operations and developed corresponding risk management strategies to address those risks?				
44.4	Service Delivery Risks	Does your CAA operate any housing programs, such as a domestic violence shelter, homeless shelter, Section 8 program, or home construction program?				
44.5	Service Delivery Risks	Has the team responsible for your housing programs identified the specific risks that arise from its programs and developed risk management strategies that address those risks?				
45.1	Protecting Vulnerable Populations- Interpersonal Relationships	Does your Community Action Agency have guidelines that govern the behavior of employees and volunteers while in contact with service recipients?				
45.2	Protecting Vulnerable Populations- Interpersonal Relationships	Do your guidelines make it clear that any behavior that is sexual in nature or that could be interpreted as sexual in nature is not permitted?				
45.3	Protecting Vulnerable Populations- Interpersonal Relationships	Do your guidelines for staff prohibit kissing, sensual massages, telling sexually-based jokes, discussing one's sex life, and asking service recipients about their sexual activities?				
45.4	Protecting Vulnerable Populations- Interpersonal Relationships	Do your guidelines prohibit exposing service recipients to pornographic videos and magazines or to sexually oriented websites?				
45.5	Protecting Vulnerable Populations- Interpersonal Relationships	Do your organization's guidelines specify that, when a hug is appropriate, it should be given from the side, over the shoulders not from the front?				
45.6	Protecting Vulnerable Populations- Interpersonal Relationships	Does your organization prohibit fraternization (formation of social relationships) between staff members and service recipients?				
45.7	Protecting Vulnerable Populations- Interpersonal Relationships	Do your policies or training coach staff about how to respond when a service recipient initiates inappropriate activity with a staff member or another service recipient?				
45.8	Protecting Vulnerable Populations- Interpersonal Relationships	Does your Community Action Agency have a "two-deep leadership" policy that requires at least two staff members (employees, volunteers or parents of children) to accompany trips and outings involving vulnerable clients and discourage activities that result in one-to-one contact between service recipients and staff members?				

Std. No.	Category	Description of Standard	Yes	No	don't know	comments
45.9	Protecting Vulnerable Populations- Interpersonal Relationships	Does your organization have a policy that establishes a minimum required ratio of staff/volunteers or parents to number of service recipients, depending on the nature of the activity and the requirements of participants for assistance?				
45.10	Protecting Vulnerable Populations- Interpersonal Relationships	Does your organization have written policies that are intended to protect the privacy of service recipients?				
45.11	Protecting Vulnerable Populations- Interpersonal Relationships	Do your policies require that staff members sign a confidentiality agreement in which they agree not to share information about service recipients?				
45.12	Protecting Vulnerable Populations- Interpersonal Relationships	Do your policies provide reasonable safeguards against the release of sensitive information?				
45.13	Protecting Vulnerable Populations- Interpersonal Relationships	Does your organization conduct coeducational activities?				
45.14	Protecting Vulnerable Populations- Interpersonal Relationships	Does your organization have written policies and guidelines pertaining to coeducational activities?				
45.15	Protecting Vulnerable Populations- Interpersonal Relationships	Do your organization's policies and guidelines require that staff members of both sexes assist with coeducational activities?				
45.16	Protecting Vulnerable Populations- Interpersonal Relationships	Does your organization have policies that address violence and possession of weapons by participants in your programs?				
45.17	Protecting Vulnerable Populations- Interpersonal Relationships	Does your organization have a stated 'zero tolerance' policy for violence?				
45.18	Protecting Vulnerable Populations- Interpersonal Relationships	Do your organization's policies offer nonviolent options to service recipients and staff members by which to resolve their interpersonal problems with others?				
45.19	Protecting Vulnerable Populations- Interpersonal Relationships	Does your organization have guidelines for maintaining an awareness of criminal and gang-related activities in the neighborhoods where facilities used for service delivery are located?				
45.20	Protecting Vulnerable Populations-Client Discipline	Does your organization have written policies governing discipline and/or control techniques to address misbehavior by service recipients?				
45.21	Protecting Vulnerable Populations-Client Discipline	Do your organization's policies governing discipline of service recipients explicitly prohibit the use of any form of corporal punishment, for example, spanking, slapping, or hitting?				
45.22	Protecting Vulnerable Populations-Client Discipline	Do your organization's policies provide a review process for disciplinary actions to ensure fair treatment of service recipients?				

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
45.23	Protecting Vulnerable Populations-Client Discipline	Does your organization permit other service recipients to mete out punishment?				
45.24	Protecting Vulnerable Populations-Client Discipline	Do your disciplinary policies permit withholding food or liquids from service recipients as a punishment?				
45.25	Protecting Vulnerable Populations-Client Discipline	Does your organization permit the use of physical restraints to control service recipients?				
45.26	Protecting Vulnerable Populations-Mentoring Risks	Does your organization sponsor a mentoring program that encourages considerable one-to-one contact between the mentor and mentee?				
45.27	Protecting Vulnerable Populations-Mentoring Risks	Does your organization require case managers to contact mentors and mentees on a frequent basis?				
45.28	Protecting Vulnerable Populations-Mentoring Risks	Does your organization instruct mentees and their families to contact the case manager with any questions or concerns about the mentoring relationship?				
45.29	Protecting Vulnerable Populations-Mentoring Risks	For at least the first six months of the mentoring relationship, does your organization require that mentoring activity take place in public places rather than in the mentor's home?				
45.30	Protecting Vulnerable Populations-Programs and Services	Does your organization have policies that guide the selection of activities offered by your organization?				
45.31	Protecting Vulnerable Populations-Programs and Services	Are the programs and services offered by your organization assessed to ensure that they are directly related to the mission of your organization?				
45.32	Protecting Vulnerable Populations-Programs and Services	Are the activities and programs offered by your organization assessed for their appropriateness for the ages and abilities of the intended participants or service recipients?				
45.33	Protecting Vulnerable Populations-Programs and Services	Does your organization offer children unsupervised access to the Internet?				
45.34	Protecting Vulnerable Populations-Programs and Services	Does your organization have policies and procedures for identifying service recipients' medical conditions that may limit participation in your organization's program?				
45.35	Protecting Vulnerable Populations-Programs and Services	Does your organization request that vulnerable service recipients or one of their family members provide medical information as part of a registration process?				
45.36	Protecting Vulnerable Populations-Programs and Services	Does your organization require medical clearance before accepting an individual into a program that might require physical exertion or exposure to substances that could cause an allergic reaction?				
45.37	Protecting Vulnerable Populations-Programs and Services	Does your organization have policies designed to ensure that medical information collected from individuals is used properly?				
45.38	Protecting Vulnerable Populations-Programs and Services	Do your policies ensure that staff who have direct contact with service recipients have access to medical information and are adequately prepared to respond in case of a medical emergency?				
45.39	Protecting Vulnerable Populations-Programs and Services	Do your organization's policies provide for the confidential handling of medical information obtained from service recipients?				

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
45.40	Protecting Vulnerable Populations-Emergency Procedures	Do your organization's policies require that leaders of trips and outings be instructed about steps to take in emergency situations such as medical emergencies, automobile collisions, fatalities, or injuries?				
45.41	Protecting Vulnerable Populations-Emergency Procedures	Do your organization's emergency procedures give instructions about obtaining emergency medical care when a service recipient or staff member is injured?				
45.42	Protecting Vulnerable Populations-Emergency Procedures	Do your organization's emergency procedures require staff members to report to the organization as soon as possible when there is an incident that results in injuries to a participant?				
45.43	Protecting Vulnerable Populations-Emergency Procedures	Does your organization consider the need for access to communications in emergency situations?				
45.44	Protecting Vulnerable Populations-Emergency Procedures	Does your organization have written guidelines governing contact between staff members and media representatives?				
45.45	Protecting Vulnerable Populations-Access to Facilities and Clients	Does your organization have written policies or guidelines that govern access to its facilities and service recipients?				
45.46	Protecting Vulnerable Populations-Access to Facilities and Clients	Does your organization require visitors to its activities to report to a central point to check-in?				
45.47	Protecting Vulnerable Populations-Access to Facilities and Clients	Does your organization require visitors to wear name tags that identify them as visitors?				
45.48	Protecting Vulnerable Populations-Access to Facilities and Clients	Does your organization employ physical barriers in order to control access to its facilities?				
45.49	Protecting Vulnerable Populations-Access to Facilities and Clients	Does your organization have policies and procedures to ensure that areas that are not being used for service delivery are secured and locked?				
45.50	Protecting Vulnerable Populations-Access to Facilities and Clients	When locking of unused program areas is not possible or is impractical, does your organization increase supervision to ensure that your service recipients are accounted for and access to unused areas is controlled?				
45.51	Protecting Vulnerable Populations-Facility and Equipment Inspections	Does your organization require periodic inspections of facilities and equipment used in conjunction with the services it offers?				
45.52	Protecting Vulnerable Populations-Facility and Equipment Inspections	Do your policies require that regular inspections be conducted of program areas used in the delivery of services to vulnerable individuals?				
45.53	Protecting Vulnerable Populations-Facility and Equipment Inspections	Does your organization use checklists for its inspections?				
45.54	Protecting Vulnerable Populations-Facility and Equipment Inspections	Does your organization have a system of follow-up so that potentially hazardous conditions uncovered during an inspection are corrected before an injury occurs?				
45.55	Protecting Vulnerable Populations-Facility and Equipment Inspections	Does your organization require regular safety inspections of the equipment it uses?				
45.56	Protecting Vulnerable Populations-Facility and Equipment Inspections	Do your organization's safety inspections include verifying that fire extinguishers, first aid kits, smoke detectors and similar equipment are in place and operational?				

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
45.57	Protecting Vulnerable Populations-Staff Screening and Selection	Does your organization make clear during the screening and selection process its expectations with respect to the behavior of staff towards vulnerable service recipients?				
45.58	Protecting Vulnerable Populations-Staff Screening and Selection	Does your organization unequivocally state during the screening process that sexual relations with service recipients are grounds for dismissal and may constitute criminal acts?				
45.59	Protecting Vulnerable Populations-Staff Screening and Selection	As part of its staff screening and selection process, does your organization discuss discipline and control techniques that the applicant feels are appropriate to use with service recipients?				
45.60	Protecting Vulnerable Populations-Staff Screening and Selection	Does your organization have a 'Code of Conduct' or similar statement of expectations for staff behavior?				
45.61	Protecting Vulnerable Populations-Staff Screening and Selection	Does your organization use written position descriptions for unpaid volunteers as well as paid staff?				
45.62	Protecting Vulnerable Populations-Staff Screening and Selection	For positions that entail more extensive, unsupervised contact with vulnerable individuals, does your organization use a more rigorous screening process?				
45.63	Protecting Vulnerable Populations-Training and Supervision	Does your organization offer new staff members an orientation session that acquaints them with the organization's mission and policies and procedures?				
45.64	Protecting Vulnerable Populations-Training and Supervision	Does your orientation include information about policies and guidelines for responding to emergency situations?				
45.65	Protecting Vulnerable Populations-Training and Supervision	Does your orientation include information about any special handling required by specific kinds of service recipients?				
45.66	Protecting Vulnerable Populations-Training and Supervision	Does your orientation include information about reporting procedures for suspected abuse of a service recipient?				
45.67	Protecting Vulnerable Populations-Training and Supervision	Does your organization offer its staff members in-service training opportunities to keep their skill and knowledge levels current?				
45.68	Protecting Vulnerable Populations-Training and Supervision	Does your organization offer specialized training to staff members when the training is a requirement of the position?				
45.69	Protecting Vulnerable Populations-Training and Supervision	Does your organization have a volunteer handbook in which it includes complete information for your organization's volunteer staff members?				
46.1	Transportation	Does your organization provide or sponsor transportation services or own (lease) any vehicles?				
46.2	Transportation	Do your employees or volunteers ever rent, hire, or borrow vehicles for your nonprofit's business?				
46.3	Transportation	Does your nonprofit have any written policies, procedures, or guidelines concerning transportation?				
46.4	Transportation	Are your key transportation policies and procedures included in your new employees/volunteers orientation session?				
46.5	Transportation	Does your organization have a transportation risk management statement?				
46.6	Transportation	Do you have a written policy concerning the use of the organization's owned vehicles?				
46.7	Transportation	Does your organization have a policy concerning passenger behavior and adherence to safety precautions?				
46.8	Transportation	Do you have written procedures for responding to and reporting a motor vehicle accident or incident?				
46.9	Transportation	True or false: Your nonprofit cannot be held liable for any damages caused by an unpaid volunteer driver.				
46.10	Transportation	Do you have any paid or volunteer positions where driving is principal or key responsibility?				

Reg. Standard	Category	Description of Standard	Yes	No	don't know	comments
46.11	Transportation	Does your organization screen those who drive on your behalf?				
46.12	Transportation	Do you use an application form that requests specific information about the applicant and his or her driving record?				
46.13	Transportation	Have you obtained copies of the valid drivers' licenses of all personnel driving on your organization's behalf?				
46.14	Transportation	Do you obtain Motor Vehicle Records (MVRs) for all drivers authorized to drive your vehicles?				
46.15	Transportation	Do you provide driver training for all of your drivers whether volunteer or employee?				
46.16	Transportation	Do you have an individual, either paid or volunteer, who is responsible for supervising staff who drive on behalf of your organization?				
46.17	Transportation	Do you monitor driver performance on an ongoing basis?				
46.18	Transportation	Do you have any vehicles that hold 16 or more passengers including the driver or any vehicles weighing more than 26,000 pounds?				
46.19	Transportation	Does your organization own or long-term lease any vehicles?				
46.20	Transportation	Does your organization have guidelines for selecting and replacing the types of vehicles you use?				
46.21	Transportation	Does your organization maintain trip logs for your vehicles?				
46.22	Transportation	Do all of your vehicles contain basic safety and accident equipment?				
46.23	Transportation	Do you require and document pre- and post-trip inspections of your vehicles?				
46.24	Transportation	Does your organization follow established procedures including documenting routine and special maintenance on your vehicles?				
46.25	Transportation	Do your employees or volunteers ever rent, hire or borrow vehicles for your nonprofit's activities?				
46.26	Transportation	Do you have an approval process (with guidelines) for renting, hiring or borrowing vehicles for your organization?				
46.27	Transportation	Does your nonprofit contract with any providers of transportation services?				
46.28	Transportation	Does your organization purchase any type of auto insurance?				
46.29	Transportation	Does your insurance program include automobile liability insurance for your owned, hired and non-owned vehicles?				
46.30	Transportation	Does your insurance program include automobile physical damage coverage for owned, hired or others' vehicles?				
46.31	Transportation	Does your organization have a program that involves working on or storing other people's cars or do you have a garage for servicing your vehicles?				
46.32	Transportation	Does your organization have a vehicle donation program?				
46.33	Transportation	Does your organization transport any cargo (material, equipment, or supplies) either in your own vehicles or through transportation companies?				
46.34	Transportation	Does your automobile policy include any endorsements that broaden your coverage?				
46.35	Transportation	Does your insurance policy cover anyone driving on behalf of your organization?				
46.36	Transportation	Do you require proof of personal auto insurance from all personnel driving their own vehicles for your organization's benefit?				
46.37	Transportation	Does your organization have a program that involves working on or storing other people's cars or do you have a garage for servicing your vehicles?				
46.38	Transportation	Does your organization have a vehicle donation program?				
47.1	Transportation	Does your organization transport any cargo (material, equipment, or supplies) either in your own vehicles or through transportation companies?				
47.2	Property	Does your nonprofit own one or more buildings?				
47.3	Property	Does your nonprofit rent space to others?				
47.4	Property	Does your nonprofit ever rent additional space for special events, meetings or field trips?				
47.5	Property	Does your nonprofit lease space from someone else?				
47.6	Property	Is your nonprofit based in a private home versus traditional office space?				
47.7	Property	Is someone at your nonprofit responsible for conducting routine inspections of your premises?				
47.8	Property	Do you follow an equipment maintenance schedule and maintain a detailed repair log?				

Fig. Standard	Category	Description of Standard	Yes	No	don't know	comments
47.9	Property	Are safety violations given precedence over other maintenance and repair assignments?				
47.10	Property	Do you have a fire evacuation plan?				
47.11	Property	Do you have a crisis management plan?				
47.12	Property	Do you have a breach of security plan?				
47.13	Property	Is someone in your organization responsible for making certain the building is up to code, your licenses are up-to-date and you comply with federal standards such as the Americans with Disabilities Act?				
47.14	Property	Do you have a system for receiving notification of Consumer Product Safety Commission warnings and recalls?				
47.15	Property	Do you have a food preparation area in any of your facilities?				
47.16	Property	Are your facilities ADA compliant?				
47.17	Property	Are public areas accessible for people with varying degrees of mobility?				
47.18	Property	Does your facility have a playground?				
47.19	Property	Does someone in your agency perform a visual and written inspection of the playground each week it's in use by children?				
47.20	Property	Is the equipment suitable to the children's age?				
47.21	Property	Is there a barrier between the children's playground and any water such as swimming pool, fountain, or water-retention pond?				
47.22	Property	Is the play area designed to allow the teacher or playground supervisor to view the entire playground at once?				
47.23	Property	Is the playground equipment developmentally appropriate for the children that will use it?				
47.24	Property	Do you repair or replace the most life-threatening or dangerous equipment hazards first?				
47.25	Property	Do you run a thrift shop?				
47.26	Property	Do you run a camp? These include day camps, overnight camps, wilderness camps and camps for children with special needs.				
47.27	Property	Do you provide day care?				
47.28	Property	Was the space your nonprofit uses for day care designed specifically to serve young children?				
47.29	Property	Do you provide residential care?				
47.30	Property	Has the facility been tested for the presence of toxic building materials, such as lead-based paint, asbestos, lead pipes and solder?				
47.31	Property	Do you store toxic materials such as paint, solvents, and cleaning solutions?				
47.32	Property	Are flammable liquids (gasoline, acetone, turpentine, alcohol, benzene, charcoal lighter fluids, painting and lacquer thinner and contact cement) properly labeled in a tightly closed safety can that is outside, out of reach of children and far away from ignition sources (pilot lights on gas water heaters, furnaces, dryers or ranges)?				
47.33	Property	Are any of your facilities located in a high-crime neighborhood?				
47.34	Property	Have the police done a security assessment for the facility?				
47.35	Property	Do you have visitor sign in/sign out logs?				
47.36	Property	Must visitors wear identification badges while in your facility?				
47.37	Property	Do you require that visitors are escorted while in your facility?				
47.38	Property	Are entrances and your parking lot well lit to avoid shadows where people can hide?				
47.39	Property	Are lighting problems (burnt out or broken bulbs, shorts) fixed in a timely manner?				
47.40	Property	Is the property fenced?				
47.41	Property	Is there untrimmed or tall greenery at edge of the property where people can hide?				
47.42	Property	Are the floors free from slipping or tripping hazards?				
47.43	Property	Are there warning signs posted when the floors are being maintained?				
47.44	Property	Is the roof on your facility inspected and repaired on a regular basis?				
47.45	Property	Is access to the roof controlled?				

eg. Standard	Category	Description of Standard	Yes	No	don't know	comments
47.46	Property	Is there an elevator in your facility?				
47.47	Property	Do you have fire extinguishers?				
47.48	Property	Do you have smoke alarms?				
47.49	Property	Does your facility have first aid kits?				
47.50	Property	Does your facility have an Automated External Defibrillator?				

AMADOR TUOLUMNE COMMUNITY ACTION AGENCY
ATCAA Board, Policy Council, and ATCAA Advisory Councils
Code of Conduct and Conflict of Interest Policy

The ATCAA Board of Directors, ATCAA Early/Head Start Policy Council and ATCAA Advisory Councils are leaders, models and representatives of ATCAA to our community. All members will be expected to conduct themselves such that their personal and professional conduct does not have a negative effect on services or reflect badly on ATCAA's public image, reputation or credibility.

Members of the ATCAA Board and Policy Council and Advisory Councils will be informed of this policy and of any approved revisions.

This policy will be periodically reviewed and revised by the ATCAA Board of Directors and the Policy Council.

The ATCAA Board of Directors, the ATCAA Head Start Policy Council and all ATCAA Advisory Councils or Committees:

1. Will respect and promote the unique identity of each child, family, employee, Council, Committee and Board member and refrain from stereotyping based on age, race, color, religious creed, sex (gender), marital status, sexual orientation, national origin, ancestry, medical condition, physical or mental disability, genetic information, citizenship status, political affiliation/opinion, Veteran's status, request for family medical leave, or any other consideration made unlawful by federal, state or local laws.
2. Must uphold the Agency's confidentiality guidelines as follows:
 - a. No confidential information regarding employees, clients, children and families enrolled or accessing any service in any ATCAA program including Head Start/State Preschool, General Childcare, Early Head Start or any ATCAA programs is to be discussed or shared outside of the work setting or Board/Council/Committee meetings. This includes any materials received in writing;
 - b. Confidential information is to be discussed or shared within the work setting and at Board/Council/Committee meetings only as necessary and as it relates to program operations, business or decision-making;
 - c. No confidential information learned or material shared at Board/Council/Committee meetings or while conducting Board/Council/Committee business may be discussed, shared, or used in any way outside of Board/Council/Committee activities.
3. Will communicate and interact respectfully while participating in all Board/Council/Committee activities and when representing ATCAA within the community.
4. Will follow the ATCAA Conflict of Interest Policy as follows:

Conflict of Interest in Hiring

No person will be hired for an ATCAA position over which an immediate family member exercises direct supervisory authority. (See ATCAA Personnel Policies for more details)

No Policy Council member, nor any immediate family member of a Policy Council member, may be hired for any ATCAA position, except that a Policy Council member may occasionally substitute in the ATCAA Early/Head Start Programs.

No ATCAA Board member may be hired for any ATCAA position.

"Immediate Family Member" includes any of the following: spouse, domestic partner, sibling, child, parent, grandparent, grandchild, foster parent, step parent, sibling-in-law, child-in-law, parent-in-law, uncle, aunt, nephew, niece, step-sibling, and step-child.

Conflict of Interest

No employee, officer or agent of ATCAA or of any sub-grantee shall participate in the selection or in the award and administration of a contract if a conflict of interest, real or apparent, would be involved.

A conflict would arise when any of the following has a financial or other interest in the firm selected for award:

- The employee, officer or agent;
- Any member of the immediate family of an employee, officer, or agent;
- A partner of an employee, officer, or agent; or
- An organization which employs, or is about to employ any of the above.

Contractors that develop or draft grant applications, contract specifications, statements of work, and invitations for bids and/or requests for proposals are excluded from bidding for the procurement.

The Executive Director, or designee, may approve an exception to this policy if he or she determines that the financial interest is not substantial or that it is unavoidable or unreasonable not to make such award.

Signature of ATCAA Board Member or
Policy Council Member or
ATCAA Advisory Council Member

Date

Approved by ATCAA Policy Council July 2013
Approved by ATCAA Board December 2013

Approval of New Signers on ATCAA Accounts

Board members Lloyd Schneider, Lynn Morgan, and Linda Rianda along with Executive Director Rajeev Rambob are authorized to sign on the following ATCAA bank accounts:

- Accounts Payable
- General Account (Deposit Checking)
- EFT Checking
- Fund Advance Checking
- Payroll Checking