

Training & Orientation Tool for Nonprofit CAA Tripartite Boards

Community Action Partnership of Utah Virtual Conference

Wednesday, June 24, 2020

PRESENTED BY:

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Community Action Program Legal Services

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www.caplaw.org

CAPLAW

NONPROFIT CAA BOARD TRAINING TOOL

CSBG Organizational Standard 5.8

Private

Governing board members have been provided with training on their duties and responsibilities within the past 2 years.

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The screenshot shows the CAPLAW website homepage. The header features the CAPLAW logo and the tagline "Legal and Financial Resources for Community Action". A navigation menu includes links for HOME, ABOUT CAPLAW, RESOURCES, TRAININGS, ATTORNEY NETWORK, and CONTACT US. The main content area is divided into several sections: a featured article about legal assistance for 1,000 CAAs, a "RESOURCES BY TOPIC" sidebar with categories like PUBLICATIONS, TRAINING MODULES, MODEL POLICIES, and SELF ASSESSMENT, and a "CAPLAW EVENTS" section. The events section highlights a webinar titled "IMPLEMENTATION OF THE NEW IASB FINANCIAL STATEMENT PRESENTATION STANDARD: MASTERING THE MOST DIFFICULT CHALLENGES" presented by The Bridgespan Group on December 6, 2018. Below the events section, there are two columns: "What's New at CAPLAW?" and "News for Community Action". The "What's New" section discusses proposed changes to the public charge rule, and the "News" section lists free upcoming webinars, including "How Will You Develop Your Emerging Leaders in 2019?".

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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](#)

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 \(IM\) 138](#), 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](#)

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](#)

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

CAPLAW Tools and Resources

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

Resources by Topic

- [ARRA](#)
- [Community Action Network](#)
- [Community Services Block Grant \(CSBG\)](#)
- [Davis-Bacon](#)
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Training & Orientation Tool for Nonprofit CAA Tripartite Boards

Board Roles & Responsibilities: Nonprofit Community Action Agencies PowerPoint

Free Publication!

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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

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

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Board Roles & Responsibilities for Nonprofit Community Action Agencies

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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 Nonprofit 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 Brief Points About How a Board of Directors Operates](#)

[Role of the Tripartite Board](#)

Key Responsibilities of the Tripartite Board (Full Section)

- [Mission](#)
- [Planning](#)
- [Engagement](#)
- [Generating Funds](#)
- [Performance](#)
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Introduction to and Tips when Presenting:
Board Roles & Responsibilities: Nonprofit Community Action Agencies

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All of the slides include quizzes and scenarios and are all annotated in the notes section of the PowerPoint. The annotation provides the presenter with an understanding of the information that CAPLAW strives to convey when presenting on the topic addressed in the slide. The various ways we envision the Community Action network using the presentation include:

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The slides do not include all of the information that is important for tripartite boards to know. The slides are only intended to acknowledge and address the information that most tripartite boards will be tasked with overseeing. Every CAA is different and the way in which your CAA operates and the programs it runs will likely affect the information that is highlighted and included in a board roles and responsibilities orientation or training.

Tips
 Here are a few points to think about when working with the presentation:

- We intend for CAAs to use the PowerPoint in ways that will be most responsive to and effective for a particular CAA, state association or state CSBG office. Depending on the training and educational needs, the presenter may use all or some of the slides and may present the slides in an order that makes the most sense for the training. On the webpage, we make the slides available as a full presentation or via sections to help presenters recognize the flexibility we tried to build into this resource;

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Board Roles & Responsibilities: Nonprofit Community Action Agencies



[Training]
[Date]

PRESENTED BY:

[Trainer Name]

[Trainer Website or Email]

[Trainer Phone Number]

[Trainer Logo]

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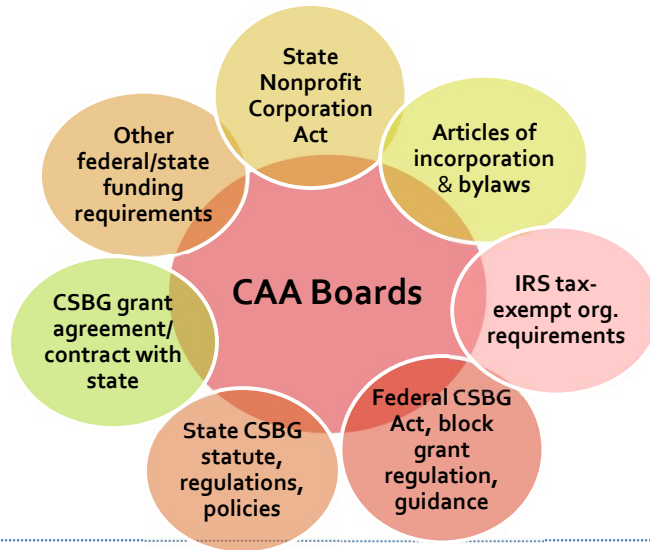
Agenda

- 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

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Legal Requirements Governing Tripartite Boards

Legal Requirements





State Nonprofit Corporation Act and Articles of Incorporation & Bylaws: Your CAA began by being formed as a nonprofit corporation under the state's nonprofit corporation act. As is required by the act, the organization filed articles of incorporation (or articles of organization) with the state and developed a set of bylaws to establish a framework for how the board will operate. Even though many CAAs were formed in the 1960s, the state's nonprofit corporation act continues to apply and may have undergone amendment since then. Thus, it is important that your CAA understand the state nonprofit corporation act's current requirements, or work with an attorney who has experience working with nonprofit organizations in your state.

Internal Revenue Services Tax-exempt Organization Requirements: Most nonprofit CAAs received their tax-exempt status under the federal Internal Revenue Code (IRC) around the same time they were formed as a nonprofit. The IRC basically exempts a nonprofit from paying federal taxes so long as the nonprofit is engaged in activities that further its charitable purposes. A nonprofit CAA's mission typically reflects with greater specificity the CAA's charitable purposes.

Federal CSBG Act, block grant regulations, guidance: The nonprofit corporation 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 passed 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 (reg) and policies.

CSBG grant agreement/contract with state: To receive CSBG funding, CAAs enter into grant agreements or contracts with the state CSBG office, which will typically incorporate other applicable federal and state laws.

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 board.

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

Note to presenter: 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 grants authority to a federal agency (if it's a federal statute) or state agency (if it is state statute) to issue additional rules to help flesh out compliance. 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.

State Nonprofit Corporation Act

- Generally, sets minimum standards of compliance and “default rules.” **True or False**
 - For example, may establish vote requirements for certain actions; removal provisions; committee composition requirements, etc.
- Articles filed and bylaws created pursuant to the Act
 - If provisions of articles or bylaws are not consistent with the Act, then they will have no legal effect

Federal CSBG Act

- The tripartite board composition is a suggested practice and not required by the federal CSBG Act. True or **False**



- Requires tripartite board to be fully engaged in the **development, planning, implementation and evaluation.**

42 U.S.C. § 9910

Tripartite Composition Resources

www.caplaw.org

This block contains three resource thumbnails. On the left is the "CAA Leaders' LEGAL GUIDE" with a table of contents for Chapter Two: Community Services Block Grant. The table of contents lists sections A through F, with section F, "Tripartite Boards", circled in red. In the center is a "Training Tools for Nonprofit Boards" graphic. On the right is a "Raising the Low-Income Voice" graphic with a table of contents listing case studies.

A Few Brief Points About How a Board of Directors Operates

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Board Operations Scenario Two

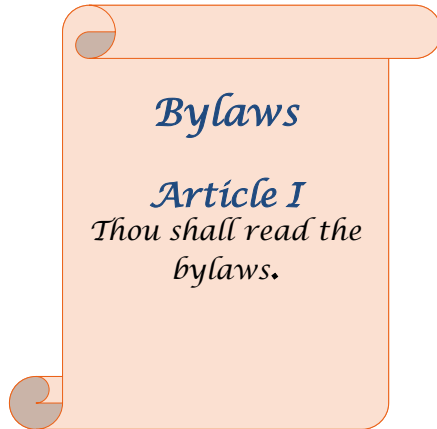
Tony has been on the board for two years and L♥VES it! His fellow board members are very personable and friendly but Tony is continually confused about the vote that is required to take actions as well as the number of meetings board members are required to attend.

What should Tony do?

What should the Executive Director do?

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Board Operational Guide



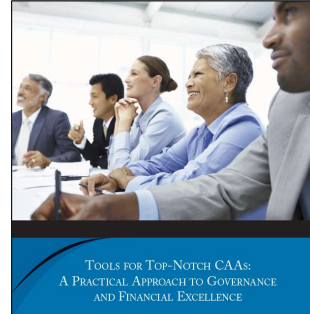
- **Bylaws serve as an organization's operational guide**
- **See bylaws for information about:**
 - Board member composition
 - Meeting frequency, notice
 - Officers
 - Committees
 - Votes, quorum
 - **And more. . . .**

Role of Tripartite Board

Fiduciary Duties

NONPROFIT BOARD MEMBERS

- **Duty of Care – Diligent**
 - Acting with the care of a prudent person in similar circumstances
 - Asking hard questions
 - Reading materials
 - Deliberating the decision



See page 9 of the
Toolkit for more on
fiduciary duties

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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.

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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:**

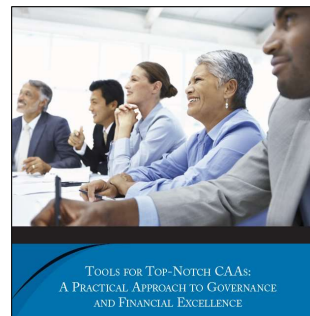
- Engage in discussion prior to vote

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Fiduciary Duties NONPROFIT BOARD MEMBERS

- **Duty of Loyalty – 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



See page 9 of the
Toolkit for more on
fiduciary duties

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Who Does What Around Here?

FILL IN THE ACTION

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

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Key Responsibilities of the Tripartite Board

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Key Board Responsibilities



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Key Board Responsibility

Mission

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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**

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Why Mission Matters

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

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CSBG Organizational Standards

Mission

CSBG Org. Standard 4.1:

- Governing board has reviewed the organization's mission statement within the past 5 years and assured that: (1) The mission addresses poverty; and (2) The CAA's programs and services are in alignment with the mission.

CSBG Org. Standard 3.1:

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

CSBG Org. Standard 3.5:

- Governing board formally accepts the completed community assessment.

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Key Board Responsibility

Planning

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Planning Exercise

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

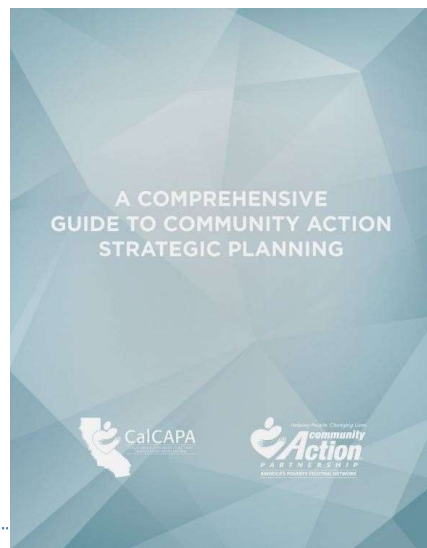
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Planning Under CSBG



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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/

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CSBG Organizational Standards Planning

CSBG Org. Standard 6.1:

- Organization has an agency-wide strategic plan in place that has been approved and accepted by the governing board within the past 5 years.

CSBG Org. Standard 3.1:

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

CSBG Org. Standard 3.5:

- The governing board formally accepts the completed community assessment.

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Consent Agendas

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

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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



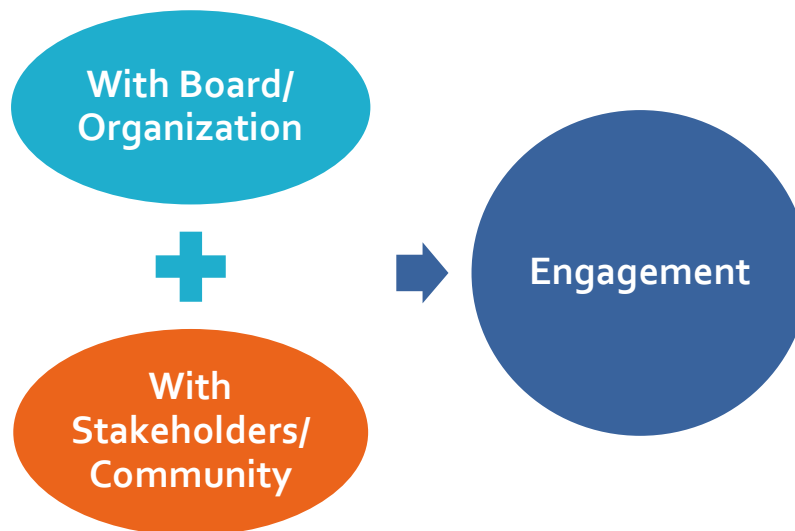
Engagement Scenario

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?

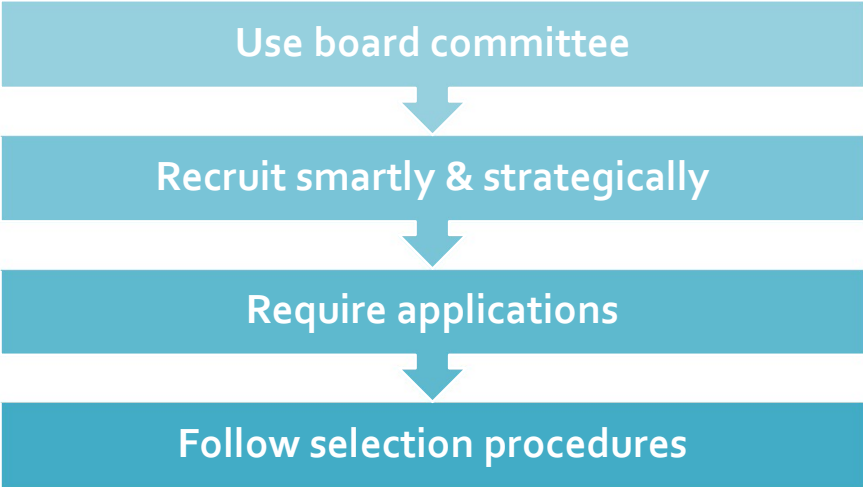
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Internal and External Responsibilities



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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 members 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 in your organization's stage of development, community served, and other circumstances.


In considering board building, an organization is highly obligated to follow its bylaws, which may require board size, structure, and composition. Keep in mind that your organization's bylaws may need to be updated to acknowledge changes in the environment and community that have made board structure change a necessity.

AREAS OF EXPERTISE/LEADERSHIP QUALITIES	NUMBER OF CURRENT MEMBERS
Business/Finance/Management	
Marketing	
Public Relations	
Law	
Health Care Administration	
Community Development	
Non-Profit Management	
Government	
Education	
International	
Other	

Board Members	Sector	Diversity	Skill/Experience/Expertise	Access/Connections	Years on Board	Term Exp.	Committee	Office
1. Jane Doe	Public	Hispanic	Business/Finance/Management	Government	1	9/3/13	Personnel	Secretary
2.	Private		Health Care Administration	Non-Profit Management				
3.	Non-Profit		Marketing	Community Development				
4.			Law	Government				
5.			Education	Government				

http://www.capl原因.org/resources/SelfAssessmentDocuments/CAPLAW_BoardComposition%20Matrix_April2012.xls

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



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

Free Video Series!

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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.

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](#)



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

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People: How do you get the right people on the Board?

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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.

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CSBG Organizational Standards

Board Orientation and Training

CSBG Org. Standard 5.7

- Org. has a process to provide a structured orientation for governing board members within 6 months of being seated.



CSBG Org. Standard 5.8

- Board members have been provided with training on their duties and responsibilities within the past 2 years.

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Key Board Responsibility

Generating Funds

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Two Main Ways CAAs Generate Funds

Fundraising*

Soliciting gifts

Putting on special events

Capital campaigns

*Board and executive director

Proposals*

Writing grants

Preparing bid proposals

*Executive director and staff

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Generating Funds Quiz

A CAA cannot rely solely on its state and federal grants and should engage in efforts to generate unrestricted funds. **True** or False

- **Why?**

- State and federal grants restrict use of funds
- Diversification of funding often essential for sustainability and flexibility
- **Match requirements!**

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Generating Funds Quiz

Generating funds is mainly the executive director's responsibility, not the board's. True or **False**

- **Why?**

- Joint effort – both bring different resources/skills
- If no unrestricted funds, board must spearhead fundraising efforts

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Generating Funds Quiz

Tripartite boards cannot require members to give financially to the CAA because low-income representatives may be low-income themselves. True or **False**

- **Why?**
 - No legal prohibition against soliciting funds from all board members
 - Allow for varying levels of giving and non-financial ways to give
 - Foundations often want to see 100% board giving

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Key Board Responsibility

Strategic & Programmatic
Performance

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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.

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Regular Strategic and Programmatic Reviews

5-Year Review
(Strategic)

Annual Review
(Milestone /
Programmatic/
Strategic)

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

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CSBG Organizational Standards Strategic and Program Performance

CSBG Org. Standard 6.1

- Organization has an agency-wide strategic plan in place that has been approved and accepted by the governing board within the past 5 years.

CSBG Org. Standard 6.5

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

CSBG Org. Standard 5.9

- Organization's governing board receives programmatic reports at each regular board meeting.

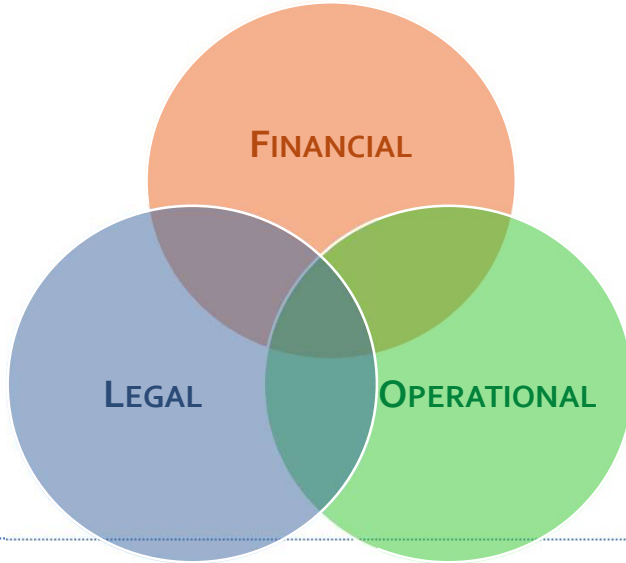
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Key Board Responsibility

Accountability

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Ensure Accountability



Policies Conflict of Interest

CSBG Org. Standard 5.6

- Each board member has signed a conflict of interest policy within the past 2 years.

*Sample policies and archived webinar on CAPLAW's website, www.caplaw.org

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SECTION 5: DEALING WITH CONFLICTS OF INTEREST	
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Part II: Additional Legal and Regulatory Considerations	114

Policies

Whistleblower Policy

CSBG Org. Standard 7.7

- The organization has a whistleblower policy that has been approved by the governing board.

*Sample policies and archived webinar on CAPLAW's website.

www.capl原因.org



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Additional Policies

Adopt org. policies, ensure they are being followed, and review/update them periodically

CSBG Org. Standard 8.10

- The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.

CSBG Org. Standard 7.1

- The organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.

CSBG Org. Standard 8.11

- A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.

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Additional Filings

CSBG Org. Standard 8.8

- All required filings and payments related to payroll withholdings are completed on time.

CSBG Org. Standard 8.6

- The IRS Form 990 is completed annually and made available to the governing board for review.

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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>

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Questions?

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