

# Training & Orientation Tools for Public CAA Tripartite Boards

## Community Action Partnership of Utah Virtual Conference

Wednesday, June 24, 2020

**PRESENTED BY:**  
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[www.capl原因.org](http://www.capl原因.org)



**CAPLAW**  
Community Action Program Legal Services, Inc.

Legal and Financial Resources for Community Action

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CAPLAW provides legal and financial assistance for over 1,000 CAAs working nationally to reduce poverty, and revitalize and empower low-income communities and people to become self-sufficient.

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Under the Department of Homeland Security's recently proposed changes to the public charge rule, use of certain public benefits such as SNAP, Medicaid, and housing assistance would count as negative factors against legal immigrants when they apply for citizenship. The Community Action Partnership, NASCSP, and CAPLAW conducted a webinar discussing the proposed changes and potential

News for Community Action

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**How Will You Develop Your Emerging Leaders in 2019?**  
Presented by: The Bridgespan Group  
Date: Thursday, December 6, 2018  
Time: 3 PM EST

Weave leadership development into your organization's everyday activities with the 70/20/10 approach, an affordable but powerful way of building your employees' skills and capabilities through 70% on-the-job learning, 20% coaching

CAPLAW EVENTS

IMPLEMENTATION OF THE NEW GAAP FINANCIAL STATEMENT PRESENTATION STANDARD: MASTERING THE MOST DIFFICULT CHALLENGES

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2

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## CAPLAW Publications

Have questions about your organization's bylaws? Confused by Head Start regulations or preparing for an agency audit? CAPLAW has publications for all your organization's needs – order now and keep up-to-date on the issues that affect all Community Action Agencies!

**New!** All a-Board! The Purpose, People, and Process of CAA Boards

Introducing CAPLAW's new video series, All a-Board! The Purpose, People, and Process of CAA Boards. CAPLAW developed these 8-10 minute animated shorts to boost the capacity of community action agency (CAA) boards to recruit, engage, and fulfill their responsibilities. Whether you're a new CAA board member eager to orient yourself to the work of community action, an existing board member looking for clarity on your role and responsibilities, or a board chair planning to facilitate a training at the next board meeting, the All a-Board! series can serve as a starting point or a refresher.

[View the board training videos](#)

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### Crosswalk of the CSBG Organizational Standards and Head Start Performance Standards

Community Action Agencies (CAAs) that run Head Start programs are tasked with following two sets of different, yet overlapping requirements that apply to the funding they receive under the Community Services Block Grant (CSBG) Act and Head Start Act. To help CAAs understand this overlap, CAPLAW developed a crosswalk showing the connections between the CSBG Organizational Standards, published in [Information Memorandum \(IM\) 139](#), and the Head Start Program Performance Standards, located at [45 C.F.R. Parts 1301 through 1305](#). This crosswalk is intended to be a practical tool for CAAs, highlighting ways that board and staff members can leverage the intersection between the two sets of requirements to demonstrate compliance with the rules of both programs.

**New!** Four Implementation Tools for CSBG and Head Start Board Compliance

[View the Crosswalk](#)

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### Training & Orientation Tool for Tripartite Boards

These presentations were created in response to a need in the network for training and orientation materials that state Community Services Block Grant (CSBG) offices, state associations, and individual Community Action Agencies (CAAs) can use to educate their own boards and staff that work with the board on the board's vital role in the organization. One presentation is designed specifically for tripartite boards of nonprofit CAAs, and the other is for tripartite boards of public CAAs. Both presentations act as guides for those training or orientating board members on the board's responsibilities.

[View the Tool for Nonprofit CAAs](#)

**New!** [View the Tool for Public CAAs](#)

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### Developing a Board Training Strategy

This presentation was created to help the board of directors of a Community Action Agency (CAA), as well as individuals

3

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## Training & Orientation Tool for Public CAA Tripartite Boards **New!**

*Board Roles & Responsibilities: Public Community Action Agencies PowerPoint*  
*Free Publication!*

This presentation was created in response to a need in the network for training and orientation materials that state Community Services Block Grant (CSBG) offices, state associations, and individual Community Action Agencies (CAAs) can use to educate their own boards and staff that work with the board on the board's vital role in the organization. This presentation is specifically for tripartite boards of public CAAs and acts as a guide for those training or orientating board members on the board's responsibilities.

To download the publication, please tell us a little bit about yourself. Don't worry, we do not sell or exchange names. Learn more about our [site policy](#).

Name

E-mail

Organization

<https://caplaw.org/resources/PublicationDocuments/TrainingToolforPublicBoards.html>

4

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### Training & Orientation Tool for Public CAA Tripartite Boards

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The various ways we envision the Community Action network using the presentation include:

- Giving the presentation in its entirety;
- Presenting the slides in sections as noted on the webpage; and/or
- Augmenting an existing presentation with specific slides from this presentation.

Introduction to and Tips for Training and Orientation Tool for Public CAA Tripartite Boards

Download the Introduction

Board Roles & Responsibilities PowerPoint  
Download Full PowerPoint

Download by Individual Section

Brief Introductions

Legal Requirements Governing Tripartite Boards

A Few Points About Tripartite Board Operations

Role of the Tripartite Board

Key Responsibilities of the Tripartite Board (Full Section)

- Mission
- Planning
- Engagement
- Maintain and Grow Funds
- Performance
- Accountability

**CAPLAW Tools and Resources**

- CAPLAW Model Policies
- CAPLAW Publications
- CAPLAW Self Assessment Tools
- CAPLAW Training Modules
- Resources by Topic

**Resources by Topic**

- ARRA
- Community Action Networks
- Community Services Block Grant (CSBG)
- Data-Bacon
- Employment Law
- Financial Management
- Governance
- Grant Law
- Head Start
- Health Care Reform
- Lobbying and Political Activity
- Open Meetings and Public Records
- Pro Bono Legal Referrals
- Serving Diverse Populations
- Tax Law
- Weatherization Assistance Program (WAP)
- Other Topics of Interest

**Free to Members**  
Publications with a star symbol are free to CAPLAW members

5

## Board Roles & Responsibilities: Public Community Action Agencies

[Training]  
[Date]

PRESENTED BY:  
[Trainer Name]  
[Trainer Website or Email]  
[Trainer Phone Number]

[Trainer Logo]

### CSBG Org. Standard 5.8

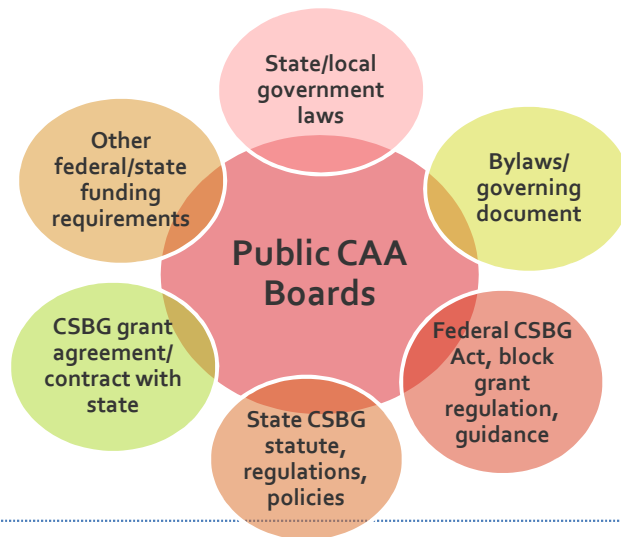
- Tripartite board/advisory body members have been provided with training on their duties and responsibilities within the past 2 years

## Agenda

- Legal Requirements Governing Tripartite Boards
- A Few Brief Points About How a Board of Directors Operates
- Role of the Tripartite Board
- Key Responsibilities of the Tripartite Board

## Legal Requirements Governing Tripartite Boards

## Legal Requirements



➔ **State/local government laws:** A public CAA is created under and generally governed by its local and state laws. While a public CAA is often a division or department of the local government, it may exist in other forms, such as a stand-alone entity formed pursuant to a local or state law and governed by two or more counties. All public CAAs share the common thread of being controlled and managed by one or more local governments. The local governing officials (e.g., the board of county commissioners, city council, board of selectmen, etc.) oversee the local government which includes the public CAA and its tripartite board.

**Bylaws:** Whether a public CAA tripartite board has a bylaws or some other form of governing document that establishes the framework for how the board will operate will depend on what the local laws require. Even if the local laws are silent, CAPLAW recommends that a public CAA adopt a form of bylaws or governing document that reflects the tripartite composition requirements, the authority of the board and how the board will operate (e.g., quorum and voting requirements, committee structure, officers, etc.)

**Federal CSBG Act, block grant regulations, guidance:** A public entity became a CAA when it applied for and received funds, initially under the Economic Opportunity Act, the precursor to the Community Service Block Grant (CSBG) Act. The U.S. Department of Health and Human Services (HHS) is the federal agency that oversees the CSBG program and passes rules (referred to as regulations) that apply to CSBG and other block grants. Additionally, the federal Office of Community Services (OCS) is a department in HHS's Administration for Children and Families division that directly manages the CSBG program and issues mostly nonbinding program guidance in the form of Information Memorandum (IMs).

**State CSBG statute, regulations and policies:** Because CSBG is a block grant, states have primary authority to manage and facilitate the funding and, in an effort to do so, some states pass their own CSBG statutes, regulations and policies.

**CSBG grant agreement/contract with state:** To receive CSBG funding, all CAAs enter into grant agreements or contracts with the state CSBG office, which will typically incorporate other applicable federal and state laws. For many public CAAs, the grant agreement will be between the local government that oversees the CAA and the state CSBG office.

**Other federal/state funding requirements:** CAAs receive funding from other federal and state sources which may include governance requirements that apply to the CAA's tripartite board.

Now, let's turn to talking a little bit more about why each of these requirements is important for tripartite boards to know and how they affect the way in which a tripartite board governs the organization.

➔ **Note to presenters:** the difference between a statute and a regulation: A federal "statute" is a law passed by U.S. Congress and a state "statute" is a law passed by the state legislature. Statutes will often include language in them that grant authority to a federal administrative agency (if it's a federal statute) or state administrative agency (if it's state statute) to issue "regulations" that fill in the details of how to apply or implement a statute, and help flesh out compliance with the statute. For example, the federal CSBG Act authorizes the federal Department of Health and Human Services (HHS) to issue regulations to help flesh out the administration of block grants. Because of the nature of a block grant (i.e., that the state generally facilitates the funding), the HHS block grant regulations at 45 C.F.R. Part 96 are very bare bones and give deference to the states as the grantee and facilitator of the CSBG funding.

10
11

## State/Local Government Laws

- **The authority of a tripartite board to take action on behalf of a public CAA is established by the federal CSBG Act. True or False**
- **Authority of a public CAA tripartite board is often established by:**
  - Local governing officials of local gov't where public CAA is a dept/division
  - Local state/laws under which public CAA created

12

## Bylaws

- While not always required, bylaws or a similar governing document serve as a useful operational guide for public CAA tripartite boards. **True** or False
- Bylaws establish the ways the tripartite board will operate and may describe its authority to act
- Bylaws typically reflect funding source requirements
  - Ex., CSBG tripartite board composition and responsibilities; Head Start board composition, responsibilities and conflicts of interest requirements

13

## Federal CSBG Act

- A public CAA may choose whether to use the tripartite structure as set forth in the federal CSBG Act for its board. True or **False**

1/3 elected or appointed public officials

At least 1/3 low-income reps

Remainder individual or group from private sector

- Requires tripartite board to “actively participate” in the development, planning, implementation and evaluation.

42 U.S.C. § 9910(b)

14

# Tripartite Composition Resources

[www.caplav.org](http://www.caplav.org)

The collage features three documents from CAPLAW.org:

- CAA Leaders' LEGAL GUIDE:** A publication by CAPLAW and the Community Action Partnership. The visible page is Chapter Two: Community Services Block Grant, featuring a Table of Contents with sections A through E, including History, Overview of Laws and Guidance, Allocation and Use of Funds, and Tripartite Boards.
- COMMUNITY SERVICES BLOCK GRANT:** A document titled 'Training Tools for NONPROFIT BOARDS' with an 'Introduction' section. The introduction states that the tool focuses on CSBG requirements for tripartite board composition and selection, divided into four parts: 1. General tripartite board composition and selection information, 2. Public official sector, 3. Low-income representative sector, and 4. Private sector.
- Raising the Low-Income Voice:** A document titled 'Case Studies in Democratic Selection Procedures'. It includes an 'INTRODUCTION' and a 'TABLE OF CONTENTS' listing four case studies: Case Study 1 (Sik Lake Community Action Program), Case Study 2 (Southeastern Idaho Community Action Agency), Case Study 3 (Community Action, Inc.), and Case Study 4 (United Planning Organization).

## OCS Guidance

- **Guidance issued by the federal Office of Community Services (OCS) in the form of Information Memoranda (IMs) may create new legal requirements that are automatically binding on CAAs. True or False**
- **OCS IM 82 provides guidance to tripartite boards regarding:**
  - Composition requirements
  - Role and responsibilities



## State CSBG Act and Regulations

- **CAAs must maintain compliance with state CSBG statutes and regulations, if they exist.**  
**True** or False
- **May contain board requirements**
  - Example, terms and/or term limits
- **CSBG Organizational Standards**
  - Standards from OCS IM #138
  - Utah assesses compliance every fiscal year
  - Application tailored to a public CAA to account for its unique structure

| 17

## A Few Brief Points About How a Board of Directors Operates

| 18

## Board Operations Scenario One

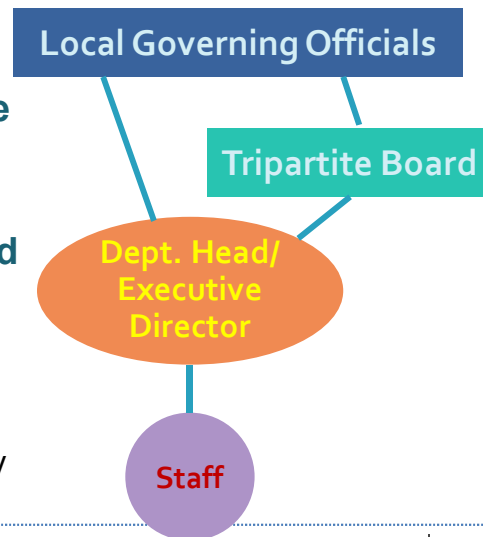
Tonya is new to the tripartite board and really excited to start making a contribution. She previously served on nonprofit boards but never on a board for a government agency – she didn't even know they existed!

She is confused by why the board is always voting to make recommendations to the city council, but not voting to take actions itself. She is wondering if the board is operating properly.

**Any advice for Tonya?**

## Operation Framework

- **Local governing officials establish authority of tripartite board**
- **Delegation of authority established by:**
  - Ordinances
  - Bylaws
  - Delegation of Authority Agreement



## Operation Framework

- **REMEMBER: For the public CAA to receive CSBG funding:**
  - The tripartite board must “**participate actively**” in the development, planning, implementation and evaluation of the CSBG program.

*42 U.S.C. § 9910(b)(1)(C)*

21

## Board Committees Exercise

- A. It is a best practice for most board decisions to be made in a committee and reported to full board. True or **False**
- B. Boards may use both standing and ad hoc committees. **True** or False
- C. Committees that solely make recommendations do not need to take minutes or record meetings. True or **False**

22

## Role of Tripartite Board

23

## Duty of Care

- **Generally, not a requirement but serves as an informative guide**
  - Check local laws
- **Diligent**
  - Acting with the care of a prudent person in similar circumstances
  - Asking hard questions
  - Reading materials
  - Deliberating the decision

24

## Role of Tripartite Board Scenario

The board is considering whether to begin an afterschool college prep program. Its board chair asks board members, Larry, Marsha, and Devon to review the staff's preliminary research and make a recommendation to the full board on the program's potential impact and financial viability.

As a committee, they examine proposed budgets, a needs assessment, staffing and training requirements, and survey data from CAAs with similar programs. They question staff and then prepare a 10-page report for the full board, recommending the program. At its next meeting, following a 90-minute discussion, the board unanimously votes to fund the program.

Unfortunately, after a year, the program is much more expensive than the initial projections and youth participation lower than expected. The board has no choice; it must end the program.

25

## Duty of Care Scenario

### ▪ Did the board fulfill its duty of care? Why or why not?

#### – Board committee tasks

- Review mission
- Review needs assessment
- Examine proposed budgets
- Assess staffing and training requirements
- Collect data from others with similar programs
- Question staff
- Prepare report for the full board, with a recommendation

#### – Full board:

- Engage in discussion prior to vote

26

## Duty of Loyalty

- **Generally, not a requirement but serves as an informative guide**
  - Check local laws
  - Local government may require conflict of interest policies
- **Faithful to CAA**
  - Act in good faith and in the best interests of CAA
  - Disclose and avoid conflicts of interest
  - Not engage in self-dealing

27

## Duty of Loyalty Scenarios

- **Do any of these board members have actual or perceived conflicts of interest? Why or why not?**
  - A. An elected public official board member votes to support only programs that benefit the constituents he represents, which make up 1/3 of the CAA's service area.
  - B. A private sector board member's neighbor is a real estate agent and has offered to help the CAA find a building for its direct services for a reduced fee.
  - C. A low-income representative sits on the board of another social service provider that sometimes competes for the same grants the CAA is seeking.

28

## Duty of Loyalty

- **Conflicts of interest policy**
  - Protects CAA
- **Applicable requirements**
  - Funding source requirements
    - Examples: CSBG Organizational Standard 5.6, Head Start Act prohibited financial conflict of interest, Office of Management and Budget (OMB) Uniform Guidance

## Who Does What Around Here?

### FILL IN THE ACTION

| Role   | Board of Directors                                | Executive Director        |
|--|---|---------------------------|
| Policy<br>Action: establish, execute   | Establishes                                       | Executes                  |
| Mission<br>Action: set, accomplish, review, update                                 | Sets, Reviews, Updates                            | Accomplishes              |
| Performance<br>Action: sets targets, evaluates, updates, executes, accountable for | Sets targets, Evaluates, Updates. Accountable for | Executes, Accountable for |
| Employees<br>Action: supervise executive director, supervise staff                 | Supervise executive director                      | Supervise staff           |

## Key Responsibilities of the Tripartite Board

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31

## Key Board Responsibilities

|                         |             |                |
|-------------------------|-------------|----------------|
| Mission                 | Planning    | Engagement     |
| Maintain and Grow Funds | Performance | Accountability |

---

32



# Public CAA Case Study: Power of a Tripartite Board

## PUBLIC CAA CASE STUDY



### The Power of a Tripartite Board

September 2016

#### INTRODUCTION: The Board's Role in the CSBG Organizational Standards

This case study focuses on how the tripartite board of a public Community Action Agency (CAA) fulfills its responsibilities with respect to the Community Services Block Grant (CSBG) Organizational Standards set forth in the federal Office of Community Services' (OCS) Information Memorandum (IM) No. 138. Because a public CAA and its tripartite board are usually operating under the auspices of an established local government framework, the applicability of the CSBG Organizational Standards (Standards) is markedly different from their applicability to a nonprofit CAA.

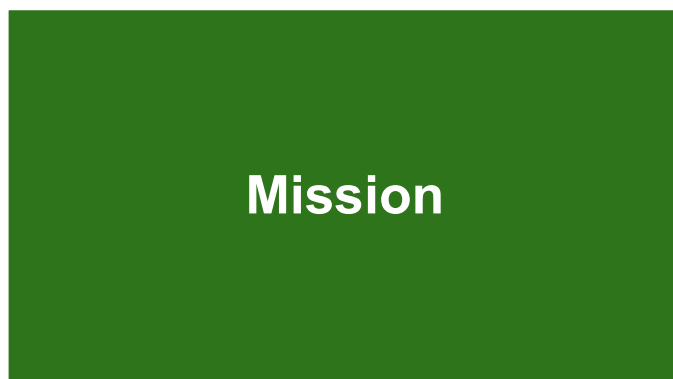
While the federal CSBG Act requires the board to "participate actively in the development, planning, implementation and evaluation" of Community Action programs, the reality of how to fulfill this role in an impactful way is not always clear. A public CAA tripartite board often perceives its ability to act on behalf of the public CAA as limited by the level of authority delegated to it by the local governing body. Even though establishing a delegation of authority arrangement is necessary and important, doing so does not lessen the impact and role the board plays. As you will see in this case study, defining and establishing the role of your public CAA tripartite board helps to foster a positive relationship between the board and the local governing officials and results in more engaged and effective board members.

After spending time speaking with representatives of Montgomery County Community Action Agency (MCCAA), a public CAA in Maryland, we were impressed by the ways in which its tripartite board helps the CAA achieve compliance with the Standards. Two key characteristics stand out with MCCAA's board – they understand the vital role they play and they embrace that role. Even though MCCAA's delegation of authority arrangement does not often place the tripartite board in a decision-making position, the board continually manages to effect change. This case study highlights many of the ways in which the board does so. The board not only takes very seriously the recommendations it is asked to make but it is also constantly advocating on behalf of MCCAA and the low-income community. A few of the ways in which the board fulfills its responsibilities include: developing and implementing initiatives to engage the community served; regularly meeting with local government officials; participating in county-wide hearings and meetings; and collaborating with other county groups to ensure the community's needs are met.



MCCAA acknowledges that it is not yet 100% in compliance with the Standards but the ongoing efforts of its tripartite board to reach that goal are inspiring and, we hope, informative, especially for those public CAA tripartite boards that are struggling with challenges related to compliance with the Standards. Throughout the case study, we identify Standards that we believe MCCAA's tripartite board is either addressing or attempting to address through its actions. Our goal with this case study is not to identify all of the Standards that may be met through the board's efforts; but rather, to highlight key characteristics of the board that contribute to its effectiveness and compliance with CSBG Organizational Standards.

# Key Board Responsibility



## Know Your Mission Exercise

1. **Write down your organization's mission**
  - If you don't know it exactly, write down the gist
2. **Briefly describe 3 ways in which your board works with your organization's mission**
  - For example, we discuss it in relation to new proposals or recite it at every meeting
3. **Think about 1 way in which your board could better incorporate the CAA's mission in its board meetings and activities**

35

## Why Mission Matters

- **Why mission matters:**
  - Provide clarity of purpose to stakeholders
  - Guide major decisions
  - Prevent “mission creep”
  
- **Why do you think mission matters?**

36

## CSBG Organizational Standards

### Mission

#### CSBG Org. Standard 4.1:

- Tripartite board/advisory body has reviewed the department's mission statement within the past 5 years and assured that: (1) the mission addresses poverty; and (2) the CSBG programs and services are in alignment with the mission

#### CSBG Org. Standard 3.1:

- Department has conducted a community assessment and issued a report within the past 3 years

#### CSBG Org. Standard 3.5:

- Tripartite board/advisory body formally accepts the completed community assessment.

37

## Key Board Responsibility

Planning

38

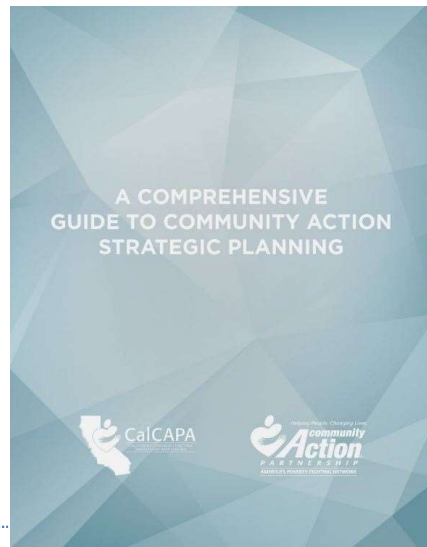
## Planning Exercise

- Name at least one of each of the following in relation to your CAA:
  - **S**trength
  - **W**eakness
  - **O**ppportunity
  - **T**hreat

## Planning Under CSBG



## Development of Strategic Plan



Community Action Partnership & CalCAPA resource available at: [https://communityactionpartnership.com/publication\\_toolkit/a-comprehensive-guide-to-community-action-strategic-planning-final-5/](https://communityactionpartnership.com/publication_toolkit/a-comprehensive-guide-to-community-action-strategic-planning-final-5/)

## CSBG Organizational Standards Planning

### CSBG Org. Standard 6.1:

- Department has a strategic plan in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years.

### CSBG Org. Standard 3.1:

- The department conducted a community assessment and issued a report within the past 3 years.

### CSBG Org. Standard 3.5:

- The tripartite board/advisory body formally accepts the completed community assessment.

## Engage in Planning

- **Approaches to help the tripartite board meet its planning and strategy development obligations:**
  - Form a planning/strategy committee
  - Uses the strategic plan to frame board discussions
  - Use a strategic agenda

43

## Strategic Agendas

- **Strike a balance between “routine” agenda items (e.g., contract approvals etc.) and strategy discussions**
- **How will agenda items and information provided to board members help tripartite board:**
  - Connect with the CAA’s mission?
  - Enhance board functioning?
  - Provide oversight?
  - Identify and make decisions on key issues?

## Consent Agendas

- **Used for routine, procedural, informational, and self-explanatory non-controversial items**
- **Helps streamline meetings**
- **If using, be sure to educate board members on:**
  - Purpose , i.e., not used to force through decisions
  - Process, i.e., allows for removal of item upon request



### Compare Traditional and Strategic Board Agendas

#### Traditional Board Agenda

1. Welcome and approve minutes of last meeting
2. Executive Director's Report  
Verbal report on web site redesign update
3. Finance Committee Report  
Circulation of quarterly financial statements. Treasurer or Finance Committee Chair points out a few variations between budget and actual, which are briefly discussed. Asks for a motion to approve change of signature authority on bank forms due to change in officers.
4. Nominating Committee Report Update on new candidates and who has had lunch with whom to cultivate relationships
5. Program Committee Report  
Chair of Program Committee asks staff to provide a 10 minute verbal report on various programs that are being implemented to increase the community's awareness of the agency's programs and services. Discussion is curtailed because time is running out.
6. Fundraising Committee Report Update on plans for Gala and reminder to purchase tickets
7. New Business?
8. Adjourn  
Meeting lasts two hours

#### Strategic Agenda

1. Welcome and Opening Thoughts  
(Different board members offer opening thoughts each meeting)
2. Consent Agenda  
Approval of minutes of last meeting, and acceptance of items listed on consent agenda; previously circulated written report from ED on web site redesign; dashboard of revenue/expenses from Finance Committee; ACTION: approve change of signature authority on bank forms; Accept reports on board member prospects from Board Development Committee and from Fundraising Committee.
3. Discussion of Strategic Initiative #1 Expand Community Awareness  
Full board discussion facilitated by board chair. Are goals being met? What are board members hearing in the community? What are the barriers? What other avenues could be used to increase awareness? Consensus is to convene a communications task force to recommend how web site, annual report, and partnerships with other agencies can expand awareness.
4. What's keeping you up at night? (Use this brainstorming session to develop future issues for board attention.)
5. Adjourn  
Meeting lasts one hour  
Outcome: rich discussion on a strategic priority for the organization.

## Key Board Responsibility



Engagement

47

## Engagement Scenario

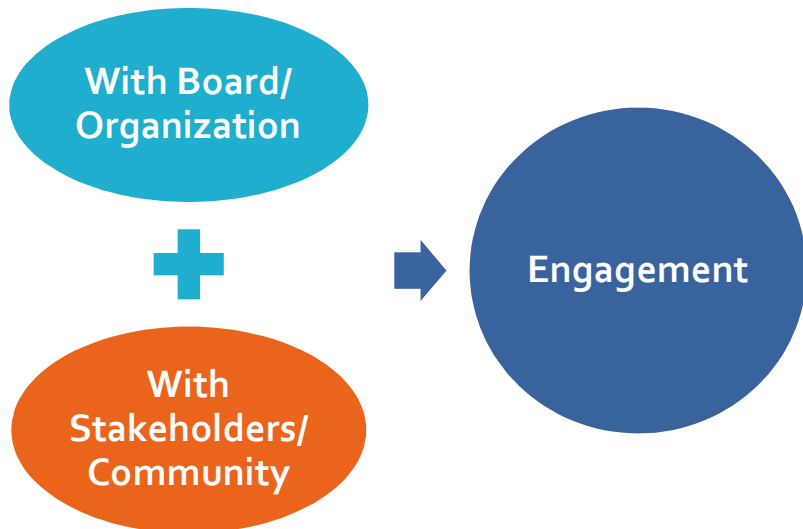
Jack, a recently retired school superintendent, joined the CAA board 10 years ago and continually gets re-elected to the private sector. He assumes he is on the board because the CAA operates a Head Start program. He is tired of attending community gatherings and interacting regularly with others – he did it for over 30 years with his school job. He likes his fellow board members and makes a real effort to attend board meetings focused on early education matters, but doesn't worry if he can't make other meetings.

**Is Jack an engaged board member? Why or why not?**

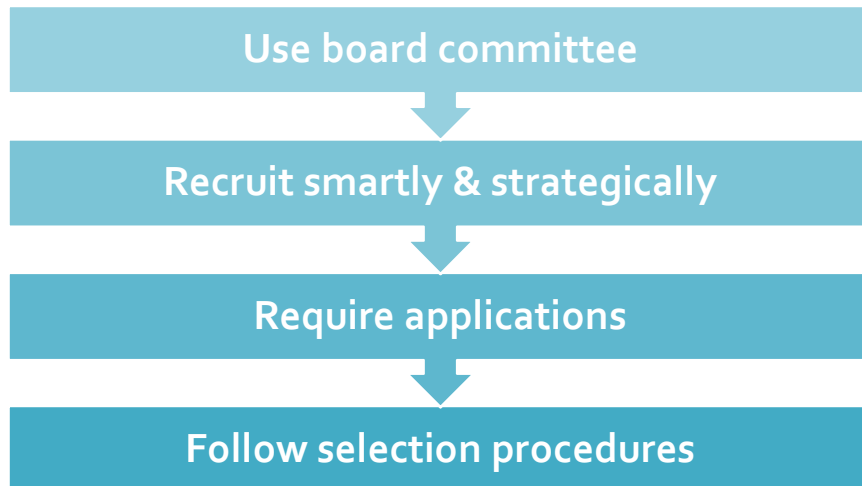
48



## Internal and External Responsibilities



## Board Selection Procedure



# Recruitment Matrices

## Board Source & CAPLAW

### BOARD RECRUITMENT MATRIX

This matrix can be adapted to assist your organization's recruitment efforts by assessing your current board and identifying opportunities to diversify and/or expand your board. Every organization is different. Use the table below to help distinguish the skills and strengths you are looking for depending on your organization's stage of development, community served, and other circumstances. In considering board building, an organization is legally obligated to follow its bylaws, which may include board size, structure, and composition. Keep in mind that your organization's bylaws may need to acknowledge changes in the environment and community that have made board structure changes necessary.

| AREAS OF EXPERTISE/LEADERSHIP QUALITIES    | NUMBER CURRENT MEMBERS |
|--|------------------------|
| Administrative/management                  |                        |
| Business development                       |                        |
| Community relations                        |                        |
| Finance                                    |                        |
| Health care                                |                        |
| Human resources                            |                        |
| Information technology                     |                        |
| Intergovernmental relations                |                        |
| Legal                                      |                        |
| Marketing                                  |                        |
| Media relations                            |                        |
| Nonprofit management                       |                        |
| Public relations                           |                        |
| Real estate                                |                        |
| Research                                   |                        |
| Strategic planning                         |                        |
| Systemic change/organizational development |                        |
| Training                                   |                        |
| Writing                                    |                        |
| Other                                      |                        |

| Board Members | Sector | Diversity | Skill/Experience/Expertise   | Access/Connections  | Years on Board | Term Exp. | Committee | Office    |
|---------------|--------|-----------|--|---|----------------|-----------|-----------|-----------|
| 1. Jane Doe   | Public | Hispanic  | Public Administration<br>Community Development<br>Organizational Management<br>Human Resources Management<br>Event Planning & Development<br>Finance | Nonprofit Leadership<br>Business/Corporate<br>Community<br>Government Connections | 1              | 9/1/13    | Personnel | Secretary |
| 2.            |        |           |  |   |                |           |           |           |
| 3.            |        |           |  |   |                |           |           |           |
| 4.            |        |           |  |   |                |           |           |           |
| 5.            |        |           |  |   |                |           |           |           |

[http://www.caplaw.org/resources/SelfAssessmentDocuments/CAPLAW\\_BoardComposition%20Matrix\\_April2012.xls](http://www.caplaw.org/resources/SelfAssessmentDocuments/CAPLAW_BoardComposition%20Matrix_April2012.xls)

<https://boardsource.org/board-recruitment-matrix/>



### Video: All a-Board! The Purpose, People, and Process of CAA Boards

**Free Video Series!**  
Introducing CAPLAW's new video series, **All a-Board! The Purpose, People, and Process of CAA Boards**. CAPLAW developed these 8-10 minute animated shorts to boost the capacity of community action agency (CAA) boards to recruit, engage, and fulfill their responsibilities.

Whether you're a new CAA board member eager to orient yourself to the work of community action, an existing board member looking for clarity on your role and responsibilities, or a board chair planning to facilitate a training at the next board meeting, the All a-Board! series can serve as a starting point or a refresher. As standalone resources, the videos offer frameworks and hypotheticals based on real-life board situations to help directors understand key aspects of CAA board service. They also complement CAPLAW's existing resources, highlighting important issues that board members can learn more about in our other publications.

These brief videos can be viewed by board members on their own at each board member's convenience, or as a group as part of a full board training or series of short board trainings at the beginning of each board meeting. However they're consumed, CAAs may use these videos to help meet CSBG Organizational Standards 5.7 and 5.8, which call upon organizations to conduct board orientations and ongoing board trainings.

These initial three videos offer an overview of why CAA tripartite boards exist, the reasons people serve, and how effective boards operate. The videos also review specific legal and governance issues that impact CAA boards, and present practical guidance to help board members navigate board service.

And stay tuned for more! CAPLAW plans to release additional short board videos as part of the All a-Board! series.

**1. Purpose: Why are you here?**  
Explore the reasons why people become CAA board members, including what it means to be a board member who is Capable, Accountable, Representative, and Engaged (C.A.R.E.) in the context of community action.

[Stream](#)

**2. People: How do you get the right people on the board?**  
Learn how to effectively recruit and engage the right people to serve on your CAA's board – it's all in the N.A.M.E. It's about the board's Needs, a potential board member's Attributes, the organization's Mission, and communicating Expectations.

[Stream](#)

**3. Process: Who says what goes?**  
Tonya is a new CAA board member who has just received a whistleblower complaint from a CAA employee. Follow her journey as she discovers the key aspects of a CAA's board operations—how the board communicates and makes decisions, the board's role in developing organizational policies, and the framework governing board actions.

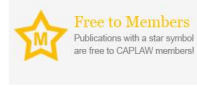
Google Custom Search

#### CAPLAW Tools and Resources

- [CAPLAW Model Policies](#)
- [CAPLAW Publications](#)
- [CAPLAW Self Assessment Tools](#)
- [CAPLAW Training Modules](#)
- [Resources by Topic](#)

#### Resources by Topic

- [ARBA](#)
- [Community Action Networks](#)
- [Community Services Block Grant \(CSBG\)](#)
- [Davis-Bacon](#)
- [Employment Law](#)
- [Financial Management](#)
- [Governance](#)
- [Grant Law](#)
- [Head Start](#)
- [Health Care Reform](#)
- [Lobbying and Political Activity](#)
- [Open Meetings and Public Records](#)
- [Pro Bono Legal Referrals](#)
- [Serving Diverse Populations](#)
- [Tax Law](#)
- [Weatherization Assistance Program \(WAP\)](#)
- [Other Topics of Interest](#)



## CSBG Organizational Standards

### Board Orientation and Training

#### CSBG Org. Standard 5.7

- Department has a process to provide a structured orientation for tripartite board/advisory body members within 6 months of being seated.

#### CSBG Org. Standard 5.8

- Tripartite board/advisor body members have been provided with training on their duties and responsibilities within the past 2 years.

53

## Training & Orientation Exercise

### What Would You Do?

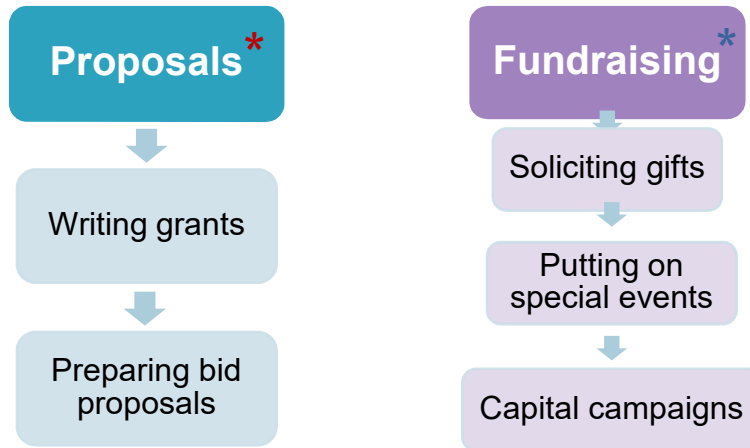
- **List the five most pressing topics for a board member orientation.**
- **List the five topics that you think are essential to be covered in board trainings.**
- **List three methods for providing training to the board.**

54

## Key Board Responsibility

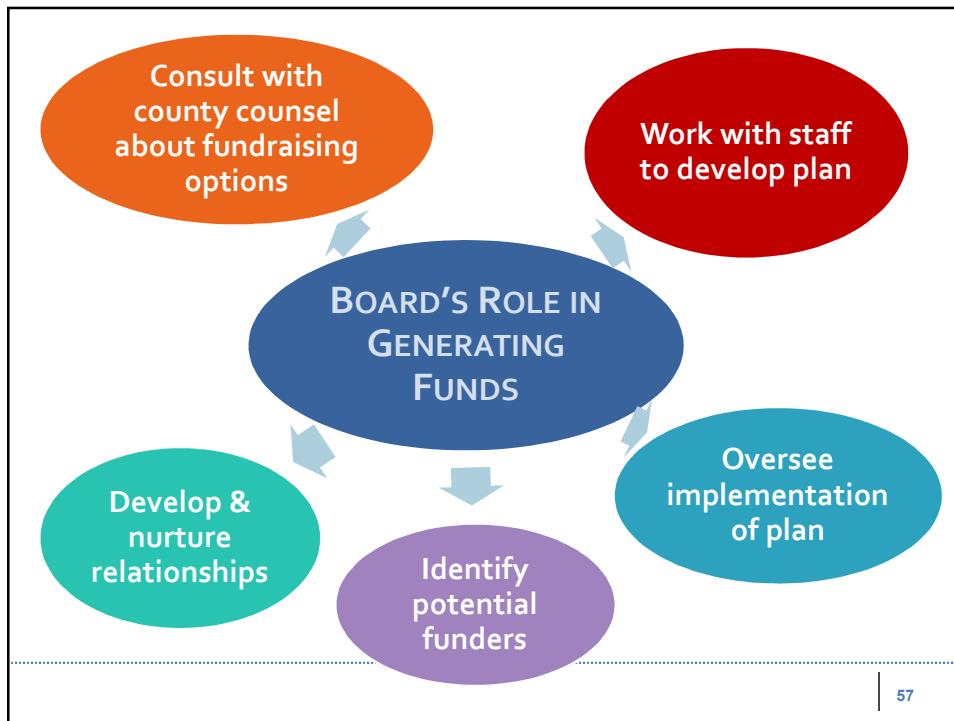
Maintain and Grow  
Funding

## Two Main Ways CAAs Generate Funds



\* Executive director/dept. head and staff

\* Board, executive director/ dept. head and county counsel



## Key Board Responsibility

Strategic & Programmatic Performance

58

## Program Performance Exercise

- **List 3 reasons why a tripartite board should have a framework in place for reviewing the performance of the CAA's programs.**
  1. Community Services Block Grant organizational standards require it.
  2. **ALL** funders expect organizations to demonstrate how programs and services are making an impact.
  3. It is the best way for the organization to know what's working and what's not.

## Regular Strategic and Programmatic Reviews

**5-Year Review**  
(Strategic)

**Annual Review**  
(Milestone /  
Programmatic/  
Strategic)

**Review at Every  
Board Meeting**  
(Milestone /  
Programmatic)

## CSBG Organizational Standards Strategic and Program Performance

### CSBG Org. Standard 6.1

- Department has a strategic plan in place that has been reviewed and accepted by the tripartite board within the past 5 years.

### CSBG Org. Standard 6.5

- Tripartite board/advisory body has received update(s) on progress meeting the goals of the strategic plan within the past 12 months.

### CSBG Org. Standard 5.9

- Department's tripartite board/advisory body receives programmatic reports at each regular meeting.

61

## Key Board Responsibility

Accountability

62

## Financial Oversight Quiz

1. Because a public CAA is often a division or department of the local government, the tripartite board has no real influence over the CAA's budget. True or **False**
2. The tripartite board should work closely with local governing officials to ensure it receives the financial reports for the programs it oversees as permitted by local government procedures. **True** or False

## Oversee Financial Standing

- 1 • Receive financial reports at regular meetings
- 2 • Provide input on annual budget
- 3 • Develop dashboards
- 4 • Receive notification of audit and any CSBG findings



## CSBG Organizational Standards Financial Oversight

### CSBG Org. Standard 8.7

- The tripartite board/advisory body receives financial reports at each regular meeting, for those programs the body advises, as allowed by local government procedure.

### CSBG Org. Standard 8.9

- The tripartite board/advisory body has input as allowed by local governmental procedure into the CSBG budget process.

## Developing a Culture of Compliance



Exemplary Legal Practices and Policies Guidebook, Part I: Do the Right Thing:  
How to Cultivate a Culture of Compliance and High Ethical Standards  
<http://caplaw.org/resources/PublicationDocuments/DotheRightThing.html>

**Questions?**