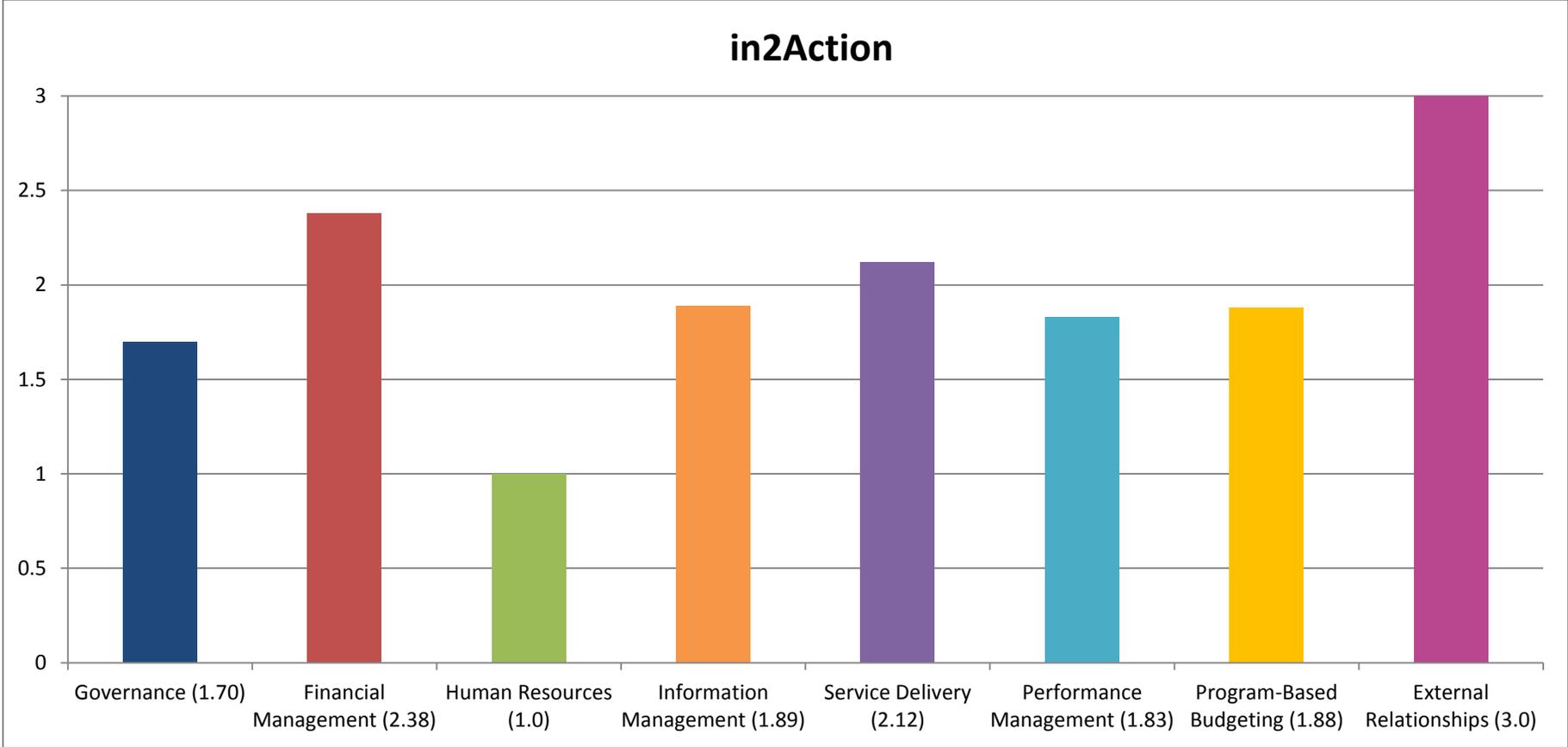


# Agency Capacity Evaluation

Agency: in2Action  
Date of Review: August 25, 2015  
Evaluation Valid: July 1, 2015-June 30, 2018  
Overall Evaluation Score: 1.97

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



## 1. Governance: 1.70

	Response	Subheading Score	Category Score
<b>Mission Statement</b>	High – Clear expression of agency’s reason for existence	3	<b>3.0</b>
<b>Vision Statement</b>	No vision statement	1	<b>1.0</b>
<b>Board of Directors</b>			
• Appropriate number of board members	No required number, currently have 8 board members	1	
• Average rate	No required number	1	
• Terms and term limits	No terms or term limits	1	
• Reflective of demographic served	No	1	
• Role in goal setting and management	Provide occasional direction, support and accountability to leadership; informed about all 'material' matters in a timely manner and responses, serves mostly in an advisory capacity	2	
• Family/business relationships	No family or business relationships, however the Executive Director does sit on the board of directors	1	
<i>Board of Directors Average Score:</i>		7/6=	<b>1.16</b>
<b>Policies and Practices</b>			
• Conflict of interest policy	Yes - Reviewed by evaluator	3	
• Whistleblower policy	No	1	
• Document retention policy	No	1	
• Business continuity plan	No	1	
• Document meetings and track actions	Yes- Reviewed by evaluator, Date: 6/18/15	3	
• ED hiring process (Review and approval by independent persons, comparability data, and verification of the deliberation and decision)	Process did not include these criteria	1	
• Lobbying written policies and reported on IRS990	Does not lobby	N/A	
<i>Policies and Practices Average Score:</i>		10/6=	<b>1.66</b>
<b>Governance Capacity Score:</b>		<b>6.82/4=</b>	<b>1.70</b>

## 2. Financial Management: 2.38

	Response	Subheading Score	Category Score
<b>Policies, Practices, and Procedures</b>			
• Written financial policies and procedures	Yes	3	
• Accountability standards or practices and controls to ensure accuracy	Limited accountability standards in place, performance-to-budget monitored periodically	2	
• Accrual basis accounting	Yes	3	
<i>Policies, Practices, and Procedures Average Score:</i>		8/3=	<b>2.66</b>
<b>Oversight</b>			
• Person responsible for daily fiscal management	Executive Director	Report	
• Is this person dedicated to fiscal management	No	1	
• Who is responsible for budget development	Executive Director	Report	
• Treasurer	Yes – Active Treasurer	3	
• Board oversight	Financial records are prepared and presented by Treasurer to the board at monthly meetings, board serves in an advisory role	Report	
• Annual review overseen by board	No	1	
• Form 990 provided to the Board of Directors	No	1	
<i>Oversight Average Score:</i>		6/4=	<b>1.5</b>
<b>Insurance</b>			
• Workers' Compensation	Yes	3	
• Business Auto Liability	Yes	3	
• Commercial/General Liability	Yes	3	
• Directors and Officers Liability	Yes	3	
• Professional Liability	No – no licensed staff	N/A	
<i>Insurance Average Score:</i>		12/4=	<b>3.0</b>
<b>Financial Management Capacity Score:</b>		<b>7.16/3=</b>	<b>2.38</b>

### 3. Human Resources: 1.0

	Response	Subheading Score	Category Score
<b>Employment Policies and Practices</b>			
• Written personnel policies	No – very limited vacation and leave policies only	1	
• Non-discrimination policy	No	1	
• Affirmative action plan	No	1	
• Workforce reflective of demographic served	No	1	
• Labor laws clearly posted	No	1	
• Criminal background checks on employees	No	1	
• Abuse and neglect checks	No	1	
• How often conducted	Not conducted	Report	
<i>Employment Policies and Practices Average Score:</i>		7/7=	<b>1.0</b>
<b>Staff Training and Development</b>			
• New employee orientation	No	1	
• Staff development plan	No	1	
• Leadership development plan	No	1	
• Succession plan	No	1	
• License and certification	N/A – no licensed staff	N/A	
<i>Staff Training and Development Average Score:</i>		4/4=	<b>1.0</b>
<b>Volunteers</b>			
• Screened and trained	No screening, background checks or training provided to volunteers	1	
• How are volunteers utilized	Serve as mentors and provide assistance for house meetings	Report	
<i>Volunteers Average Score:</i>		1/1=	<b>1.0</b>
<b><i>Human Resources Capacity Score:</i></b>		<b>3.0/3=</b>	<b>1.0</b>

#### 4. Information Management: 1.89

		Subheading Score	Category Score
<b>Policies and Procedures</b>			
• Retention and destruction policies	No	1	
• Funder requirements incorporated	No	1	
• Identify the records custodian	Executive Director	Report	
<i>Policies and Procedures Average Score:</i>		2/2=	<b>1.0</b>
<b>Data Management</b>			
• Client program and participation data	Yes	Report	
• Volunteer applications and records	No	Report	
• Personnel records	No	Report	
• Financial records	Yes	Report	
• Donor and contribution records	Yes	Report	
• Mailing list	No	Report	
• Workflow description	No	Report	
• Inventory of hardware and software	Yes	Report	
• Disaster readiness or recovery plan	No	Report	
<i>Data Collection Score:</i>		4 of 9 = Moderate	<b>2.0</b>
• Who has access to program data	Executive Director	3	
• Is program data backed-up	Yes	3	
• Validity and reliability	Moderate – The agency strives to ensure reliability and validity, but does not have extensive systems in place to meet need	2	
• Data retained in accordance with policy	No policy	1	
<i>Program Data Management Average Score:</i>		9/4=	<b>2.25</b>
<b>Confidentiality</b>			
• Confidentiality policies and procedures	Yes	3	
• Confidentiality agreement for:			
○ Employees	Yes – Reviewed by evaluator	3	
○ Volunteers	No	1	
○ Board members	Yes – Reviewed by evaluator	3	

• How often are they renewed	At employment or joining	Report	
• Regular trainings	No	1	
• 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	No	1	
<i>Confidentiality Average Score:</i>		19/9=	<b>2.11</b>
<b>Systems and Infrastructure</b>			
• Meets current and anticipated needs	No	1	
• Challenges	Need networked computers and single database for data tracking	Report	
• Upgrades in next two years	Yes, database and networking upgrade planned	Report	
• Off-site data storage	Yes	3	
• Data management software	None	Report	
• Network computer system	No	1	
• Network administrator on staff	No	1	
• Network back-up protocol	No	1	
• 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>		19/9=	<b>2.11</b>
<b><i>Information Systems Capacity Score:</i></b>		<b>9.47/5=</b>	<b>1.89</b>

## 5. Service Delivery: 2.12

	Response	Subheading Score	Category Score
<b>Program Services</b>			
• Most successful aspect of program(s)	In the field work experience for very hard to employ population	Report	
• Barriers	Program participants have very limited experience and it is very expensive to maintain the program	Report	
<b>Infrastructure</b>			
• Meet current and anticipated needs	Yes	3	
• Rate capacity for <ul style="list-style-type: none"> <li>○ Office building and meeting space</li> <li>○ Parking</li> <li>○ Storage</li> </ul>	Moderate High High	2 3 3	
<i>Infrastructure Average Score:</i>		11/4=	<b>2.75</b>
<b>Policies, Practices, and Procedure</b>			
• ADA compliance and documentation	No	1	
• Written non-discrimination in public accommodations	No	1	
• Fulfill staffing ratios	None required	N/A	
• Do you solicit feedback from participants	Anonymous client surveys done a few times per year, group meetings that solicit feedback	3	
• Customer grievance process	No	1	
<i>Policies, Practices, and Procedure Average Score:</i>		6/4=	<b>1.5</b>
<b><i>Service Delivery Capacity Score:</i></b>		<b>4.25/2=</b>	<b>2.12</b>

## 6. Performance Management: 1.83

	Response	Subheading Score	Capacity Score
<b>Performance Management</b>			
<ul style="list-style-type: none"> <li>• Barriers and challenges</li> </ul>	Very limited window of time to input data into AIMS to be considered reliable	Report	
<ul style="list-style-type: none"> <li>• Utilized to guide programming</li> </ul>	Helps agency to identify and meet needs of the participants, identify gaps, used for grant writing	3	
<ul style="list-style-type: none"> <li>• Consistent with other funders</li> </ul>	Yes	Report	
<ul style="list-style-type: none"> <li>• Communicated to board</li> </ul>	Limited information communicated to board	2	
<ul style="list-style-type: none"> <li>• Communicated to staff and volunteers</li> </ul>	No	1	
<ul style="list-style-type: none"> <li>• Rate systems for               <ul style="list-style-type: none"> <li>○ Monitoring performance</li> <li>○ Reporting performance</li> <li>○ Utilizing performance for evaluation and planning</li> </ul> </li> </ul>	<p>Moderate</p> <p>Moderate</p> <p>Low</p>	<p>2</p> <p>2</p> <p>1</p>	
<b><i>Performance Management Capacity Score:</i></b>		<b>11/6=</b>	<b>1.83</b>

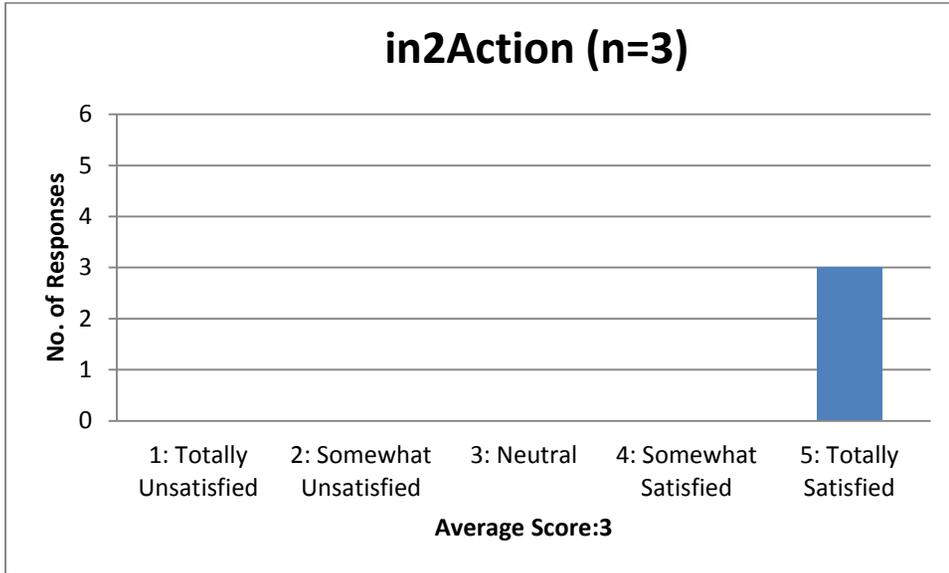
## 7. Program-Based Budgeting: 1.88

	Response	Subheading Score	Capacity Score
<b>Program-Based Budgeting</b>			
<ul style="list-style-type: none"> <li>Procedures for developing and monitoring program budgets</li> </ul>	Moderate – Agency has limited systems for developing program budgets, uses some past performance data for budget development	2	
<ul style="list-style-type: none"> <li>Does the process cover projected:               <ul style="list-style-type: none"> <li>Ongoing revenues and expenditures</li> <li>Occasional or special revenues and expenditures</li> <li>Capital expenditures</li> </ul> </li> </ul>	Yes – all included	3	
<ul style="list-style-type: none"> <li>Board members utilized</li> </ul>	Yes	3	
<ul style="list-style-type: none"> <li>Annual program budgets tied to annual operational plan</li> </ul>	No	1	
<ul style="list-style-type: none"> <li>Who is responsible for oversight</li> </ul>	Executive Director	Report	
<ul style="list-style-type: none"> <li>Rate systems for:               <ul style="list-style-type: none"> <li>Developing program budgets</li> <li>Assessing data to recognize trends</li> <li>Working with staff to understand budgets</li> <li>Working with board to understand budgets</li> <li>Accurately forecasting change in the budget</li> </ul> </li> </ul>	<p>High</p> <p>Low</p> <p>Low</p> <p>Moderate</p> <p>Low</p>	<p>3</p> <p>1</p> <p>1</p> <p>2</p> <p>1</p>	
<b>Program Based-budgeting Capacity Score:</b>		<b>17/9=</b>	<b>1.88</b>

**8. External Relationships: 3.0**

	Response	Subheading Score	Capacity Score
<b>External Relationships</b>			
• Collaboration	High- Agency has built 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		3	
a. Satisfaction		3	
b. Effectiveness			
c. Comments	See attached		
<b><i>External Relationships Capacity Score:</i></b>		<b>12/4=</b>	<b>3.0</b>

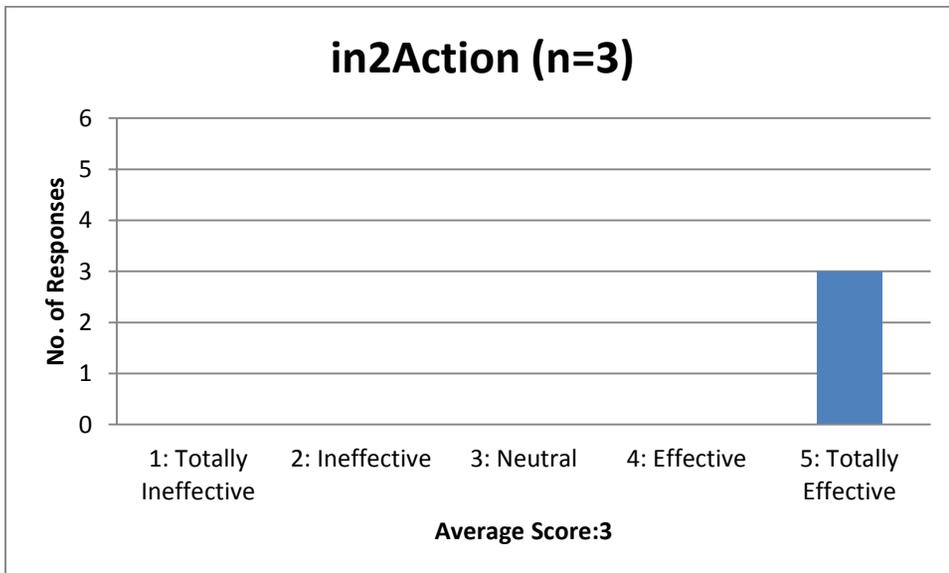
Please rate your overall satisfaction with your partnership with the agency.



**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:**

They are always available, attentive and professional, as well as trying many ways to help people transition back into this community.

In2Action is a really effective organization. They serve a hard to serve population that also improves our public safety.

We are very supportive of Dan Hanneken and this ministry's efforts in the lives of men coming out of prison, and support its mission wholeheartedly. If you need more information or have other questions, feel free to contact me.