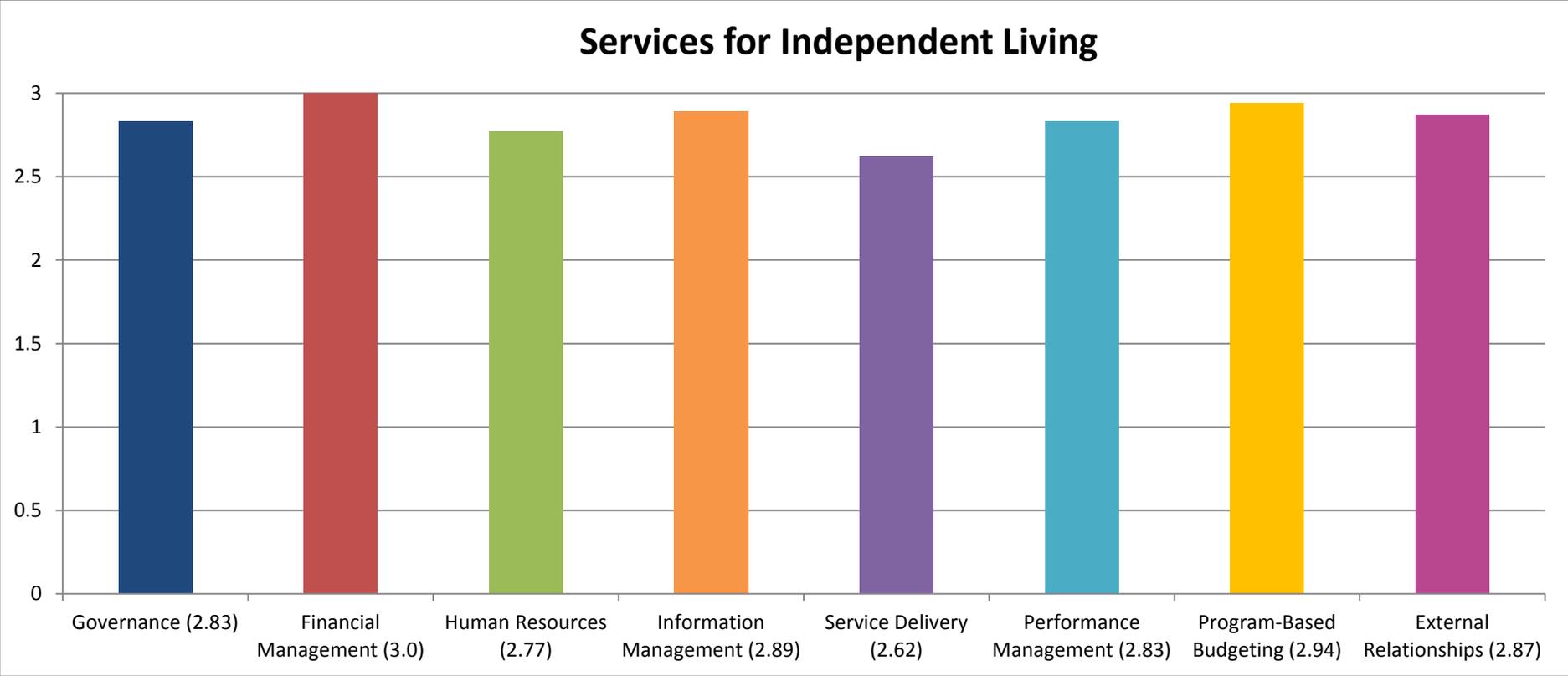


Agency Capacity Evaluation

Agency: Services for Independent Living
Date of Review: August 25, 2015
Evaluation Valid: July 1, 2015-June 30, 2018
Overall Evaluation Score: 2.84

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	3.0
Vision Statement	High – Vision translates into a clear set of goals used to direct actions and set priorities	3	3.0
Board of Directors			
• Appropriate number of board members	Required to have 10 board members, currently have 13 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	Yes – determined by client survey, required by Federal and State statute to be reflective	3	
• 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	
<i>Board of Directors Average Score:</i>		15/6=	2.66
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	No	1	
• Document meetings and track actions	Yes- Reviewed by evaluator, Date: 6/24/15	3	
• ED hiring process (Review and approval by independent persons, comparability data, and verification of the deliberation and decision)	1) Review and approval by independent persons 2) Comparability data process indicated 3) Verification of deliberation – documentation maintained by HR	3	
• Lobbying written policies and reported on IRS990	Does not lobby	N/A	
<i>Policies and Practices Average Score:</i>		16/6=	2.66
Governance Capacity Score:		11.32/4	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	Generally Accepted Accountability Standards, separation of duties, 2 signatures on checks, independent contract audits	3	
• Accrual basis accounting	Yes	3	
<i>Policies, Practices, and Procedures Average Score:</i>		9/3=	3.0
Oversight			
• Person responsible for daily fiscal management	Business Office Manager	Report	
• Is this person dedicated to fiscal management	Yes	3	
• Who is responsible for budget development	Business Office Manager, and Executive Director	Report	
• Treasurer	Yes – Active Treasurer	3	
• Board oversight	Financial records are prepared and presented by Treasurer to the board at monthly meetings	Report	
• Annual review overseen by board	Yes	3	
• Form 990 provided to the Board of Directors	Yes	3	
<i>Oversight Average Score:</i>		15/5=	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:		9.0/3=	3.0

3. Human Resources: 2.77

	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	No	1	
• Workforce reflective of demographic served	Yes- Survey of clients and staff	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	Office of Inspector General and Employee Disqualification List and completed monthly, FCSR is run at hire	Report	
<i>Employment Policies and Practices Average Score:</i>		19/7=	2.71
Staff Training and Development			
• New employee orientation	Yes	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>		13/4=	2.6
Volunteers			
• Screened and trained	Background checks, orientation, and training provided	3	
• How are volunteers utilized	Direct service to clients through home repair and wellness visits, interns in all operations, and assistance at special events	Report	
<i>Volunteers Average Score:</i>		3/1=	3.0
Human Resources Capacity Score:		8.31/3=	2.77

4. Information Management: 2.89

		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	Business Office Manager	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	Executive Director, Direct service staff and supervisors, administrative assistants. Access is limited based on job function	3	
• Is program data backed-up	Yes	3	
• Validity and reliability	High – Agency has systems in place to ensure reliability and validity: Standard surveys, training of staff, quality and chart review, annual audit of 20% of charts	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 or joining	Report	
● Regular trainings	Yes	3	
● Individual passwords for each computer	Yes	3	
● Privacy filters for monitors	No	1	
● Back-up protocol for collected data	Yes	3	
● Utilize paper shredders and/or secure recycling	Yes - both	3	
<i>Confidentiality Average Score:</i>		25/9=	2.77
Systems and Infrastructure			
● Meets current and anticipated needs	Yes	3	
● Challenges	None	Report	
● Upgrades in next two years	Yes, investigation possible upgrades to backup systems	Report	
● Off-site data storage	Yes	3	
● Data management software	Apricot, SIL First, Financial management software	Report	
● Network computer system	Yes	3	
● Network administrator on staff	No	1	
● Network back-up protocol	Yes	3	
● Utilize the following:			
○ Microsoft Office Suite	Yes	Report	
○ Commercial analytical software	No	Report	
● Rate systems for:			
○ Data collection	Moderate to high	2.5	
○ Data management	High	3	
○ Data reporting	High	3	
○ Data storage	High	3	
<i>Systems and Infrastructure Average Score:</i>		24.5/9=	2.72
Information Systems Capacity Score:		14.49/5=	2.89

5. Service Delivery: 2.62

	Response	Subheading Score	Category Score
Program Services			
<ul style="list-style-type: none"> • Most successful aspect of program(s) 	College students interacting with elderly clients, case management to connect clients with needed services and volunteers	Report	
<ul style="list-style-type: none"> • Barriers 	Lack of volunteers in the summer because college students are not available to mow lawn and provide other seasonal services	Report	
Infrastructure			
<ul style="list-style-type: none"> • Meet current and anticipated needs 	Yes –meets current needs, have no capacity for further growth	2	
<ul style="list-style-type: none"> • Rate capacity for <ul style="list-style-type: none"> ○ Office building and meeting space ○ Parking ○ Storage 	<p style="text-align: center;">High</p> <p style="text-align: center;">Moderate</p> <p style="text-align: center;">High</p>	<p style="text-align: center;">3</p> <p style="text-align: center;">2</p> <p style="text-align: center;">3</p>	
<i>Infrastructure Average Score:</i>		10/4=	2.5
Policies, Practices, and Procedure			
<ul style="list-style-type: none"> • ADA compliance and documentation 	Yes- no documentation available	2	
<ul style="list-style-type: none"> • Written non-discrimination in public accommodations 	Yes	3	
<ul style="list-style-type: none"> • Fulfill staffing ratios 	None required	N/A	
<ul style="list-style-type: none"> • Do you solicit feedback from participants 	Bi-annual client survey, quarterly follow up with clients	3	
<ul style="list-style-type: none"> • Customer grievance process 	Yes	3	
<i>Policies, Practices, and Procedure Average Score:</i>		11/4=	2.75
<i>Service Delivery Capacity Score:</i>		5.25/2=	2.62

6. Performance Management: 2.83

	Response	Subheading Score	Capacity Score
Performance Management			
• Barriers and challenges	None	Report	
• Utilized to guide programming	Helps to set goals and identify work plans, drives the strategic plan, and used for grant writing and fundraising	3	
• Consistent with other funders	Yes	Report	
• Communicated to board	Yes	3	
• Communicated to staff and volunteers	Yes – to staff, not to volunteers	2	
• Rate systems for <ul style="list-style-type: none"> ○ Monitoring performance ○ Reporting performance ○ Utilizing performance for evaluation and planning 	<p>High</p> <p>High</p> <p>High</p>	<p>3</p> <p>3</p> <p>3</p>	
<i>Performance Management Capacity Score:</i>		17/6=	2.83

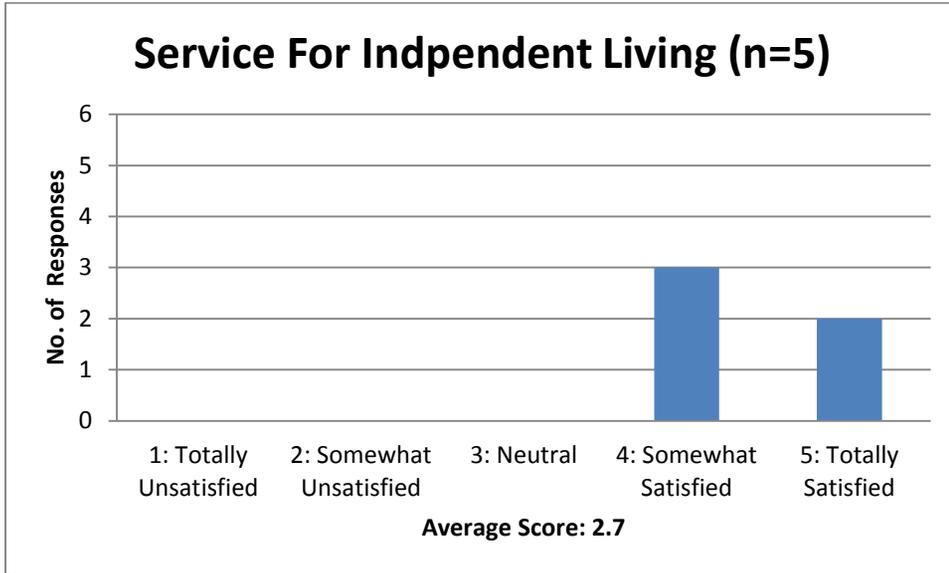
7. Program-Based Budgeting: 2.94

	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: Business office manager works with staff to develop budgets, utilizes historical data and past performance to anticipate needs, approved by the Executive Director and Board of Directors	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 	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>High</p> <p>High</p> <p>Moderate to High</p> <p>High</p> <p>High</p>	<p>3</p> <p>3</p> <p>2.5</p> <p>3</p> <p>3</p>	
<i>Program Based-budgeting Capacity Score:</i>		26.5/9=	2.94

8. External Relationships: 2.87

	Response	Subheading Score	Capacity Score
External Relationships			
<ul style="list-style-type: none"> • Collaboration 	High – Have built, leveraged and maintained strong, high-impact relationships with a variety of relevant partners	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 	See attached	2.7 2.8	
<i>External Relationships Capacity Score:</i>		11.5/4=	2.87

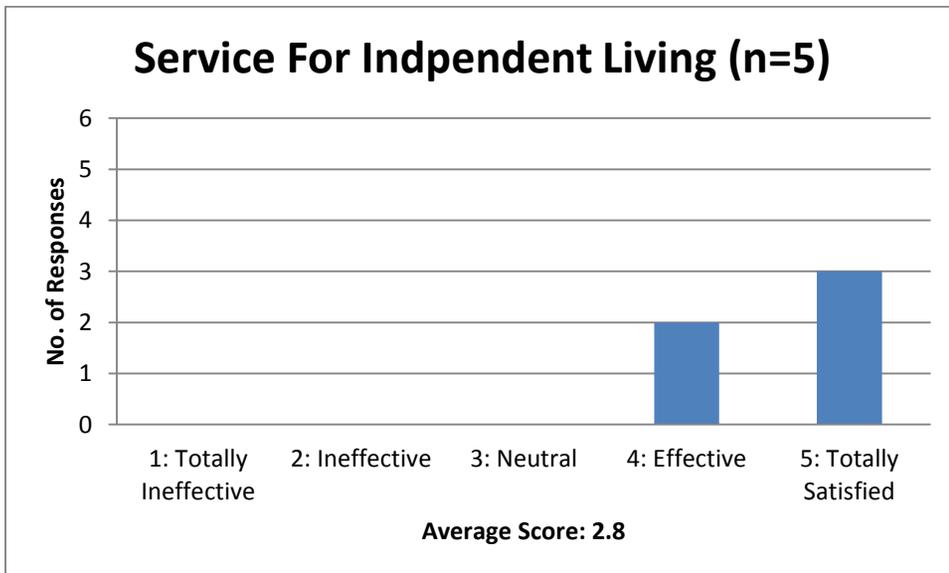
Please rate your overall satisfaction with your partnership with the agency.



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:

The recent merger with Boone County Council on Aging is a positive move with excellent potential for enhancing the services of each. Combined services are all vital for many in our community, some of whom are overlooked by some. Our agency's partnership with SIL is a good one, simply limited by the time and energy necessary to strengthen that relationship.