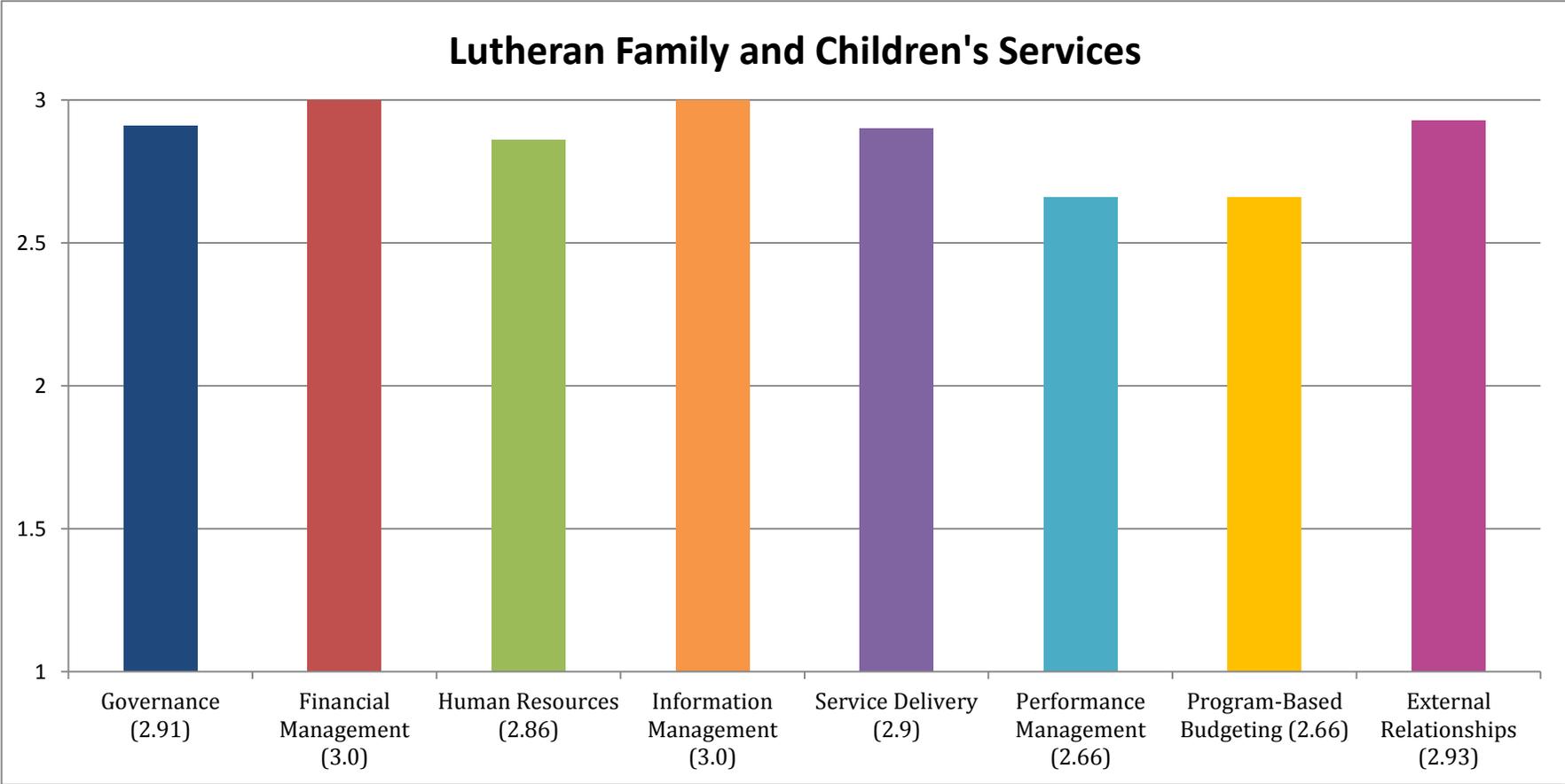


Agency Capacity Evaluation

Agency: Lutheran Family and Children's Services
Date of Review: August 19, 2014
Evaluation Valid: July 1, 2014-June 30, 2017
Overall Evaluation Score: 2.86

Scale
3 = High Level of Capacity
2 = Moderate Level of Capacity
1 = Low Level of Capacity



1. Governance: 2.91

	Response	Subheading Score	Category Score
Mission Statement	High – Clear expression of agency’s reason for existence		3
Vision Statement	High – Vision translates into a clear set of goals used to direct actions and set priorities		3
Board of Directors			
<ul style="list-style-type: none"> • Appropriate number of board members 	<u>Operating Board</u> required to have 15-39 members, currently has 25 <u>Advisory Board</u> required to have 8-12, currently has 10 members	3	
<ul style="list-style-type: none"> • Average rate 	Have maintained 10-12 members for the last 3 years	3	
<ul style="list-style-type: none"> • Terms and term limits 	3 year terms, limit of 2 terms	3	
<ul style="list-style-type: none"> • Reflective of demographic served 	No	1	
<ul style="list-style-type: none"> • Role in goal setting and management 	<u>Operating Board</u> – Provides direction, support, and accountability to leadership, has a role in goal setting and management <u>Advisory Board</u> – Primarily focused on furthering the mission of the agency on the community level	3	
<ul style="list-style-type: none"> • Family/business relationships 	No	3	
<i>Board of Directors Average Score:</i>		16/6=	2.66
Policies and Practices			
<ul style="list-style-type: none"> • Conflict of interest policy 	Yes – Reviewed by evaluator	3	
<ul style="list-style-type: none"> • Whistleblower policy 	Yes – Reviewed by evaluator	3	
<ul style="list-style-type: none"> • Document retention policy 	Yes – Reviewed by evaluator	3	
<ul style="list-style-type: none"> • Business continuity plan 	Yes – Reviewed by evaluator	3	
<ul style="list-style-type: none"> • Document meetings and track actions 	Yes – Reviewed by evaluator, Date: 3/14	3	

<ul style="list-style-type: none"> ED hiring process (Review and approval by independent persons, comparability data, and verification of the deliberation and decision) 	<ol style="list-style-type: none"> Review and approval by independent persons indicated Comparability data process indicated Verification of deliberation – meeting minutes 	3	
<ul style="list-style-type: none"> Lobbying written policies and reported on IRS990 	Yes	3	
<i>Policies and Practices Average Score:</i>		21/7=	3.0
Governance Capacity Score:		11.66/4=	2.91

2. Financial Management: 3.0

	Response	Subheading Score	Category Score
Policies, Practices, and Procedures			
<ul style="list-style-type: none"> Written financial policies and procedures 	Yes – Reviewed by evaluator	3	
<ul style="list-style-type: none"> Accountability standards or practices and controls to ensure accuracy 	Coding of expenses, signatures required on checks, finances are overseen and reconciled by the accounting dept. of the central office and they provide the appropriate checks and balances	3	
<ul style="list-style-type: none"> Accrual basis accounting 	Yes	3	
<i>Policies, Practices, and Procedures Average Score:</i>		9/3=	3.0
Oversight			
<ul style="list-style-type: none"> Person responsible for daily fiscal management 	Chief Financial Officer and accounting staff	Report	
<ul style="list-style-type: none"> Is this person dedicated to fiscal management 	Yes	3	
<ul style="list-style-type: none"> Who is responsible for budget development 	Executive Director and CFO	Report	
<ul style="list-style-type: none"> Treasurer 	Yes – Financial Committee on Board	3	
<ul style="list-style-type: none"> Board oversight 	Financial records are prepared by the CFO and he presents the financials to the Financial Committee and then they are	Report	

	reviewed and approved by the full Operating Board, board meets 6 times per year		
• Annual review overseen by board	Yes	3	
• Form 990 provided to the Board of Directors	Yes	3	
<i>Oversight Average Score:</i>		12/4=	3.0
Insurance			
• Workers' Compensation	Yes	3	
• Business Auto Liability	Yes	3	
• Commercial/General Liability	Yes	3	
• Directors and Officers Liability	Yes	3	
• Professional Liability	Yes	3	
<i>Insurance Average Score:</i>		15/5=	3.0
Financial Management Capacity Score:		9/3=	3.0

3. Human Resources: 2.86

	Response	Subheading Score	Category Score
Employment Policies and Practices			
• Written personnel policies	Yes – Reviewed by evaluator	3	
• Non-discrimination policy	Yes – Reviewed by evaluator	3	
• Affirmative action plan	Yes – Reviewed by evaluator	3	
• Workforce reflective of demographic served	Yes – Determined by a review by the board, based on the agency as a whole	3	
• Labor laws clearly posted	Yes – Observed by evaluator	3	
• Criminal background checks on employees	Yes	3	
• Abuse and neglect checks	Yes	3	
• How often conducted	At employment and annually	Report	
<i>Employment Policies and Practices Average Score:</i>		21/7=	3.0

Staff Training and Development			
• New employee orientation	Yes – Reviewed by evaluator	3	
• Staff development plan	Yes – Reviewed by evaluator	3	
• Leadership development plan	Yes – Reviewed by evaluator	3	
• Succession plan	No	1	
• License and certification	License and certification requirements adhered to	3	
<i>Staff Training and Development Average Score:</i>		13/5=	2.6
Volunteers			
• Screened and trained	Background checks, screened, and trained	3	
• How are volunteers utilized	Community mentors, event assistance, child care, provide meals	Report	
<i>Volunteers Average Score:</i>		3/1=	3.0
Human Resources Capacity Score:		8.6/3=	2.86

4. Information Management: 3.0

		Subheading Score	Category Score
Policies and Procedures			
• Retention and destruction policies	Yes – Reviewed by evaluator	3	
• Funder requirements incorporated	Yes	3	
• Identify the records custodian	Regional and Executive Directors	Report	
<i>Policies and Procedures Average Score:</i>		6/2=	3.0
Data Management			
• Client program and participation data	Yes	Report	
• Volunteer applications and records	Yes	Report	
• Personnel records	Yes	Report	
• Financial records	Yes	Report	

• Donor and contribution records	Yes	Report	
• Mailing list	Yes	Report	
• Workflow description	Yes	Report	
• Inventory of hardware and software	Yes	Report	
• Disaster readiness or recovery plan	Yes	Report	
<i>Data Collection Score:</i>	9 of 9 = High		3.0
• Who has access to program data	Program Directors for their own departments	3	
• Is program data backed-up	Yes	3	
• Validity and reliability	High – Agency has systems in place to ensure reliability and validity: supervision process in place, training for consistent data entry and case review conducted by workgroups	3	
• Data retained in accordance with policy	Yes	3	
<i>Program Data Management Average Score:</i>		12/4=	3.0
Confidentiality			
• Confidentiality policies and procedures	Yes	3	
• Confidentiality agreement for:			
○ Employees	Yes – Reviewed by evaluator	3	
○ Volunteers	Yes – Reviewed by evaluator	3	
○ Board members	Yes – Reviewed by evaluator	3	
• How often are they renewed	At employment and annually	Report	
• Regular trainings	Yes	3	
• Individual passwords for each computer	Yes	3	
• Privacy filters for monitors	Yes	3	
• Back-up protocol for collected data	Yes	3	
• Utilize paper shredders and/or secure recycling	Yes – both	3	
<i>Confidentiality Average Score:</i>		27/9=	3.0
Systems and Infrastructure			
• Meets current and anticipated needs	Yes	3	
• Challenges	No challenges	Report	

• Upgrades in next two years	No	Report	
• Off-site data storage	Yes	3	
• Data management software	Apricot, ODM	Report	
• Network computer system	Yes	3	
• Network administrator on staff	Yes	3	
• Network back-up protocol	Yes	3	
• Utilize the following:			
○ Microsoft Office Suite	Yes	Report	
○ Commercial analytical software	No	Report	
• Rate systems for:			
○ Data collection	High	3	
○ Data management	High	3	
○ Data reporting	High	3	
○ Data storage	High	3	
<i>Systems and Infrastructure Average Score:</i>		27/9=	3.0
<i>Information Systems Capacity Score:</i>		15/5=	3.0

5. Service Delivery: 2.9

	Response	Subheading Score	Category Score
Program Services			
<ul style="list-style-type: none"> • Most successful aspect of program(s) 	Case management to help keep youth in school, community mentors spend a lot of time with the teens that want the interaction, access to therapy	Report	
<ul style="list-style-type: none"> • Barriers 	Lack of funding	Report	
Infrastructure			
<ul style="list-style-type: none"> • Meet current and anticipated needs 	Yes	3	
<ul style="list-style-type: none"> • Rate capacity for <ul style="list-style-type: none"> ○ Office building and meeting space ○ Parking ○ Storage 	High High High	3 3 3	
<i>Infrastructure Average Score:</i>		12/4=	3.0
Policies, Practices, and Procedure			
<ul style="list-style-type: none"> • ADA compliance and documentation 	Yes – but does not have documentation to prove accessibility	2	
<ul style="list-style-type: none"> • Written non-discrimination in public accommodations 	Yes – Reviewed by evaluator	3	
<ul style="list-style-type: none"> • Fulfill staffing ratios 	Yes	3	
<ul style="list-style-type: none"> • Do you solicit feedback from participants 	Satisfaction surveys at regular intervals, feedback cards	3	
<ul style="list-style-type: none"> • Customer grievance process 	Yes – Reviewed by evaluator	3	
<i>Policies, Practices, and Procedure Average Score:</i>		14/5=	2.8
<i>Service Delivery Capacity Score:</i>		5.8/2=	2.9

6. Performance Management: 2.66

	Response	Subheading Score	Capacity Score
Performance Management			
<ul style="list-style-type: none"> Barriers and challenges 	No challenges	Report	
<ul style="list-style-type: none"> Utilized to guide programming 	Make modifications to programs or services, evaluate goals on treatment plans, help determine case loads, used with funders, allows supervisors to monitor staff time	3	
<ul style="list-style-type: none"> Consistent with other funders 	Yes	Report	
<ul style="list-style-type: none"> Communicated to board 	Yes	3	
<ul style="list-style-type: none"> Communicated to staff and volunteers 	Yes	3	
<ul style="list-style-type: none"> Rate systems for <ul style="list-style-type: none"> Monitoring performance Reporting performance Utilizing performance for evaluation and planning 	<p>Moderate</p> <p>High</p> <p>Moderate</p>	<p>2</p> <p>3</p> <p>2</p>	
<i>Performance Management Capacity Score:</i>		16/6=	2.66

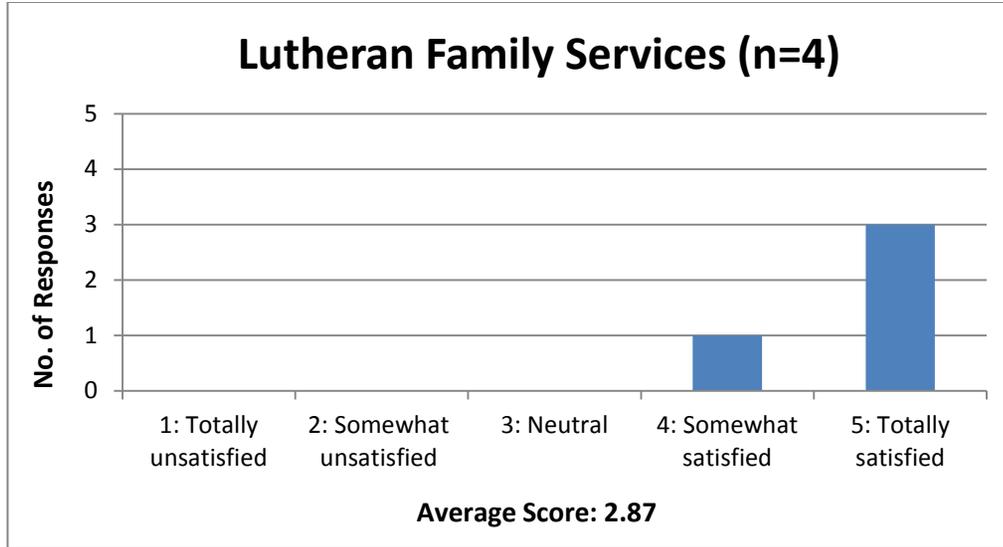
7. Program-Based Budgeting: 2.66

	Response	Subheading Score	Capacity Score
Program-Based Budgeting			
<ul style="list-style-type: none"> • Procedures for developing and monitoring program budgets 	High – Well-designed and informed budget development process, utilizes historical and performance data, budgets are rigorously managed and adhered to	3	
<ul style="list-style-type: none"> • Does the process cover projected: <ul style="list-style-type: none"> ○ Ongoing revenues and expenditures ○ Occasional or special revenues and expenditures ○ Capital expenditures 	Yes – all included	3	
<ul style="list-style-type: none"> • Board members utilized 	Yes	3	
<ul style="list-style-type: none"> • Annual program budgets tied to annual operational plan 	Yes	3	
<ul style="list-style-type: none"> • Who is responsible for oversight 	Chief Financial Officer and Executive Director	Report	
<ul style="list-style-type: none"> • Rate systems for: <ul style="list-style-type: none"> ○ Developing program budgets ○ Assessing data to recognize trends ○ Working with staff to understand budgets ○ Working with board to understand budgets ○ Accurately forecasting change in the budget 	<p>Moderate</p> <p>Moderate - High</p> <p>Moderate - High</p> <p>Moderate</p> <p>High</p>	<p>2</p> <p>2.5</p> <p>2.5</p> <p>2</p> <p>3</p>	
Program Based-budgeting Capacity Score:		24/9=	2.66

8. External Relationships: 2.93

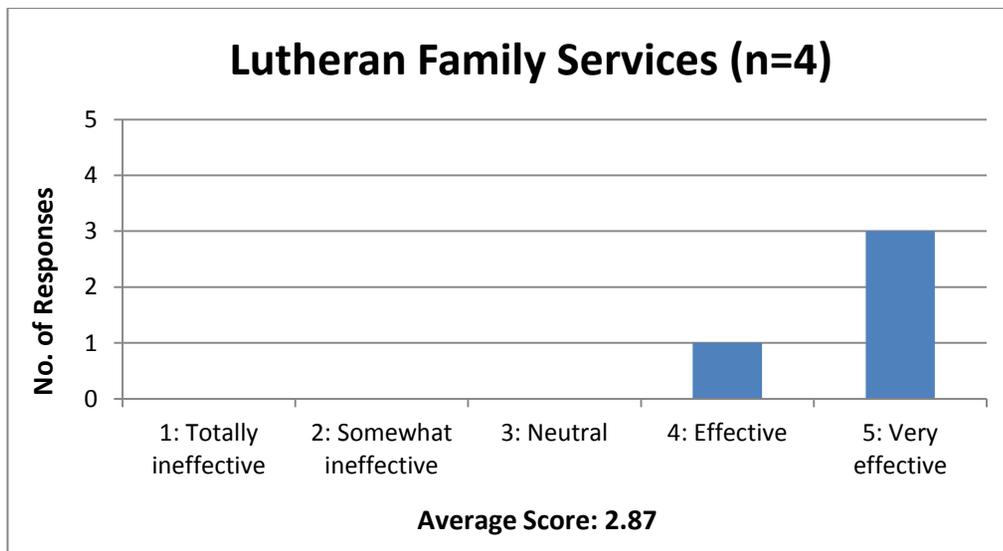
	Response	Subheading Score	Capacity Score
External Relationships			
<ul style="list-style-type: none"> • Collaboration 	Agency has built and maintains strong, high-impact relationships, participates in a variety of coalitions and committees	3	
<ul style="list-style-type: none"> • Widely known and perceived to be engaged 	Yes	3	
<ul style="list-style-type: none"> • External partner feedback <ul style="list-style-type: none"> ○ Satisfaction ○ Effectiveness ○ Comments 	<p>High - Moderate</p> <p>High - Moderate</p> <p>See attached</p>	<p>2.87</p> <p>2.87</p>	
<i>External Relationships Capacity Score:</i>		11.74/4=	2.93

Please rate your overall satisfaction with your partnership with the agency.



Scale
3.0 = Totally satisfied
2.5 = Somewhat satisfied
2.0 = Neutral
1.5 = Somewhat unsatisfied
1.0 = Totally unsatisfied

Please rate your opinion of the effectiveness of each agency in the community.



Scale
3.0 = Very effective
2.5 = Effective
2.0 = Neutral
1.5 = Somewhat ineffective
1.0 = Totally ineffective

Comments:

Excellent organization. We both do home-visitation programs but with a slightly different focus. We have always found LFCS to be willing to work with us allowing both organizations to stretch our resources to meet more families in need. They are a great partner in our CRIB's program, helping with child abuse and neglect prevention.

LFCS has been an invaluable resource to high school counselors. We refer our pregnant and/or parenting teens to them often and the wraparound services they provide are of the highest quality. They are true professionals who are second to none!

We appreciate the comprehensive nature of their services to pregnant and new mothers.

LFCS makes a very strong impact with children and families of our community. In particular, their attention to the mental health needs of young families experiencing adversities in their lives is of great value. The teen parenting program they facilitate is exemplary and the abilities of their staff and volunteers, who engage families in positive learning experiences has been very impressive. Further, the organization's recognition of the fact that the desired impacts can only be made through collaboration and partnership makes them shine! They are actively involved with so many initiatives and create opportunities to support families; they are viewed as leaders with the capacity for success!