Missouri's Microboard Development Workbook

Information, Definitions, and Advice on Developing Microboards for People with Developmental Disabilities

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November 2001

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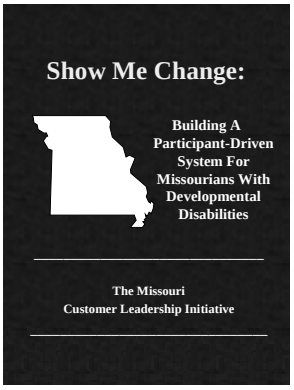
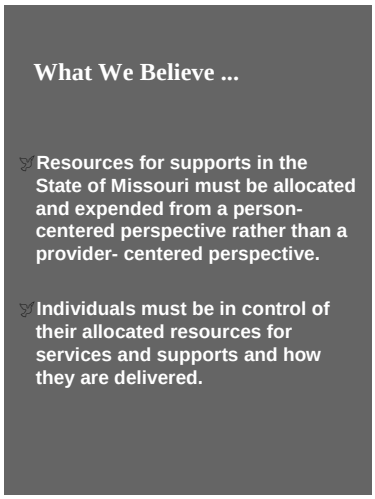


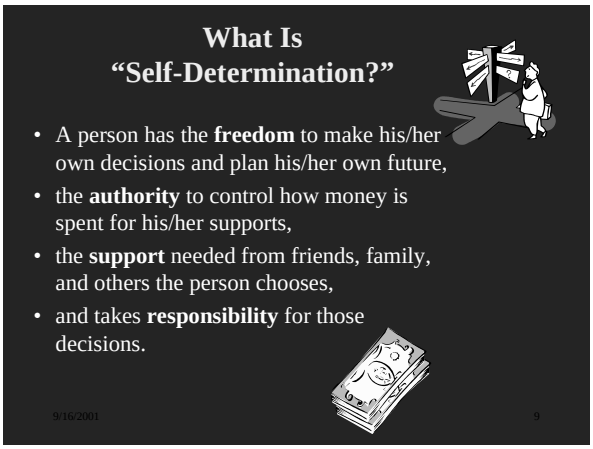
INTRODUCTION

In 1999, the Missouri Planning Council on Developmental Disabilities convened a group of Missouri citizens who had an interest in the lives of people with developmental disabilities. The group consisted of people with disabilities, family members, and those working in the field of developmental disabilities. The group was charged with the task of looking at Missouri's developmental disabilities service system, and developing a set of recommendations on how the system could be enhanced to meet the needs of individuals with developmental disabilities and their families.

The group first considered what we believe—our vision regarding people with developmental disabilities and the service systems that support them.



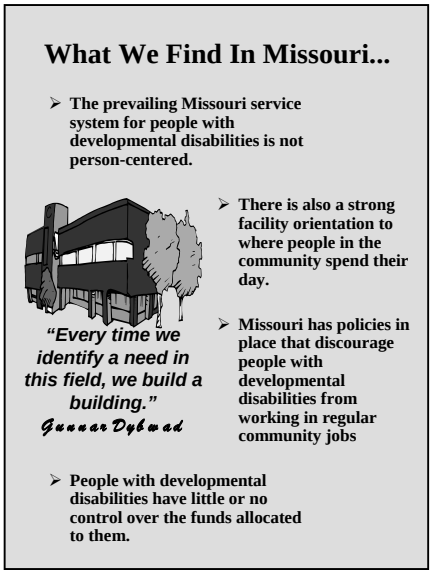
The primary underlying value driving what we believe is found in a concept currently labeled, **"self-determination".** The concept involves supporting people with developmental disabilities to make choices and decisions regarding their own life without excessive interference and influence from others.



We then took a close look at the Missouri developmental disabilities service system.

Finally, conclusions were drawn about what Missouri needs to do to improve services and prepare our service system to meet the challenges of the next century.

Using these findings, corresponding recommendations were developed. Several of the findings supported the exploration and establishment of "microboards" in the State of Missouri.



This recommendation launched a pilot initiative to develop several microboards in Missouri to learn what was involved in creating and implementing them. This workbook has been created to share what we have learned to date about microboards in Missouri.

WHAT A MICROBOARD IS

A Microboard is an organization composed of people who know and care about a person with a disability and established to assist that person to plan for and obtain needed supports in their lives.

Source: The Microboard People www.microboard.org

It's an organization

It is a legally established entity which carries with it all of the associated requirements.

- This means that a microboard must become a legally recognized entity by incorporating under one of the established corporate definitions in the State of Missouri. Each state has it's own incorporation definitions and processes.

- When an organization becomes incorporated, it is legally liable to fulfill several requirements. It is important to obtain these requirements and ensure that they are addressed in your planning. The Missouri state government has a handbook entitled *Missouri Corporation Laws* which is available at no cost to Missouri citizens through the Secretary of State's Office at *http://mosl.sos.state.mo.us.*

It is a particular type of organization.

- There are several types of corporations under which a microboard could be organized. However, having explored these various options, in almost all situations it seems that organizing as a Missouri Nonprofit Corporation established and defined under Chapter 355 RSMo, the "Missouri Nonprofit Corporation Act", makes the most sense.

- The Office of the Secretary of State - Corporation Division has oversight responsibility. Becoming incorporated as a nonprofit organization in the State of Missouri is a straightforward process. It requires at least one incorporator who is 18 years of age or older to develop and file the "Articles of Incorporation" with the Office of the Secretary of State, and $20 for the filling fee. The process for becoming incorporated is detailed later in this workbook.

Organizing as a Missouri Nonprofit Corporation does not establish the organization as a "501(C)(3)".

- 501(C)(3) tax-exempt designation is granted through the Internal Revenue Service (IRS). This designation allows contributors to a nonprofit corporation, both individual and corporate, to deduct donations on their tax returns. Most microboards will not be soliciting donations at this level and so the need for pursuing this designation probably will not be needed.

- Obtaining this designation or status requires a separate application process. The process is fairly involved and tedious and it is recommended that if you are going to pursue this, you obtain assistance from someone who has experience with the process. There is generally a cost associated with this assistance.

It's composed of people who know and care about a person with a disability

***Who Can Be a Board Member*?**

- One of the unique factors of a microboard are the requirements for being a board member. While most nonprofit organizations look for board members who are experts, have some influence, or have knowledge of or a connection to those benefiting from the services of the nonprofit, microboards look at these characteristics as secondary. The primary candidates for membership on a microboard are those who know the person with a disability, or are willing to know the person, and are committed to having a give and take relationship with the person.

- **Having a relationship with the person is the most important criteria.** It is almost impossible for board members to establish and maintain this kind of relationship in an organization that serves more than two or three individuals. This is one of the main reasons why microboards are unique.

- While no special expertise or influence is needed to be a board candidate, it is important to cultivate those who have a relationship with the person and also have unique skills and connections that would benefit the organization.

It's established to assist a single person to plan for and obtain needed supports

Another aspect that makes a microboard different from other nonprofit support provider organizations is the reason for its existence. The entire purpose of a microboard is to focus on assisting one individual—or possibly two or three— to plan for, obtain and manage the supports they need to live the quality of life they desire.

In a provider organization that serves numerous individuals with disabilities it is extremely difficult, if not impossible, to address the needs and desires of each person they serve at a completely individualized level.

WHAT A MICROBOARD IS NOT

Although it can be used with anyone—type and severity of disability and level of support needed are not determining factors—it is not the answer or approach for everyone.

Those thinking about starting and using a microboard should carefully weigh the benefits and costs of using this as the mechanism to manage the supports of a person with a disability. Seriously consider all of the ways supports can be planned and delivered and judge which ones make the most sense at this time. If you are satisfied with the supports currently being provided, a microboard may not be necessary at this time.

It is a mechanism that can be used to access available funding sources; it is not a funding source.

There are some who confuse microboards for a funding source. To make it very plain and clear, microboards are *not* a funding source. They are a mechanism that is used to determine needs and can be used to access available funding sources. For instance, as a Missouri nonprofit organization, the microboard is eligible to contract with certain state agencies to provide services.

It is not simple or without hard work.

VALUES AND PRINCIPLES

- Members must have a personal relationship with the person…
- All people are assumed to have the capacity for self-determination and this capacity will be acknowledged and respected.
- All decisions made by a microboard will demonstrate regard for the person's safety, comfort and dignity.
- The more complex a person's needs are, the more important it is that the services are customized and individualized to support those needs.
- All microboard members will conduct their board business in the spirit of mutual respect, cooperation and collaboration.
- All services developed and/or contracted are based on the person's needs, not availability of services.
- Boards will only negotiate contracts with [those] who are able to demonstrate a concrete ability to provide services as identified by the microboard. These services will be person centered and [individualized].
- …staff that work for or with the person are not attached to the buildings … They work for the person, not an agency or business.

Source: Developed by Vela: The Microboard People - Taken from their website www. microboard.org.

WHY CREATE A MICROBOARD?

There are a number of reasons for creating a microboard. However, the only important reasons are those that make sense in your particular situation. It may be useful to reflect on your situation and determine your reasons for developing a microboard. Use the space below to record your reasons. If at the end of going through this workbook you still haven't identified a good reason for creating a microboard, then maybe this isn't the time to pursue this activity.

Your reasons for creating a microboard:

_____

_____

_____

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"Nothing is less productive than to make efficient what should not be done at all."

Peter Drucker

HOW TO GET STARTED

Identify a group of people who know the person, have a relationship with the person, and are committed to the person.

One of the strengths of a microboard is its use of a planning process known as person centered planning. The foundation of an authentic person centered planning process is that those involved know, have a relationship, and are committed to the individual with whom the planning is being done. This requirement is the same as the main criteria described earlier for board membership.

Other questions to ask when selecting people to include in the person centered planning process could include, *Is there a family relationship? Do they provide daily support? Do they know the service delivery system? Are they connected to community life? Do they understand employment issues? can they dream?*

Selection of those to be invited should always involve the person for whom the planning is being done.

Engage in a Person Centered Planning Process

A person centered planning process is exactly what the name implies it to be. It is a planning process that focuses on a *single person*. The person for whom the planning is being done is at the *center* of the planning process. Being at the center means several things.

- It means that the planning process is owned by *the person* for whom the planning is being done—not the entity that is funding or providing supports for that individual (although it may be a good idea to involve both in the process at some level).

- It means that *the person* is actively involved and engaged in the planning process. They are consulted about who should be included in the planning process. They are consulted about when to meet, how the meetings should be run, and what the agenda for each meeting ought to be. They attend and participate in all planning meetings.

- It means that *the person* can choose to change the *plan*.

The following is a brief description of the person centered planning process. To learn more about person centered planning please refer to Appendix A – Person Centered Planning at the end of this booklet.

- The process involves conducting a series of meetings where the planning work is done. Prior to the initial meeting, a facilitator (the person who will run the meeting) should be identified. Finding a skilled facilitator is very important. You may want to consider a facilitator, either paid or volunteer, who has received training in person centered planning. The facilitator should meet with the person, along with family and/or a support person if needed, to plan the meeting and finalize the list of those who are to be invited.

- The process involves inviting the group to an initial planning meeting. Selecting a time when all can meet is probably going to be impossible. Just chose the best time for those who must be at the meeting and hope the rest can come. The meeting should be held in a comfortable place where the group can spread out papers and work with minimal interruption. In many instances, these meetings have become associated with food. (Hint :-)

- There are several person centered planning approaches that can be used. For descriptions of these different approaches, see Appendix A. While these approaches are somewhat different in how they accomplish the planning process, they all use some common elements. The primary purpose of a person centered planning process is to establish the desires and dreams of the person, determine the supports that will be needed, and develop an action plan to achieve those desires and dreams. Establishing an action plan is the strength of the planning process. The primary weakness is that there are usually limited resources are to implement the plan

As part of the person centered planning process, determine if developing a microboard is the preferred mechanism for planning and managing the person's supports.

After the person centered planning group has identified an initial action plan, they need to determine the best way to put the plan into action. Careful consideration should be given to this process.

The group should ask themselves, *What do we need to do? Is the support already there? Is it working? What would be gained if supports were managed through a microboard? If none, why would we pursue it?* Based on the answers to these and other questions, the group should determine whether or not to pursue developing a microboard.

Identify five to nine people (more or less) who are willing to commit to serve as board members.

Recruitment of board members is one of the first things that needs to be done and is also one of the most critical aspects of developing a microboard. The selection of board members will probably determine the success or failure of a microboard.

As previously discussed, the primary criteria for board membership is having a viable relationship with the person. Board candidates must know the person well enough to understand their preferences, their concerns, and their hopes and dreams. In order to have this level of understanding, or to gain this knowledge, board candidates must have a relationship with the person or be willing to develop one. This means that each board member must spend quality time, as well as a significant quantity of time, getting to know the person.

There are a variety of ways to get to know someone and you can help board members develop a relationship with the person. Help them understand that getting to know a person with a disability is mostly the same as getting to know a person without a disability. Ask questions, listen, and share your life with them. Do meaningful activities together. You may need to teach board candidates the purpose and use of assistive devices. Providing them with a basic understanding will go a long way in preventing miscommunication, awkward moments, or mishandled situations.

Non-family members on the board will:

- **Address the perception of conflict of interest**
- **Allow for a broader array of community networks**
- **Foster less emotion and sometimes more innovative thinking**
- **Allow for a broader base of talents and skills from which to choose**

Potential board members must be willing and able to make a commitment to serve on the board. Good intentions and love for a person are not substitutes for attending board meetings and actively carrying out the responsibilities and functions of the organization. There is a difference between being willing and being able. There are other ways to support the outcomes of the microboard than being a member of the board.

The makeup of membership on the board also needs careful consideration. For instance, family members on a microboard are good, but the board should be balanced with members with other qualifications as well. If your board is primarily family members, you limit its diversity.

Determine and complete pre-organizing activities that need to be accomplished.

Develop articles of incorporation

One of the first things that will need to happen as a pre-organizing activity is the development of the organization's Articles of Incorporation. These articles, when filled with the secretary of state, legally establish the microboard as a nonprofit organization. The articles when completed will reflect the following defined set of information:

- ***Article 1: Have a distinguishable name.***

  This article asks that you come up with a name for the corporation that is distinct from all others.

- ***Article 2: Designate whether the corporation is a public or mutual benefit corporation.***

  The State of Missouri has two types of nonprofit corporations, public or mutual benefit. A public benefit corporation is any such corporation that is designated as such by law; or is organized for religious purposes; or is recognized as exempt under section 501(c)(3) of the IRS Code; or upon dissolution is required to distribute it's assets to other public benefit organizations. A mutual benefit corporation is one that doesn't fit any of the above definitions (RSMo 355.881).

  It is strongly suggested that the designation for a microboard be a public benefit corporation.

- ***Article 3: Decide if the duration or life of the corporation will be perpetual.***

  The life of the corporation is indefinite, unless decided otherwise by the board of directors.

- ***Article 4: Appoint and maintain a registered agent and address in Missouri.***

  You will need to appoint someone as a registered agent and provide a registered address that has a physical address (street, route, or highway #) in Missouri. A post office box alone, without some other physical address, is not acceptable.

- ***Article 5: Designate a minimum of one incorporator who is a natural person, age 18 or more.***

  The name and address of each incorporator should be identified. As indicated above, only one person age 18 or more is needed to incorporate. Incorporators are those individuals who initiate the establishment of the corporation and whose names are listed in the Articles that are initially filed. These individuals may also be identified in the Articles as members of the initial board of directors, but do not have to be.

- ***Article 6: Indicate whether or not the corporation has members.***

  Nonprofit boards may either have members from which a board of directors is elected and to which they are accountable—or simply have a stand alone, self-perpetuating board of directors.

  It is recommended that a microboard **not** have members.

- ***Article 7: Provide for the distribution of its assets upon dissolution.***

  This article asks for a statement that describes where the assets of the corporation are to go if it dissolves. Since the corporation is a nonprofit organization and no individual can profit from it—upon dissolution—the assets of the corporation need to be designated for another public benefit entity, or somehow be returned to the public trust.

- ***Article 8: State at least a one sentence definition of the specific purpose.***

  It is recommended that the microboards purpose statement begin with some standard language such as, *The corporation is organized exclusively for charitable, religious, educational, and scientific purposes.* And then continue with a statement that defines the purpose of the microboard more specifically. For example, *Specifically, this corporation exists to support and assist (name of person) in achieving his goals and helping him to lead a happy and productive life.*

A sample of a completed Articles of Incorporation can be found in Appendix B-Sample Articles of Incorporation and Bylaws.

Draft a set of bylaws to be ratified. This may be done prior to, or immediately following becoming incorporated

At some point prior or immediately after someone files articles of incorporation a set of bylaws that will govern the corporation will need to be developed. Specifically, the law says, The incorporators or board of directors of a corporation shall adopt by laws for the corporation. The bylaws may contain any provision for regulating and managing the affairs of the corporation that is not inconsistent with law or the articles of incorporation. (RSMo 355.116)

Bylaws are what define how an organization is organized, its lines of authority, and its decision making mechanisms. Usually, they describe how to the organization is to be started, how to keep it going, who has authority and responsibility to do what, and how and when decisions are to be made.

When Developing Bylaws Remember To:

- **Keep them simple. Use plain language and limit words to those needed.**
- **Keep them brief. Say only what needs to be said for the organization to run effectively.**
- **Keep them flexible. You will not be able to anticipate everything when you are drafting the initial set of bylaws, things change and bylaws need to be able to be amended to address those changes.**

File Articles of Incorporation with the Secretary of State Office.

Initial Filing

The Articles of Incorporation can be filled at any of the offices of the Secretary of State. These offices are located in different parts of the state and you will need to determine which one is closest to you. The main office is located at the James C. Kirkpatrick State Information Center, 600 W. Main Street in Jefferson City. The Articles can also be filed by mailing them to the Secretary of State, Corporation Division, P.O.Box 778, Jefferson City, MO 65102. The incorporation fee is $25 payable by check to the Director of Revenue.

Annual Report

The corporation will need to provide the secretary of state with an annual report on a form furnished by the secretary. The form is very straight forward and can usually be completed very quickly. There is a fee of $15 associated with this process.

Amending Articles

The corporations articles may be amended if needed. There is a process to follow, and a fee that will be assessed. Both are fairly painless if a change happens to be needed.

For more information on this and other matters related to the incorporation process, you may want to obtain from the Secretary of State's Office the Missouri Corporation Laws handbook or visit their website http://mosl.sos.state.mo.us.

After incorporation, hold an organizational meeting to ratify the bylaws, to elect or sustain the board of directors, and establish corporate officers.

An initial organizing meeting should be called by the incorporator(s) or the board of directors if identified in the Articles. At this meeting:

- A board of directors should be elected or sustained. A minimum of three directors are required;
- The board should elect the officers of the corporation. The corporation may have a president/chairman, secretary and treasurer, as well as others if needed. One individual may hold more than one office at the same time;
- The board should adopt bylaws for the corporation; and
- The board should set the agenda and time for future meetings.

BOARD DEVELOPMENT AND FUNCTIONING

Once a board of directors has been established for the corporation some attention needs to be focused on how to become an effective board. One leading author puts it this way, *The board is responsible for its own development, its own discipline, and its own performance…* (Carver, 1991 p.133) There are a lot resources available that can be helpful in this process. See Appendix C- Board Development at the end of this workbook for some suggestions. There may also be people near you who have some experience in board development. Two places to check are institutions of higher education or other nonprofits within your area.

The following are some basics elements of board development that you might want to consider as you focus on what's involved in becoming an effective board.

- Understanding the concept of boards
- Board responsibilities and accountability
- The board within the corporate structure
- Recruiting board members
- How to be an effective board member
- Responsibilities and Commitments
- Functions of board officers
- How to run effective meetings
- Decision making and the board

For more information see Appendix C- Board Development.

Develop effective organizational mechanisms, policies and procedures.

Operational Considerations

How the day–to–day work of the microboard is to be accomplished has to do with the organizations' operational considerations. The scheduling of work, how things are purchased, and supervision of staff are but a few examples of what might need to be looked at. Detail considerations related to operation will be specific to the organizations culture and goals. Whatever form they finally assume, it is very important to carefully consider and plan out these matters so that the delivery of quality supports can be assured.

Fiscal Considerations

Many nonprofits get in trouble because they haven't developed sound fiscal practices. The tragedy is that almost all of this trouble could be avoided with very little effort. Establishing and implementing sound fiscal policies and practices involves exercising common sense, attending to detail in a timely manner, and being honest. There will need to be someone who understands and can utilize some basic accounting or accounting software. If these three elements are functioning, then all that is left is to find someone who understands and can implement fiscal procedures.

The importance of having established accounting practices that account for the use of the organizations resources, provide the organization with timely information, and assures funders that their resources are being used for their intended purposes, can not be stressed enough. The microboard would be well served if the board of directors gave this the attention it deserves prior to conducting business.

Establishing a realistic budget for the microboard is essential. In establishing a budget the organization will need to determine the activities to be accomplished, project what it will cost to complete the activities, and identify how it will account for what it has spent. The budget should reflect the full array of costs the organization will experience. This might include looking at costs related to staff, insurance, administrative overhead, materials and supplies, equipment, meeting space, etc. Obtaining the funding to implement the budget is, of course, the challenging part of this process.

Managing the fiscal aspects of the organization is something that could be done internally if there is someone who has the time and expertise. There are many simple and basic accounting software packages available today that can assist with this effort. This function could also be contracted out to a professional bookkeeper or certified public accountant (CPA). If the board decides to contract this function out it needs to carefully consider who it will use, for what functions, and at what cost.

Remember, regardless of how the microboard's resources are managed, the final responsibility and liability for how funds are used rests with the organizations board of directors. For this reason it is strongly suggested that checks and balances be in place before any business is conducted.

Functions of a Bookkeeper or CPA:

- **Basic accounting: keeping track and reporting on income and expenses**
- **Doing the payroll—writing paychecks which indicate proper withholdings**
- **Withholding and depositing necessary taxes**
- **Filing federal and state reports**
- **Sending out W-2's at the end of the year**

Tax considerations

Since the organization is a nonprofit, by definition it will not have any profit. Consequently, the organization will not experience any tax liability. Even though there are no taxes to be paid, the organization is still responsible for filling any and all appropriate forms with the IRS. Generally, there is only one form. However, it is recommended that the organization consult with an attorney or CPA to make sure it is in total compliance with the IRS.

The other tax consideration has to do with payroll tax withholdings. This will only occur if the microboard has hired staff to provide supports or perform other services. The board can elect to manage this activity internally or they can contract it out to a bookkeeper or CPA. Again, regardless of which way the board chooses to go, the board will be held responsible for the timely and accurate withholdings of all payroll taxes.

Liability and Insurance Considerations

At startup, the organization will have very little risk associated with its operation and in turn will have very little need for any kind of insurance. However, as the organization develops and undertakes more activities that involve employees, property, etc., its liability risks will also increase. As this occurs, the organization may want to purchase insurance to minimize its risk.

There are a number of areas of risk to consider. Some of these areas include loss or damage to property, board of directors liability, injury liability, etc. It is extremely important to determine the organizations level of risk and then enlist the help of an insurance professional who is knowledgeable about issues related to nonprofit organizations.

DEFINING AND REFINING SPECIFIC SUPPORT NEEDS

Once the microboard's initial organizing tasks are completed or well under way, it's time to turn the attention the organization back to the purpose for which it was created. In almost every instance, the purpose of the microboard will be focused on defining, obtaining, and managing the supports needed to assist a person with a disability to achieve their goals and attain a happy, productive, and fulfilled life. As discussed earlier, person centered planning is the process used to define a person's goals and plan how to accomplish them.

Once the person centered planning process has developed a plan, the microboard will need to refine it by determining what supports will be needed to accomplish the priority items it contains. This process involves the board asking the, *who, what, when, where, why, how, how long, at what cost, etc.* questions as a foundation for establishing the support plan that will assist the person to accomplish their goals. Supports can include an array of things, ranging from staff to assist with daily living needs, the obtaining and maintaining of transportation, housing, employment, health care, recreation, etc. The specific supports needed should always be individualized based on the person's plan and should be flexible enough to shift as a person's situation changes.

Finding and contracting with funding sources

The main funding mechanism for microboards is what is known as fees for service. This simply means that a fee is assessed for a service that is provided to support a person with a disability. Governmental entities and insurance companies often use this type of funding mechanism to purchase supports. The process usually involves a funding source doing some form of eligibility determination with a person prior to entering into an arrangement with an organization or individual to provide a set of agreed upon supports.

In a fee for service funding arrangement, the microboard would be the organization that enters into a contractual arrangement with a governmental entity, such as the State's MR/DD agency, to provide the agreed upon supports. In this type of arrangement, the microboard is established as a provider agency and is held accountable by the funding source for providing the agreed upon supports in an effective, efficient and ethical manner. Contractual arrangements will vary from situation to situation based on type and level of supports needed and who the contractual relationship is with.

It is important to establish a relationship with potential funding sources as soon as you can. This is particularly relevant with a microboard because of its newness and unusual mandate. Individuals who work in governmental agencies when approached early on and presented with clear information on the intent of what is to be accomplished, can become very useful partners. Solicit their help and input early in the planning process.

Since the purpose of a microboard is to oversee the supports of a single individual, some other traditional funding sources are not readily available to them. Grant funds and donations from corporations, foundations, governmental agencies, and the general public tend to be available to fund or support activities that have a broader impact. While these funding sources may be pursued there are several factors, such as needing to be designated as a 501(C)(3), having the ability to develop and manage grants, and being dependent on short term funding, that should to be considered very carefully.

Obtaining Supports

Once funding has been secured for specific supports, it becomes the task of the microboard to obtain and implement those supports. As mentioned earlier, supports can include an array of things ranging from staff to assist with daily living needs, to the obtaining and maintaining of transportation, housing, employment, health care, recreation, etc. In some instances these supports will be able to be secured through contracting with specific service entities, such as transportation, to provide them. In such a situation the function of the board will either be to enter into a contractual relationship with the provider or to facilitate a contractual relationship between the funding source and the service provider. In either instance, it is the board's responsibility to ensure that the contracted services are delivered in a timely and quality manner.

More than likely the microboard at some point will hire someone to provide various supports. As an employer there are a number of things that need to be carefully considered and planned for. This manual will not address these items in any detail at this time.

Employment Activities

- **Defining qualifications and skills needed**
- **Determining costs**
- **Recruiting candidates**
- **Interviewing candidates**
- **Contracting with the provider**
- **Scheduling service times**
- **Training staff**
- **Supervising staff**
- **Preparing payroll**
- **Performance evaluations**
- **Terminating staff**
- **Grievance Process**

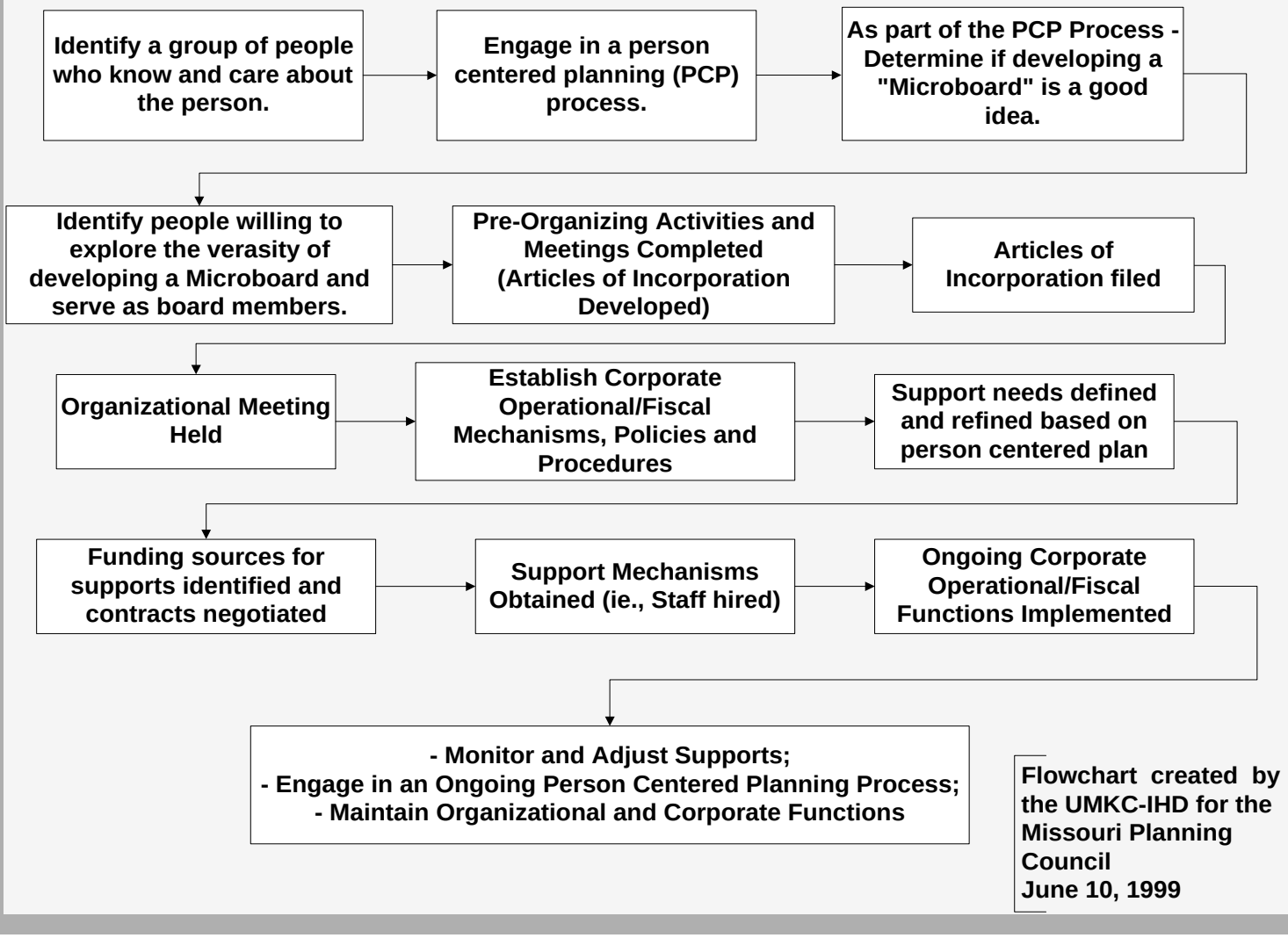
Obtaining and retaining qualified staff that fit with the person being supported is probably one of the most difficult things to do. It is even more difficult when backup or multiple staff are needed. While difficult—once having made these arrangements and agreeable compensation is in place, the ability to control the availability and quality of these supports will to a large extent offset the work involved.

Monitoring and Evaluating Support

One of the primary functions of a microboard is to ensure that supports are provided in a timely, safe and quality manner in accordance with the agreed upon plan. This means that the microboard will need to develop ways to monitor or collect information on how supports are being provided and what it will do if something is found amiss. This will involve looking at such things as how staff relate to the person being supported, are staff showing up, are staff on time, are agreed upon outcomes being achieved in a timely manner, is the person being supported treated with respect and dignity, etc. Mechanisms for monitoring supports will be determined by the specific situation of the person being served. Failure to give this function serious consideration may affect the safety and quality of life of the person for which the microboard exists, and may negatively affect the credibility of the microboard.

Missouri's Microboard Development Process

February 26, 2000



Flowchart created by the UMKC-IHD for the Missouri Planning Council
June 10, 1999

Appendix A

Person Centered Planning

The Planning Process

Preparing to Plan	• Clarify the focus person's agenda • Find their allies • Determine a comfortable meeting place • Find a day and time that works • Determine who can facilitate (co-facilitate) the gathering • What will make us relaxed, comfortable, and creative	***Designing and Creating Supports***	• To be successful, they'd need.. • To find this job, they'd need... • To learn this job… • To keep this job… • What concerns or worries them about this job is...
Learning about the Person's Life Now	• Their story • Their day now • Places where they spend time • People in their life • Their Choices • Their likes/dislikes • What works/doesn't • Their current life roles • Their hopes and dreams • Their fears, concerns, worries	***Making Ideas into Realities (Action Planning)***	• What do we need to learn about? • Who do we need to contact ? • What are the opportunities? • What are the barriers? • Identify person(s) responsible, what is to be accomplished, how and by when • When will we meet again to review progress and determine next steps?
A Future that Makes Sense	• Their home • Their ideal day • For fun they would.. • Places they'd go • People and associations • Their Job/career: ◦ Their Preferences ◦ Their Conditions ◦ Their Activities	***Learning Tools***	• What are the key questions ? • What tool(s) would help us learn what we need to know? • What is the desired outcome? • What are the tasks ?
		Key Outcomes	• Gather allies • Define an agenda • A picture of the person • A vision of the future • Clarity about supports • Defined action steps

By Mike McCarthy and Tec Chapman

FAST FACTS ON: DEVELOPMENTAL DISABILITIES

Person-Centered Planning

- What is Person-Centered Planning?
- How is it Different from Traditional Planning?
- Changing from Traditional Planning to Person-Centered Planning
- Three Frameworks of Person-Centered Planning
  - MAPS
  - Personal Futures Plan
  - Essential Lifestyle Plan
- Resources
- References

It seems like my daughter's whole day is filed with people trying to get her to do better at the things she most dislikes. She often resists people when they are trying to help her. People are always telling her what she is doing wrong. She gets discouraged and angry, every day. Her whole life is just a series of improvements people want her to make. She doesn't have any personal plans , or anything to work toward on her own. What is it all for?

Tanya D. Whitehead, M.S.

Rev. 2001 Lynette Yisrael

UMKC Institute for Human Development

A University Center for Excellence in Developmental Disabilities

What is Person-Centered Planning?

Person-Centered Planning is an outward sign of the presence of *respect* for the value of all persons. The basic beliefs at the root of the Person-Centered Planning process are that:

- All people have the right to plan lives for themselves that are personally meaningful and satisfying.
- All people have talents and strengths that they have the *responsibility* to develop.

Person-Centered Planning is a *way of thinking with people* that respects their interests, hopes, dreams, and desires. It is a *process* of discussion and self-evaluation in which a person discovers how he or she wants to live, and the person's friends and supporters help explore what needs to be done to reach these goals.

How Does Person-Centered Planning Differ from Traditional Planning?

When Person-Centered Planning is compared to traditional planning, the contrast between them highlights the benefits of Person-Centered Planning.

In the traditional planning process, people with developmental disabilities are placed in programs by experts, who develop treatments designed to help people with disabilities overcome their areas of weakness.

Since agencies serve many people with disabilities, there is a tendency to make all people in the program follow the same schedule. That helps the agency make good use of staff time, and it helps ensure that all people served by the agency are treated the same way.

One of the problems with the traditional planning style is that even though the agency was designed to serve the needs of people, people actually end up serving the needs of the agency. When people are placed in jobs or living situations not by choice, but in order to make an agency run more smoothly, then the needs of people are being overlooked in favor of the needs of the agency.

The underlying assumption guiding traditional planning is that authority over people rests in the hands of experts, who are trying to help people with disabilities improve. People who value individual differences and who advocate for Person-Centered Planning are challenging this assumption. Traditional planning is being challenged by people who believe that *all people have the right* to set individual goals and objectives of their own that bring meaning to their lives.

In traditional planning, people are expected to go along with daily, weekly, monthly, and yearly objectives set for them by an agency to help them reach goals that are also set by agency experts. Most of these plans look very much alike. The people plans are written for are very different from each other, but their plans look alike because it is easier for the agency that way.

For a long while people using the traditional planning system did not notice what was wrong with it. They carefully reviewed ten-percent of the plans every year. They tried to assess the quality of their programs, because they cared about the people who used the programs. But they were measuring with the wrong yardstick. They were trying to be sure that their employees were using a system that would provide people with standardized outcomes, instead of individualized outcomes.

<u>The mistake being made was in thinking that all of the outcomes should be the same.</u> High quality outcomes should differ according to the individual needs and desires of the people for whom the plans are made.

Standardized outcomes in lifestyle planning will always fail at the level of the individual, because no two people are the same.

Changing from Traditional Planning to Person-Centered Planning

In recent years there has been a great deal of interest on the part of people with disabilities, their families, and agencies in discovering a more humane and person-centered model to use in the planning process.

A number of person-centered models for planning have been developed. Three of the most well known plans will be discussed separately below:

- **MAPS** (The McGill Action Planning System, by Vandercook,, York, Forest)
- **Personal Futures Planning** (Beth Mount)
- **Essential Lifestyle Planning** (Michael Smull)

MAPS: is a process developed from efforts to assist inclusion of children with disabilities in regular education classrooms and in the general school community. It is sometimes used to help formulate a student's Individual Education Plan (IEP).

In the MAPS planning process, the student, school staff, family, and friends come to a shared understanding of the individual student. The student's strengths as well as needs are noted. Then the student, with the help of family, friends, and professionals, develops an individual plan. This plan is for the purpose of supporting the student's efforts to work toward his or her personal goals.

The values guiding the usage of the MAPS tool are:

- Inclusion of the student into the regular school community at all levels.
- An educational and life plan specific to the needs and desires of the individual student.
- Teamwork and collaboration in the planning process and in carrying out the steps needed to support the student.
- Flexibility (of everyone concerned)

A trained facilitator uses a set of seven questions to help guide the planning process. These questions are:

MAPS Questions

1. What is the person's history?
2. What is the person's dream for his or her life?
3. What is the person's nightmare?
4. Who is the person?
5. What are the person's gifts, talents, and strengths?
6. What are the person's needs?
7. What should the action plan be?

An important qualification of a good facilitator is that he or she is committed to building an inclusive school community. The facilitator must also have good listening skills, be comfortable with both children and adults, and understand the importance of each person's contribution.

The facilitator helps the team draw their ideas together in order to formulate a comprehensive educational plan that supports the student's goals, and makes use of the student's strengths and talents.

Personal Futures Planning evolved from the desire to support the goals of people with disabilities, and the desire to provide assistance to service providers who want to transform the system.

Personal Futures Planning

- Finding out what the capacity of the person is, what they do well, their talents and their skills.
- Discussions (with the person and their chosen relatives, friends, and occasionally professionals) which result in the evolution of a plan or vision of the person's own choosing.
- Building a circle of people that moves forward toward the vision through action (trying ideas, reflecting on the outcome, revising the action and trying again).
- Gradually working to change the system so that it will function on a Person-Centered basis. One person at a time, people in systems can learn to think and behave differently.

Personal Futures Planning places an emphasis on interdependence among people. When people join together as a group, individual strengths and talents are multiplied, and weaknesses become less significant.

The plans made are part of an ongoing process for the person and his or her circle of friends. Personal Futures Planning is not a quick fix or a one-time event. It is a new way of addressing the decision making process of goal setting and the acquisition of supports.

Essential Lifestyle Planning was developed to assist people in moving from institutions to community life. The process focuses on gathering information on individual core values and preferences.

The plan should communicate what is important to the person for whom the plan is made. The plan should define the important people, activities, routines, desires and goals of this person. The plan should define what is important to the person, not what is important to others.

The process is interactive, and is life-long. The only thing worse than never listening to someone, is only listening once, or listening, but then not doing anything about what has been communicated.

Simple questions can be used to learn about others. People attending an essential lifestyle meeting may be asked to share their opinions on how to finish statements such as these:

Possible Sample Questions for Essential Lifestyle Planning

1. People who know and care about the person say. _____.
2. To be successful in supporting the person _____.
3. The person's reputation is _____.
4. If this is going to work we must _____.

A common concern of people who work in agencies is that they will be expected to make people's impossible dreams come true. Essential Lifestyle Planning is not about planning fantasies. There is a difference between helping people work to achieve satisfying and productive lives, and creating fantasy lives.

Most people have very modest desires, dreams, and goals. Most plans are built around people's desire to live with others they like and can trust, and their desire to have work that is meaningful to them.

Essential Lifestyle Planning can help agency staff see that life is not a program. There is a difference between providing support for people who are working on reaching goals they have set, and funding a program in which every person is moving lock-step through a pre-set one size fits all life.

Person-Centered Planning Frameworks

Person-Centered frameworks utilize a positive view of people that supports them in discovering their talents, interests, and strengths, and supports them as they develop life plans that they find meaningful and fulfilling.

A more positive view of people requires that we learn to describe ourselves and others in terms that reveal our talents, strengths, and capabilities rather than our weaknesses and limitations.

All frameworks of Person-Centered Planning take the focus for change off people with disabilities, and instead, seek to change their social roles, and the organizational structures that support them. A goal of all Person-Centered Planning is to support people in developing their capacities and in finding a place in the community where they can belong in a meaningful way.

In any type of Person-Centered Planning, the person with a disability is supported and empowered, not directed and controlled. Person-Centered Planning moves beyond allowing people with disabilities an equal voice at the planning table. In this planning style, individuals with disabilities take leadership roles in planning their own futures. Individuals with disabilities are the experts.

Change from traditional planning to Person-Centered Planning is a slow process. It begins with learning to think about people and agencies in a new way. One of the basic changes is from a relationship in which one partner has power over the other, to a relationship in which power is shared in an atmosphere of respect.

Some people have objected that Person-Centered Planning is hard to implement. People may be uncooperative, or may not share the vision of the rest of the team. Some people find it difficult to allow a person with disabilities to take a leadership role in the planning process.

Sometimes it is hard for a person with disabilities to accept this responsibility and opportunity. Sometimes people have trouble distinguishing what they want for people with disabilities from what people with disabilities want for themselves. These discrepancies between ideal Person-Centered Planning and what may take place when trying to implement it does not negate its value. Person-Centered Planning is an ideal to work toward. Sometimes it will be easier to implement than other times. It is also a process, not an outcome. People's goals and desires change over time as their needs change, and as they learn through experience.

Person-Centered Planning has brought positive changes in the lives of many people. An example of someone who benefited from Person-Centered Planning is Alice Smith, a woman who lived most of her life in state centers. She describes the effect that Person-Centered Planning had on her as follows:

> I am not a young woman. I was born in 1918 in Lewiston, Pennsylvania….I remember very well the day my father drove me to the Polk Center to live….I went to live at Polk in 1934, and stayed there until 1960….In 1960 my dad took me out of Polk and drove me to the Hamburg Center to live….
>
> In about 1991, at the age of 72, my life finally started moving in the direction I had hoped for thanks to Positive Approaches and Person-Centered Planning…There were many concerned people on the committee who listened to me as I told them how I wanted a community placement that could meet my needs….I was speaking my mind and found that I was being listened to by people who could make a difference for me…
>
> My life is now what I have always dreamed it would be….
>
> *Smith, A. (1998). How Positive Approaches and Person-Centered Planning Helped My Deam Come True. The Pennsylvania Journal on Positive Approaches 2(1).*

Resources

Missouri Developmental Disabilities Resource Center (MODDRC)
University of Missouri at Kansas City
2220 Holmes, Room 351
Kansas City, MO 64108-2676
(816) 235-1763
(800) 444-0821
TDD: (800) 452-1185
http://www.moddrc.com

Michael Smull and Friends
Essential Lifestyle Planning
Workbooks, articles, and other publications
http://allenshea.com/friends.html
Support Development Associates
3245 Harness Creek Road
Annapolis, MD 21403
(410) 626-2707
Email: mwsmull@compuserve.com

- *A Blueprint for Essential Lifestyle Planning* (manual that must be ordered)
- *Listen to Me!* (workbook that must be ordered)
- Person centered planning and perversion prevention (article available online)
- A plan is not an outcome (article available online)

Mike McCarthy
Coordinator of Outreach Training
UMKC Institute for Human Development
2220 Holmes, Room 308
Kansas City, MO 64108
(816) 235-1745

Terri Vandercook & Jennifer York
Integrated Education: MAPS to Get You There
Article available online at:
http://ssd.k12mo.us/Inclusion/maps.htm
Inclusion Matters
Special School District of St. Louis County

Resources and Reports on Community Inclusion
Articles on person-centered planning (and other topics pertaining to community inclusion). Available online or can be ordered hardcopy:
http://soeweb.syr.edu/thechp/randr.htm

- The Politics of Person-Centered Planning (1999) John O'Brien and Connie Lyle O'Brien
- Great Questions and the Art of Portraiture (1999) John O'Brien
- Finding a Way to Everyday Lives: The Contribution of Person-Centered Planning (1993) John O'Brien and Hebert Lovett

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Appendix B

Sample Articles of Incorporation and Corporate Bylaws

SAMPLE ARTICLES OF INCORPORATION

State of Missouri

Rebecca McDowell Cook, Secretary of State

P.O. Box 778, Jefferson City, MO 65102
Corporation Division

Articles of Incorporation of a Nonprofit Corporation

The undersigned natural person(s) of the age of eighteen years or more for the purpose of forming a corporation under the Nonprofit Corporation Law of Missouri adopt the following Articles of Incorporation:

(1) The name of the corporation is **Joe's Choice.**

(2) This corporation is a **Public** Benefit Corporation.

(3) The period of duration of the corporation is **Perpetual.**
(Perpetual unless stated otherwise)

(4) The name and street address of the Registered Agent and Registered Office in Missouri is:

John Microboard.
1000 Market Way
Kansas City, MO. 00000

(5) The name(s) and address(es) of each incorporator:

John Microboard.
1000 Market Way
Kansas City, MO. 00000

(6) Does the corporation have members? **NO**

(7) Upon dissolution of the corporation, after all liabilities of the corporation have been addressed, the remaining assets shall be distributed for one or more exempt purposes within the meaning of section 501(c) (3) of the Internal Revenue Code, or the corresponding section of any future federal tax code. Any such assets not so disposed of shall be disposed of by a Court of Competent Jurisdiction of the county in which the principal office of the corporation is then located, exclusively

for such purposes or to such organization or organizations, as said Court shall determine, which are organized and operated similar purposes of this Corporation.

(8) The corporation is organized exclusively for charitable, religious, educational, and scientific purposes. Specifically, this corporation exists to assist Joe Microboard, and up to two others, in the planning, obtaining and managing of his/their support.

(9) The effective date of this document is the date it is filed by the Secretary of State of Missouri, unless you indicate a future date, as follows:

_____
(Date may not be more than 90 days after the filing date in this office)

In affirmation of the facts stated above, signed by Incorporator(s):

_____

_____

_____

Office of Secretary of State Rebecca McDowell Cook
600 W. Main and 208 State Capitol, P.O. Box 778, Jefferson City, Missouri 65102
Telephone: (573) 751-4936

Information contained in this document was compiled using publications from the Secretary of State's Office.

7/96
SAMPLE CORPORATE BYLAWS

ARTICLE I - NAME, PURPOSE

Section 1: Name. The name of the corporation shall be _____ Corporation.

Section 2: Purpose. The _____ Corporation is organized exclusively for charitable, scientific and educational purposes. More specifically, this corporation exists to suppor (name of person) in attaining his goals and desires in life.

ARTICLE II - MEMBERSHIP

Section 1: Membership shall consist only of the members of the board of directors.

ARTICLE III - MEETINGS

Section 1: Regular Meetings. The date of the regular meetings shall be set by the Board of Directors who shall also set the time and place. The Board shall meet at least four times a year.

Section 2: Special Meetings. Special meetings may be called by the Chair or the Executive Committee.

Section 3: Notice. Notice of each meeting shall be given to each voting member no less than ten days before the meeting unless an emergency occurs.

ARTICLE IV - BOARD OF DIRECTORS

Section 1: Board Role, Size, Compensation. The _____ Board is responsible for overall policy and direction of the organization, and will delegate responsibility for day-to-day operation as needed. The Board shall have up to ____ and not fewer than 7 members. The board receives no compensation other than reasonable expenses.

Section 2: Meetings. (See Article III)

Section 3: Board Elections. Election of new directors or election of current directors to a second term will occur as the first item of business at the initial meeting of the corporation and thereafter at the first regular meeting of any new calendar year. Directors will be elected ***for a one year term*** by a majority vote of the board of directors.

Section 4: Terms. All Board members are elected for a 3 year term, but are eligible for re-election.

Section 5: Quorum. A quorum must be attended by at least 51 percent of the Board members before business can be transacted or motions made or passed.

Section 6: Notice. An official Board meeting requires that each Board member have notice ten days in advance unless an emergency exists.

Section 7. Officers and Duties. The officers of the Board shall consist of a Chair, Co-Chair, Secretary and Treasurer. Officers are nominated by other board members at the first regular meeting of any new calendar year and are elected by a majority vote of the board of directors at that time. Officer duties are as follows:

Chair. The Chair shall convene regularly scheduled Board meetings, shall preside or arrange for other members of the executive committee to preside at each meeting in the following order: Co-Chair, Secretary and Treasurer.

Co-Chair. The Co-Chair will chair committees on special subjects as designated by the board.

Secretary. The Secretary shall be responsible for keeping records of Board actions, including overseeing the taking of minutes at all board meetings, sending out meeting announcements, distributing copies of minutes and the agenda to each Board members, and assuring that corporate records are maintained.

Treasurer. The Treasurer shall make a report at each Board meeting. Treasurer shall prepare an annual budget, and make financial information available to Board members.

Section 8: Vacancies. When a vacancy on the Board exists, nominations for new members may be received from present Board members by the Secretary fifteen days in advance of a Board meeting. These nominations shall be sent out to Board members with the regular Board meeting announcement, to be voted upon at the next Board meeting. These vacancies will be filled only to the end of the particular Board member's term.

Section 9: Resignation, Termination and Absences. Resignation from the Board must be in writing and received by the Secretary. A Board member shall be dropped from the Board if s/he has three unexcused absences from Board meetings in a year. A Board member may be removed for other reasons by a three-fourths vote of the remaining directors.

Section 10: Emergency or Special Meetings. Emergency or special meetings of the Board shall be called upon the request of the Chair or one-third of the Board. All board members shall be notified at least 24 hours prior to the meeting.

ARTICLE V - EXECUTIVE FUNCTIONS

Section 1: The Chair or Co-Chair, in lieu of a chief executive officer, will coordinate and ensure the effective planning and delivery of supports for (name of person).

ARTICLE VI - COMMITTEES

Section 1: The Board may create committees as needed, such as fundraising, housing, etc. The Board Chair appoints all committee chairs.

Section 2: The officers serve as the members of the Executive Committee. Except for the power to amend the Articles of Incorporation and Bylaws, the Executive Committee shall have all of the powers and authority of the Board of Directors in the intervals between meetings of the Board of Directors, subject to the direction and control of the Board of Directors.

ARTICLE VII - AMENDMENTS

Section 1: These Bylaws may be amended when necessary by a two-thirds majority of the Board of Directors. Proposed amendments must be submitted to the Secretary to be sent out with regular Board announcements.

These Bylaws were approved at a meeting of the Board of Directors of _____ on ____(date)_____.

Appendix C

Board Development

Obligation of Trusteeship
Board members, not staff, are moral trustees for the ownership and, consequently, must bear initial responsibility for the integrity of governance.

The board is responsible for its own development, its own job design, its own discipline, and its own performance…Primary responsibility for board development does not rest in the chief executive, staff, funding bodies or government.

Only responsible stewardship can justify board's considerable authority. Board members who do not choose to accept this breadth of responsibility should resign. (Carver J., 1991, p.133)

Core Board Products

- **Board's first direct product is the organizations linkage to ownership.**
  The board acts in trusteeship for ownership and serves as the legitimizing connection between this base and the organization.

- **Board's second direct product is explicit governing policies.**
  The values and perspectives of the whole organization are encompassed by the board's enunciation of board policies, properly categorized, in an explicit manner.

- **Board's third direct product is assurance of executive performance.**
  Assurance of executive performance: Although the board is not responsible for the performance of staff, it must ensure that staff meet criteria it has set. In this way, its accountability for that performance is fulfilled.

Two Optional Board Products

- Fund Raising
- Legislative

Board Holism
A holistic board is a single organizational position and must officially behave as one. Consequently, board officers exist to help the board do its job, not as powers unto themselves.

Source: Boards that Make a Difference – John Carver

Ten Basic Responsibilities of Nonprofit Boards
By Richard T. Ingram

1. Determine the organization's mission and purposes

2. Select the Executive

3. Support the executive and review his or her performance

4. Ensure effective organizational planning

5. Ensure adequate resources

6. Manage resources effectively

7. Determine and monitor to organizations programs and services

8. Enhance the organization's public image

9. Serve as a court of appeal

10. Assess its own performance

Board Chairperson

Responsible for the integrity of board process.

The chair's job requires skilled handling of group process, an ability to fairly but firmly lead a group to confront and even welcome its diversity and to adhere to agreed upon rules for board conduct.

Boards should take great care in choosing chairpersons who can develop the leadership that often lies dormant in the group.

The Chair's responsibility to board holism extends to his or her ex officio role with public and press. The Chair represents the boards views and should not extend his or her comments beyond that view.

Source: Boards that Make a Difference – John Carver, 1991 (pg. 152)

Secretary

Responsible for the integrity of board documents.

While the chair is guardian of what the board is doing the secretary is guardian of what the board has done. Selection of a secretary should be based on their ability to maintain the integrity of board documents.

Source: Boards that Make a Difference – John Carver, 1991 (pg. 152)

Treasurer

Responsible for the integrity of board's financial obligations

The Treasurer's primary responsibility is to ensure that the organization's financial policies and procedures are in order and carried out. This person should work closely with those who have the responsibility for performing the financial functions of the organization. The Treasurer should make a report at each board meeting. S/he should prepare an annual budget and make financial information available to board members as needed.

Board Member Self-Assessment Questionnaire

General Expectations:

1. Are you aware of the organization's mission statement? Yes ☐ No ☐
   If yes, please paraphrase.

_____

_____

_____

_____

_____

_____

2. Are you aware of the purposes of this organization? Yes ☐ No ☐
   If so, please indicate what they are.

_____

_____

_____

_____

3. Are you aware of the goals of this organization? Yes ☐ No ☐
   If so, please identify some them.

_____

_____

_____

_____

4. Does the organization have established policies and procedures?

Yes ☐ No ☐

If yes, please check any of the following policy statements you are familiar with.

Personnel: ☐ Operational: ☐
Fiscal: ☐ Grievance: ☐

Others Not Listed:

_____

_____

5. Are you familiar with the programs and services offered through the organization?

Yes ☐ No ☐

If so, please identify some of these programs and services.

_____

_____

6. What are the major strengths of the organization?

_____

_____

_____

7. What are some areas within the organization that need strengthening?

_____

_____

_____

8. Do you, suggest possible nominees to the board who are clearly women and men of achievement and distinction and who m make significant contributions to the work of the board and the organizations progress? Yes ☐ No ☐

If no, why not?

_____

_____

9. Do you, or have you, served in leadership positions or undertake special assignments willingly and enthusiastically when asked? Yes ☐ No ☐

If no, why not?

_____

_____

_____

_____

11. Are you aware of the proper way to handle differences within the organization/ board? Yes ☐ No ☐

If yes, do you consistently follow them and encourage others to do so? Yes ☐ No ☐

If no, why not?

_____

_____

_____

_____

12. Do you, follow trends in the organization's field of interest? Yes ☐ No ☐

If no, why not?

_____

_____

_____

_____

13. Are you able to maintain a sense of humor during board meetings? Yes ☐ No ☐

If no, why not?

_____

_____

_____

Meeting Expectations:

1. Do you, prepare for and participate in board and committee meetings, including appropriate organizational activities? Yes ☐ No ☐
   If no, why not?

_____

_____

_____

2. Do you ask timely and substantive questions at board and committee meetings consistent with you conscience and convictions? Yes ☐ No ☐
   If no, why not?

_____

_____

_____

3. Do you support majority decisions on issues decided by the board?
   Yes ☐ No ☐
   If no, why not?

_____

_____

_____

4. Do you, maintain confidentiality of the board's executive sessions?
   Yes ☐ No ☐
   If no, why not?

_____

_____

_____

5. Do you, speak for the board or organization only when authorized to do so?
   Yes ☐ No ☐
   If no, why not?

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6. Do you, suggest agenda items periodically for board and committee meetings to ensure that significant policy-related matters are addressed?

Yes ☐ No ☐

If no, why not?

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Relationship Expectations with Staff:

1. Do you, counsel the executive as appropriate to offer support in his or her often difficult relationships with groups or individuals? Yes ☐ No ☐
   If no, why not?

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2. Do you, avoid asking for special favors of the staff, including special requests for extensive information, without at least prior consultation with the executive, board or appropriate committee chairperson? Yes ☐ No ☐
   If no, why not?

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Conflict Avoidance Expectations:

1. Do you, serve the organization as a whole rather than any special interest group or constituency? Yes ☐ No ☐
   If no, why not?

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2. Do you, avoid even the appearance of a conflict of interest that might embarrass the board or the organization, and disclose any possible conflicts to the board in a timely fashion? Yes ☐ No ☐

If no, why not?

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3. Do you, maintain independence and objectivity and do what a sense of fairness, ethics, and personal integrity dictate even though not necessarily obliged to do so by law, regulation, or custom?' Yes ☐ No ☐
If no, why not?

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4. Do you accept (or offer) favors or gifts from (or to) anyone who does business with the organization? Yes ☐ No ☐
If so, why?

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Fiduciary Expectations:

1. Do you exercise prudence with the board in the control and transfer of funds? Yes ☐ No ☐

If no, why not?

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1. Do you, faithfully read and understand the organization's financial statements and otherwise help the board fulfill its fiduciary responsibility?

Yes ☐ No ☐

If no, why not?

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Fund Raising Expectations:

1. Do you, give an annual gift according to personal means? Yes ☐ No ☐
If no, why not?

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2. Do you, assist the development committee and staff by implementing fund-raising strategies through personal influence with others (corporations, individuals, foundations)? Yes ☐ No ☐

If no, why not?

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Source: This Questionnaire created from a Statement of Individual Board Member's Responsibilities found in the NCNB Governance Series Booklet # 1, Ten Basic Responsibilities of Nonprofit Boards written by Richard T. Ingram originally published by the National Center for Nonprofit Boards in 1988; eleventh printing, June 1996