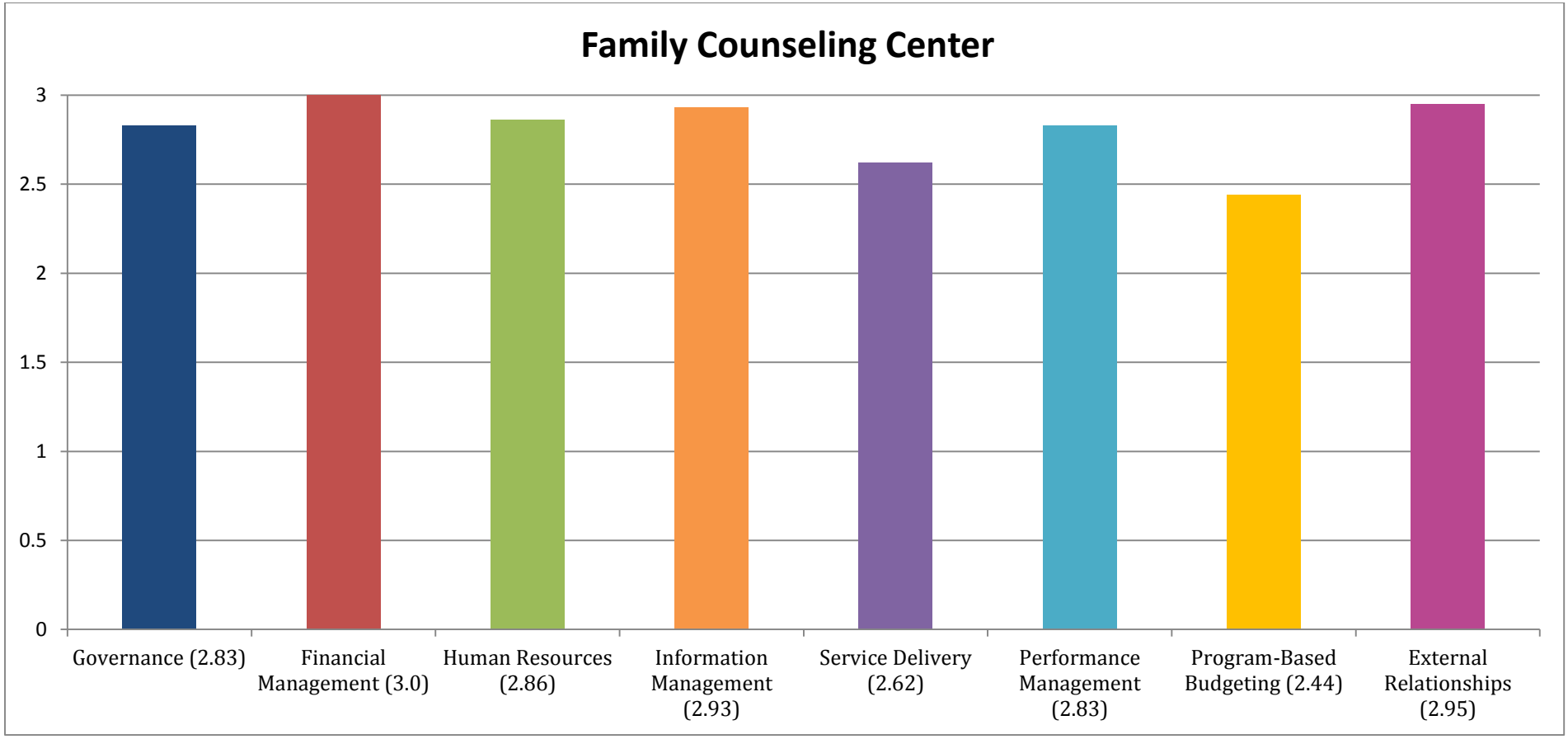
Agency Capacity Evaluation

Agency: Family Counseling Center
Date of Review: August 19, 2015
Evaluation Valid: July 1, 2015-June 30, 2018
Overall Evaluation Score: 2.80

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



1. Governance: 2.83

	Response	Subheading Score	Category Score
Mission Statement	High – Clear expression of agency's reason for existence	3	**3**
Vision Statement	High – Vision translates into a clear set of goals used to direct actions and set priorities, includes values and guiding principles	3	**3**
Board of Directors			
• Appropriate number of board members	Required to have 9 board members, currently have 12 board members	3	
• Average rate	Have maintained appropriate number of board members for 3 years	3	
• Terms and term limits	3 year terms, no term limits	1	
• Reflective of demographic served	No, represents consumers and families but is not reflective of demographics	1	
• Role in goal setting and management	Provide strong direction, support and accountability to programmatic leadership and engaged as a strategic resource	3	
• Family/business relationships	No	3	
Board of Directors Average Score:		14/6=	**2.33**
Policies and Practices			
• Conflict of interest policy	Yes - Reviewed by evaluator	3	
• Whistleblower policy	Yes - Reviewed by evaluator	3	
• Document retention policy	Yes - Reviewed by evaluator	3	
• Business continuity plan	Yes - Reviewed by evaluator	3	
• Document meetings and track actions	Yes- Reviewed by evaluator, Date: 6/25/15	3	
• ED hiring process (Review and approval by independent persons, comparability data, and verification of the	1) Review and approval by independent persons 2) Comparability data process indicated	3	

deliberation and decision)	3) Verification of deliberation – documentation of process maintained by human resources		
• Lobbying written policies and reported on IRS990	Does not lobby	N/A	
Policies and Practices Average Score:		18/6=	**3.0**
Governance Capacity Score:		**11.33/4=**	**2.83**

2. Financial Management: 3.0

	Response	Subheading Score	Category Score
Policies, Practices, and Procedures			
• Written financial policies and procedures	Yes - Reviewed by evaluator	3	
• Accountability standards or practices and controls to ensure accuracy	Follow Generally Accepted Accounting Principles standards and they have a Corporate Compliance Plan in place, internal controls tested annually by auditors	3	
• Accrual basis accounting	Yes	3	
Policies, Practices, and Procedures Average Score:		9/3=	**3.0**
Oversight			
• Person responsible for daily fiscal management	Chief Financial Officer	Report	
• Is this person dedicated to fiscal management	Yes	3	
• Who is responsible for budget development	Chief Financial Officer	Report	
• Treasurer	Yes – Active Treasurer, works closely with CFO	3	
• Board oversight	Financial records are prepared and presented by Treasurer and CFO to the board at monthly meetings	Report	
• Annual review overseen by board	Yes	3	
• Form 990 provided to the Board of Directors	Yes	3	

Oversight Average Score:		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	
Insurance Average Score:		15/5=	**3.0**
Financial Management Capacity Score:		**9.0/3=**	**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, annual evaluation by grant writers determines the workforce is reflective	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	Background check at employment only, driving checks are conducted on an ongoing basis	Report	
Employment Policies and Practices Average Score:		21/7=	**3.0**
Staff Training and Development			
• New employee orientation	Yes	3	
• Staff development plan	Yes – Reviewed by evaluator	3	

• Leadership development plan	No	1	
• Succession plan	Yes – Reviewed by evaluator	3	
• License and certification	Yes – Human Resources ensures compliance to license and certification requirements	3	
Staff Training and Development Average Score:		13/5=	**2.6**
Volunteers			
• Screened and trained	Background checks, orientation, and training provided to volunteers	3	
• How are volunteers utilized	Students serve in internship roles, some community volunteers for one-time events	Report	
Volunteers Average Score:		3/1=	**3.0**
Human Resources Capacity Score:		**8.6/3=**	**2.86**

4. Information Management: 2.93

		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	Director of IT	Report	
Policies and Procedures Average Score:		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	No	Report	

• Inventory of hardware and software	Yes	Report	
• Disaster readiness or recovery plan	Yes	Report	
Data Collection Score:	8 of 9 = High		**3.0**
• Who has access to program data	Direct service staff, administrative staff, and Quality Assurance Committee. Restrictions in place to monitor appropriate access	3	
• Is program data backed-up	Yes	3	
• Validity and reliability	High – Agency has systems in place to ensure reliability and validity: Standardized forms and systems in place, training on data entry and system usage, Quality Assurance Committee monitors charts and other quality measures	3	
• Data retained in accordance with policy	Yes	3	
Program Data Management Average Score:		12/4=	**3.0**
Confidentiality			
• Confidentiality policies and procedures	Yes	3	
• Confidentiality agreement for: ○ Employees ○ Volunteers ○ Board members	 Yes – Reviewed by evaluator Yes – Reviewed by evaluator Yes – Reviewed by evaluator	 3 3 3	
• How often are they renewed	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	
Confidentiality Average Score:		27/9=	**3.0**
Systems and Infrastructure			
• Meets current and anticipated needs	Yes	3	
• Challenges	Some storage issues and are limited for	Report	

	accommodating any future growth		
• Upgrades in next two years	Yes – integration with Crider Health Systems	Report	
• Off-site data storage	Yes	3	
• Data management software	Apricot, Anasazi software system, GP systems, SQL management tools	Report	
• Network computer system	Yes	3	
• Network administrator on staff	Yes	3	
• Network back-up protocol	Yes	3	
• Utilize the following: ○ Microsoft Office Suite ○ Commercial analytical software	 Yes No	 Report Report	
• Rate systems for:			
○ Data collection	Moderate	2	
○ Data management	Moderate	2	
○ Data reporting	Moderate	2	
○ Data storage	High	3	
Systems and Infrastructure Average Score:		24/9=	**2.66**
Information Systems Capacity Score:		**14.66/5=**	**2.93**

5. Service Delivery: 2.62

	Response	Subheading Score	Category Score
Program Services			
• Most successful aspect of program(s)	Outpatient counseling for adults in Columbia that increases a client's daily functions and quality of life	Report	
• Barriers	Stigma of seeking mental health services and keeping qualified staff for growing needs	Report	
Infrastructure			
• Meet current and anticipated needs	Yes – meets current needs, working on a capital plan and investigating consolidating Columbia locations in the next few years	3	
• Rate capacity for ○ Office building and meeting space ○ Parking ○ Storage	 Moderate Moderate Moderate	 2 2 2	
Infrastructure Average Score:		9/4=	**2.25**
Policies, Practices, and Procedure			
• ADA compliance and documentation	Yes – CARF and DMH inspections and certifications	3	
• Written non-discrimination in public accommodations	Yes –Reviewed by evaluator	3	
• Fulfill staffing ratios	None required for programming. Adhere to the requirements for residential facilities	3	
• Do you solicit feedback from participants	Monthly client evaluation, quarterly satisfaction surveys	3	
• Customer grievance process	Yes	3	
Policies, Practices, and Procedure Average Score:		15/5=	**3.0**
Service Delivery Capacity Score:		**5.25/2=**	**2.62**

6. Performance Management: 2.83

	Response	Subheading Score	Capacity Score
Performance Management			
• Barriers and challenges	Definitions and discharge code compliance, but have addressed these issues. Long term follow up is very expensive and hard to accomplish consistently	Report	
• Utilized to guide programming	Helps agency identify the need for change in practice, evaluation, programming or training, identify changing staffing needs and with funders and for additional fundraising	3	
• Consistent with other funders	No - Outputs are consistent, but the City of Columbia asks for more performance measure tracking than other funders	Report	
• Communicated to board	Yes	3	
• Communicated to staff and volunteers	Yes	3	
• Rate systems for ○ Monitoring performance ○ Reporting performance ○ Utilizing performance for evaluation and planning	 High High Moderate	 3 3 2	
Performance Management Capacity Score:		**17/6=**	**2.83**

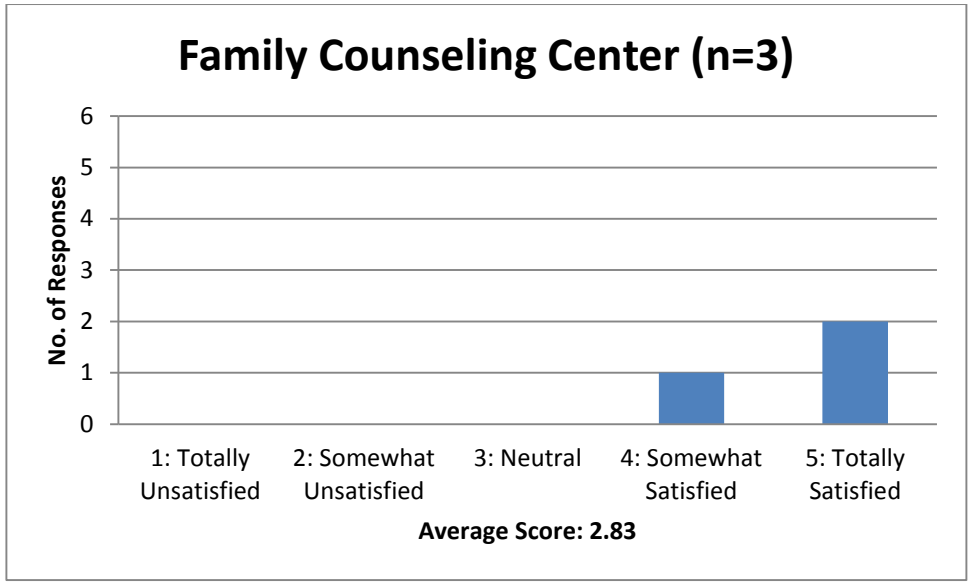
7. Program-Based Budgeting: 2.44

	Response	Subheading Score	Capacity Score
Program-Based Budgeting			
• Procedures for developing and monitoring program budgets	High – Well designed and informed budget development process: CFO works with administrative staff, utilizes historical data and projects needs for the future	3	
• Does the process cover projected: ○ Ongoing revenues and expenditures ○ Occasional or special revenues and expenditures ○ Capital expenditures	Yes – all included	3	
• Board members utilized	Yes	3	
• Annual program budgets tied to annual operational plan	Yes	3	
• Who is responsible for oversight	CFO and CEO	Report	
• Rate systems for: ○ 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	 Moderate Moderate Moderate Moderate Moderate	 2 2 2 2 2	
Program Based-budgeting Capacity Score:		**22/9=**	**2.44**

8. External Relationships: 2.95

	Response	Subheading Score	Capacity Score
External Relationships			
• Collaboration	High – Have built, leveraged and maintained strong, high-impact relationships with a variety of relevant partners	3	
• Widely known and perceived to be engaged	Yes	3	
• External partner feedback ○ Satisfaction ○ Effectiveness ○ Comments	 See attached	 2.83 3	
External Relationships Capacity Score:		**11.83/4=**	**2.95**

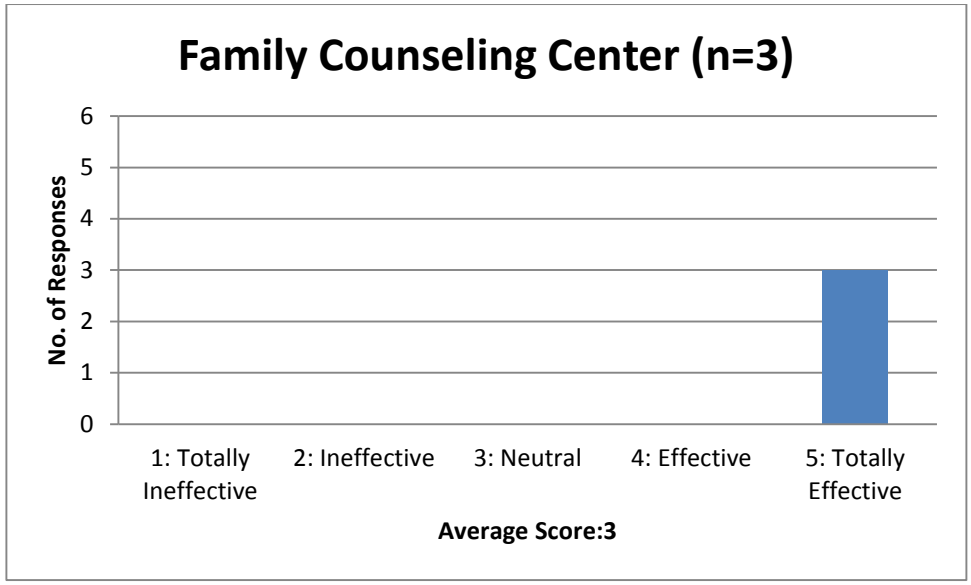
Please rate your overall satisfaction with your partnership with the agency.



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 = Totally effective
2.5 = Effective
2.0 = Neutral
1.5 = Somewhat ineffective
1.0 = Totally ineffective

Comments:

Calling Pathways Central Scheduling has been cumbersome, time-consuming, and possibly a waste of time. It is not helpful to call the local office at a specific location, be re-routed to Central Scheduling by the phone system, be transferred to the location you called in the first place (where someone may or may not answer the phone), and then have to call back to have Central Scheduling to ask that they get you a live person, at which point they may or may not help you. This occurs with some frequency when we are trying to obtain information on a mutual client or set-up an appointment for an already-established client. Regularly Central Scheduling asks many private information questions about the client before they ask about their insurance, and then they tell you that they cannot see the client. This is not a good use of anyone's time and is not an ethical way to go about this process. Furthermore, ever since the current call center has been used the employees at Central Scheduling have been rude to my colleagues and myself on a regular basis. It is very frustrating that we know more about the services Pathways agencies provide than the people at Central Scheduling, and when we ask questions that could assist the Central Scheduling in getting the information we have they act angry towards us. The number of questions asked and the rigidity of Central Scheduling staff is noteworthy. It is obvious they do not like to leave any blanks on their forms and that is another reason why I believe I hear sighs and frustrated voices. There are questions that could be asked of the client should they show up at the Walk-In. A good example of this is the exact address of the client's contact person, something that most providers would not have in their records. Thanks for asking. I hope this helps!
Excellent partners. Share resources and share responsibilities. Flexible and willing to adapt to make collaboration successful.
A valuable community partner and service.