Spring 2011

International Center for Clubhouse Development: Board of Directors Leadership Track Training Manual

Lindsey Treankler
University of San Diego

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International Center for Clubhouse Development

Board of Directors Leadership Track Training Manual

Lindsey Treankler

University of San Diego

LEAD 504 Board Leadership Class Project

Spring 2011
The International Center for Clubhouse Development

Board of Directors Leadership Track

Training Manual

(TBD Date)
2011
Thank you for the time, talents and commitment you bring to the Clubhouse community. Because of your service, people with mental illness are being offered respect, hope, mutually and unlimited opportunity to access the same worlds of friendship, housing, education, healthcare and employment as the rest of society.

Since its establishment in 1994, the ICCD has promoted the development and strengthening of ICCD Clubhouses. Through the work of the ICCD, the Board of Directors Leadership Track and this manual are available to assist you in developing and strengthening the Board of Directors for your ICCD Clubhouse. As an ICCD Clubhouse that uses the International Standards on Clubhouse Development as the framework for its work you are ensuring that the members of your Clubhouse will benefit from more than 60 years of Clubhouse experience.

Over 300 ICCD member Clubhouses throughout the world insist that their members – there are now more than 55,000 – have access to all the opportunities that are available to others, so that they may take their rightful place as citizens in all the communities in which they live. Much of this work requires that Boards of Directors, in partnership with the Executive Director, have the leadership and governance skills to assist Clubhouses and, ultimately, members achieve their full potential.

The Board of Directors Leadership Track is designed similar to what one might expect at a Board Meeting. There is an agenda with timeframes, names of speakers, topics for discussion and a manual that will guide you. The manual begins with a broad perspective of governance through a more specific form of Clubhouse governance and end with the importance of being generative. Included within each section are articles and resources that are available for continued learning. It is critical that the Board of Directors along with the Executive Director attend the Board of Directors Leadership Track as a team because you will need one another in creating a lasting and positive change for the Clubhouse.

The hope of the Board of Directors Leadership Track is that Board Members and the Executive Director will gain increased knowledge on what it takes to become an exceptional Board of Directors within an ICCD Clubhouse. It is with this greater knowledge and guidance that Clubhouses will become even more efficient and effective organizations in providing mental health services within their communities.

At the heart of every strong Clubhouse there is a strong partnership and commitment to providing the best service possible to people diagnosed with mental illness.
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Connecting the Board with the Community

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AGENDA
Board of Directors Leadership Track
Day 1 - Date (TBD)
9:00 am to 5:00 pm

7:00 am – Buffet Breakfast at Residence Inn Marriott
8:30 am – Meet in Hotel Lobby for Transportation to Independence Center
9:00 am – Board Education: Creating Strong Clubhouse Leadership

- Tour of Independence Center (name) 30 min.
- Welcome and Introductions (name) 5 min.
- Review Agenda for the day (name) 5 min.
- Activity #1 – Ice Breaker/Mission Moment 20 min.

Section 1
The Board of Directors and Governance (name) 15 min.

- Board Member Orientation (name) 1 hr. 45 min.
  - Why is Board Member Orientation important?
  - Activity #2: Board Orientation
  - Overview of Independence Center’s Board Orientation (name)
  - The value of a Board Manual and what should be included

12:00 pm – Lunch and Networking at the Clubhouse 1 hour

Section 2
Activity #3 – Vote with your feet! 30 min.

- Roles and Responsibilities (name) 1 hr. 30 min.
  - Expectations
  - Job Descriptions
  - Policy Making

3:00 pm – Break 15 min.

Section 3
Legal Responsibilities for Board Members (name) 1 hr. 30 min.

- Activity #4 – Legal Ramifications
- Duty of Care
- Duty of Loyalty
- Duty of Obedience
- Sarbanes Oxley and the 990

4:45 pm - Debriefing 15 min.

5:00 pm – Colleague Reception – Dinner and cocktails
AGENDA

Board of Directors Leadership Track
Day 2 - Date (TBD)
9:00 am to 5:00 pm

7:00 am – Buffet Breakfast at Residence Inn Marriott
8:30 am – Meet in Hotel Lobby for Transportation to Independence Center
9:00 am – Board Education: Creating Strong Clubhouse Leadership

Welcome and Introduce any new people in the room (name) 5 min.
Review Agenda for the day (name) 5 min.
Mission Moment – Why Boards are so important to Clubhouses (name) 15 min.

Standard #32
The Clubhouse has an independent board of directors, or if it is affiliated with a sponsoring agency, has a separate advisory board comprised of individuals uniquely positioned to provide financial, legal, legislative, employment development, consumer and community support and advocacy for the Clubhouse

Section 4
The Boards Fiduciary Responsibility to the Clubhouse (name) 1 hr. 20 min.
- Fundraising
- The Budget
- Audits
- Activity #5 – Case Study on Diversifying Funds

10:45 am - Break 15 min.

Section 5
Employment Development (name) 1 hour
- What is TE/SE/IE and why is it important?
- What is the Board’s Role in Employment Development?
- Activity #6 – Who do you know that can help?

12:00 pm – Lunch and Watch Video of Independence Center Board Meeting 1 hour

Section 6
Connecting the Board with the Community 1 hr. 15 min.
- Public Relations
- Advocacy
- Alliances
- Consumer and Community Support
- Activity #7 - Collaborations
Section 7
Activity #6 – Board or Self-Evaluation and Discussion 30 min.

Section 8
Strategic Planning (name) 45 min.
- Board Retreats
- Board Member Recruitment

3:30 pm – Debriefing 15 min.
3:45 pm - Break 15 min.
4:00 pm – Action Plan Development with Coaches 1 hour
AGENDA

Board of Directors Leadership Track
Day 3 - Date (TBD)
9:00 am to 12:00 pm

7:00 am – Buffet Breakfast at Residence Inn Marriott
8:30 am – Meet in Hotel Lobby for Transportation to Independence Center
9:00 am – Board Education: Creating Strong Clubhouse Leadership

Welcome and Introduce any new people in the room (name) 5 min.

Review Agenda for the day (name) 5 min.

Section 9

The Generative Work of the Board (name) 1 hr. 5 min.
• What is Generative Work?
• Activity #7

10:15 am - Break 15 min.

Presentation of Action Plans (Clubhouses) 1 hour

Training Evaluations/Comments 20 min.

Concluding Remarks/Thank you and acknowledgement to all the people who helped put on the Board of Directors Leadership Track 10 min.

12:00 pm – Lunch and Colleague Farewells

*** Have a safe trip home! ***
**Roster of Participants**

**Board of Directors Leadership Track**

TBD Date

<table>
<thead>
<tr>
<th>Name of Clubhouse</th>
<th>Name of Clubhouse</th>
<th>Name of Clubhouse</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participant Names</td>
<td>Participant Names</td>
<td>Participant Names</td>
</tr>
</tbody>
</table>

**Training Team**

Names of Training Team members

**Special thanks to:**
**Ice Breaker/Mission Moment**

**Activity #1**

Take 5 minutes to write down 3 to 5 events and/or people that brought you to Clubhouse.

Or

Write down 3 to 5 reasons why you got involved in Clubhouse.

Or

What is your motivation for participating in the Board of Directors Leadership Track? (i.e. Why are you here?)
Section 1

Governance and Board Member Orientation

Governance is the process of giving fiduciary, strategic and generative leadership to a nonprofit organization by a legally constituted board of directors. The board then, is a group of people, who together oversee and advance the organizations’ cause for the common good on behalf of our community.

Questions to Ask Yourself

What is nonprofit governance?

How would providing an orientation to new board members help the Clubhouse?

What would new board members need to know about our Clubhouse?

How will improved governance help the Clubhouse?

Why is it important for the board of directors to work as a team?
An Overview of Nonprofit Governance
David O. Renz, Ph.D.
Midwest Center for Nonprofit Leadership at UMKC
This article is adapted from a chapter prepared for
Philanthropy in the U.S.: An Encyclopedia (Dwight Burlingame, ed.)

Governance is the process of providing strategic leadership to a nonprofit organization. It entails
the functions of setting direction, making policy and strategy decisions, overseeing and
monitoring organizational performance, and ensuring overall accountability. Nonprofit
governance is a political and organizational process involving multiple functions and engaging
multiple stakeholders.

The meaning of governance is relatively different for nonprofit and governmental settings.
Public sector (government) governance refers to the political process of policy and decision
making for communities and political jurisdictions, whereas nonprofit governance refers to the
process of providing leadership, direction, and accountability for a specific nongovernmental,
not-for-profit organization. This chapter addresses only the topic of nonprofit governance.

In the United States and many other nations, an incorporated nonprofit organization must have a
governing board and, as a matter of law, this board constitutes “the organization.” It is common
for boards to hire staff to actually do the work of the organization, often with support from
volunteers. Nonetheless, it is the governing board that ultimately is accountable for all acts
undertaken in the name of the organization, whether or not those acts are formally approved or
implemented by the board itself. This accountability exists regardless of the size or nature of the
organization and regardless of whether the organization employs staff, and members of nonprofit
governing boards must recognize that they have certain legally enforceable duties and
obligations by virtue of their membership on the board. (These duties and obligations are
relevant only to the official governing board, itself, and do not apply to non-governing bodies
such as advisory boards or councils.)

Nonprofit governance is primarily the province of an organization’s governing board, often
known as a board of directors or board of trustees. However, in larger organizations that employ
staff, it is not unusual for others to be a part of the governance process, as well. In particular, it is
common for the chief executive or staff officer of the organization to play a very active role.

Governance, strategy, and leadership

Effective governance is integral to the success of the nonprofit organization. Governance is
essentially a decision process grounded in the assumption that organizations can cause desired
results to occur by choosing appropriate courses of action. Fundamentally, governance and
strategic leadership are about making informed organizational choices: choices about why we’re
here, what we want to accomplish, the best ways to achieve those results, the resources we’ll
need to do these things and how we will secure them, and how we will know whether we are
making a difference. Strategy is the process of selecting among competing courses of action,
using the chosen goals and outcomes as the basis for the selection, and implementing these
strategies to achieve these results and outcomes. The process involves gathering information and
using it to inform the decision process, with the expectation that effective strategy choices will
result in organizational success. Unlike the for-profit world, where these choices are largely grounded in options for making money for someone, nonprofits essentially always begin with a focus on doing good – and making choices about how best to have an impact. Effective governance and strategy are integral to the sustainability and long-term effectiveness of a nonprofit operating in today’s complex and competitive world. To succeed, nonprofits (like all organizations) must continuously renew the link between what they do and the needs and interests of the community they serve. They must ensure they are providing the services needed and valued by their clients and constituents, and in ways that are consistent with the organization’s core values and principles. As the organization serves its clients, governance involves making judgments about how well or poorly the organization is doing and then making choices about how it can be more effective.

**Boards of Directors**

The board of directors (sometimes known as the board of trustees or governing board) is the primary group of people entrusted with and accountable for the leadership and governance of the nonprofit corporation. Governance is a central responsibility of the board, yet the typical board’s work goes beyond that of governance, alone. For example, it is common for boards and their members to also serve as:

- Ambassadors who build relationships and generate good will;
- Sponsors and representatives who advocate on behalf of the organization;
- Trusted advisors and consultants who offer guidance and serve as sounding boards for the chief executive and staff; and
- Resource developers who help the organization secure essential resources.

In certain membership organizations, board members may also serve as representatives who advocate on behalf of particular constituencies or membership groups in the governance process. However, this is not an appropriate role for a member of the board of a typical nonprofit organization (see section on legal duties for more information).

**The Legal Duties of the Board**

In the United States, the board of directors of a nonprofit corporation has the ultimate responsibility and accountability for the conduct and performance of the organization. Boards regularly delegate the work of the organization to executives, staff, and volunteers, yet they cannot delegate or reassign their responsibility for that work. Nonprofit corporations are entities authorized by a state to be formed for the purpose of engaging in public service, and each such corporation must have a governing body that oversees and ultimately is legally accountable for the organization.

Over the past decade, there has been an increase in the attention paid to the legal responsibilities of nonprofit boards and their members. Both federal and state authorities have placed increased emphasis on the need for nonprofit boards to be accountable for the quality of their governance and oversight of their organizations. The increasingly competitive and demanding environment of nonprofits, including increased competition between nonprofits and for-profit businesses, likely will lead to even more legal accountability. Nonprofit boards have roles that go much
beyond the legally required, yet there is no question that boards must be very attentive to the performance of their legal responsibilities. From a legal perspective, the nonprofit board and its members, individually, have three fundamental duties.

**Duty of Care**, which is taking the care and exercising the judgment that any reasonable and prudent person would exhibit in the process of making informed decisions, including acting in good faith consistent with what you as a member of the board truly believe is in the best interest of the organization. The law recognizes and accepts that board members may not always be correct in their choices or decisions, but holds them accountable for being attentive, diligent, and thoughtful in considering and acting on a policy, course of action, or other decision. Active preparation for and participation in board meetings where important decisions are to be made is an integral element of the duty of care.

**Duty of Loyalty**, which calls upon the board and its members to consider and act in good faith to advance the interests of the organization. In other words, board members will not authorize or engage in transactions except those in which the best possible outcomes or terms for the organization can be achieved. This standard constrains a board member from participating in board discussions and decisions when they as an individual have a conflict of interest (i.e., personal interests conflict with organizational interests).

**Duty of Obedience**, which requires obedience to the requirements of applicable laws, rules, and regulations, as well as honoring the terms and conditions of the organization's mission, bylaws, policies and other standards of appropriate behavior.

Board members are obligated to honor these standards with regard to all decisions and actions of the board, and those who do not may be subject to civil and even criminal sanctions (including sanctions imposed by the Internal Revenue Service of the U.S. government in cases of inappropriate personal benefit).

**The Core Responsibilities of the Board**

Much has been written on the core responsibilities of the nonprofit board, and no one list is universally applicable to all nonprofit organizations. The following summary reflects the list of the board responsibilities articulated by Ingram for BoardSource (formerly, the National Center for Nonprofit Boards; Ingram, 2001).

It is the board’s responsibility to:
1. Determine and articulate the organization's mission, vision, and core values.
2. Recruit and select the organization's chief executive.
3. Support and assess the performance of the organization's chief executive.
4. Ensure that the organization engages in planning for its future.
5. Determine the set of programs that the organization will deliver to implement its strategies and accomplish its goals, and monitor the performance of these programs to assess their value.
6. Ensure that the organization has financial and other resources adequate to implement its plans.
7. Ensure the effective management and use of the organization's resources.
8. Enhance the organization's credibility and public image.
9. Ensure organizational integrity and accountability.
10. Assess and develop the board's own effectiveness.
The Fiduciary Responsibility of Boards

Boards and board members often are reminded that they have a "fiduciary responsibility" to the organization and, ultimately, to the larger community within which they serve. At its core, "fiduciary responsibility" is the responsibility to treat the resources of the organization as a trust, and the responsible board will ensure that these resources are utilized in a reasonable, appropriate and legally accountable manner. While the phrase often is used to refer especially to financial resources, it applies to the stewardship of all of the assets and resources of the organization.

The appropriate exercise of fiduciary responsibility includes:
   a) Adoption of a set of policies to govern the acquisition and use of financial and other resources;
   b) Establishment, on a regular basis (usually annual), of a budget that allocates financial resources to the programs and activities that will accomplish the organization's mission, vision and goals and outcomes (preferably, in alignment with a strategic plan);
   c) Development and implementation of an ongoing system for monitoring and holding staff and volunteers accountable for their performance with regard to these policies and budgets;
   d) Development and implementation of an ongoing system to monitor, assess, and report on the overall fiscal condition and financial performance of the organization; and
   e) Implementation of an external independent review process (i.e., an audit) on a regular basis (usually annual), to assess the organization's fiscal condition and health, including the effectiveness of its systems and policies for the protection and appropriate use of financial resources.

Unfortunately, many boards operate in much less systematic ways to ensure fiduciary accountability, and some become very enmeshed in the details of the organization and its management. In reasonably healthy organizations with competent staff, such "micromanagement" is counterproductive and can create an inability to "see the forest for the trees" (i.e., the board becomes so caught in detail that the important trends and issues are overlooked or obscured), and because it disrupts and alienates the executives and staff who experience the interference.

Typical Structures and Characteristics of Nonprofit Boards

Nonprofit boards have specific positions (officers) and work units (committees and task forces) that help the board organize and accomplish its work. The typical nonprofit board in the United States is comprised of from twelve to 24 members, and the average board size is 17 members. Boards must meet regularly, but the frequency of meetings varies from quarterly to bi-monthly to monthly.
**Officers**

The officers of the typical nonprofit organization are the key leaders for the organization. In most states of the U.S., a nonprofit corporation must have certain officers. The most common positions are Board Chair (or President), Vice Chair (or Vice President), Secretary, and Treasurer. The Board Chair is the chief voluntary officer of the organization, and is responsible for organizing and conducting the meetings of the board. Further, it is the chair's responsibility to facilitate the board’s work as a team, and to ensure that meetings and other board activities are conducted in an effective manner. It is common for the Board Chair to oversee the performance of the organization’s chief executive on behalf of the board, although some organizations elaborate the process by involving both the chair and Executive committee in executive performance management.

**Committees and Task Forces**

Boards engage in much of their work as a full group and, ideally, all members work as a team to accomplish the work of the board. Nonetheless, most boards also develop committees and task forces to help the board do its work, and these entities are part of the governance system of the organization. For most boards, some of these units are permanent or “standing” structures, while others accomplish a specific task and then disappear. It is increasingly common for boards to refer to the permanent structures as committees and the limited term entities as task forces or ad hoc committees, although some organizations do use the labels interchangeably. While it is common for board committees to be comprised entirely of board members, it is increasingly common to also invite non-board members with unique expertise or knowledge to serve. Often, the standing committees are specified in the organization’s bylaws, which explain their duties and responsibilities.

For boards with elaborate committee systems, the following are among the most common types of committees:

1. Executive Committee: This committee is typically comprised of the officers, and sometimes will also include committee chairs or selected other board members. It usually has the authority to act on behalf of the board between meetings and to address organizational emergencies. Some executive committees have the authority to act independently, but many are required to have their actions reviewed and ratified by the full board.

2. Nominating Committee: This committee has the responsibility for recruiting candidates for board and committee membership and preparing a “slate” of candidates or nominees for consideration and action by the full board. Some also nominate officers. It is increasingly common to define this committee’s responsibilities to include a year-round cycle of board development activities, including new member orientation, member self-assessment, board self assessment and development, and the development of board training programs and retreats. When operating with this enlarged portfolio, such committees often are called Board Development Committees.

3. Fund Raising or Development Committee: This committee usually is responsible for working with staff and board to organize and implement the organization’s fund raising events and activities, including the solicitation of major gifts and grants.
4. Finance Committee: This committee is responsible for planning, monitoring, and overseeing the organization’s use of its financial resources, including developing a budget to allocate the organization’s funds. This committee will develop for board action the financial policies the organization requires. Unless the organization has a separate Audit Committee, the Finance Committee also will oversee and review the organization's independent audit.

5. Personnel Committee: This committee usually is responsible for planning, monitoring, and overseeing the organization’s use of its human resources (paid and volunteer). This committee will develop needed personnel policies, including policies guiding performance management and supervision, employee compensation and benefits, and handling of grievances.

6. Program Committee: It is common for nonprofits to have one or more committees to oversee the organization’s system(s) for delivering quality services to clients, and to ensure that these services are provided in a timely and responsible manner. This committee may handle certain relations with community leaders and interest groups that have key interests in the programs of the organization, as well as planning for program development or refinement to meet future needs.

It is important that committees and task forces do only work that legitimately is the responsibility of the board, and take care that these structures do not interfere with the operations of the organization. Many boards have too many committees and it has become a trend among some boards to minimize the number of standing committees and use task forces as needed to address issues of strategic importance.
The Importance of Board Member Orientation

In the process of becoming a strong, high-performing team, the Board of Directors needs to address the needs of each new member to the team. The information provided to new Board members in the form of an orientation and/or board manual helps orient them to the history of the Clubhouse, the different services of the Clubhouse, the numerous responsibilities that he/she has signed on to, policies and procedures that are in place and much more. Each of the items contained in the Board Orientation will ensure a smoother transition to the Board’s focus of Leadership through fiduciary, strategic and generative governance.

The time and energy put into creating a strong orientation for new members of the board must also include time for team-building. Strong boards must perform at a high level to do all of the work that is required of them but this cannot be done if the team is not working together at the same level. There is a common saying that you are only as strong as your weakest link. If this is true, then the faster you can get that new board member to understand the intricacies of your Clubhouse and be comfortable with the team the more quickly you can begin to focus on the important work that needs to get done.

Suggestions for Incorporating a Meaningful Orientation

First and foremost the board and Clubhouse must be prepared to bring someone new onto the board. Have a game plan in place for how the new member is going to be orientated and caught up to speed. By having a plan in place the board will come across as organized and professional. In addition the new board member will feel more welcome and will have a better understanding of what his/her commitment will include.

The New Board member should be:

• Invited to an orientation session where another board member will go over all he/she needs to know be an effective board member
• Paired up with someone already on the board who can answer questions
• Given a tour of the Clubhouse
• Brought to a TE site and introduced to employer
• Shown the housing program
• Introduced to other Clubhouse Colleagues including members and staff
• Given a board and/or policy manual
• Invited to a social gathering with other board members
• Encouraged to attend Clubhouse training or other professional development trainings
• Encouraged to volunteer in the Clubhouse for a day
Clubhouse Orientation

Activity #2

Get together with the other members of your Clubhouse team and begin to brainstorm. What should be included in the orientation of new board members to help them become more familiar with your Clubhouse? Be sure to include items that are specific to the operations of your Clubhouse and more specifically operations of the Board.
# Sample Board Orientation Schedule

**Independence Center**
**Tuesday, September 28th, 2010**

<table>
<thead>
<tr>
<th>Time</th>
<th>Location</th>
<th>Topic</th>
<th>With Whom</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:00-9:30</td>
<td>Independence Center 4245 Forest Park Ave.</td>
<td>Welcome &amp; intro to IC</td>
<td>Mike Keller, Exec. Dir. &amp; Justin Idleberg</td>
</tr>
<tr>
<td>9:35-11:00</td>
<td>Upper Level Wayne Isaacs</td>
<td>The clubhouse in action</td>
<td>Kara Daumueller – Morrell, Team Leader</td>
</tr>
<tr>
<td></td>
<td>Street Level Sarah Gehlert – Store John Morrison</td>
<td>The clubhouse in action</td>
<td>Faye Richardson – Specialist Amy Clinton, Team Leader</td>
</tr>
<tr>
<td></td>
<td>Lower Level Peter Van Cleve</td>
<td>The clubhouse in action</td>
<td>Paul Schoenig, Team Leader</td>
</tr>
<tr>
<td>11:00 – 12:10</td>
<td>Visit to TE site</td>
<td>Employment Program 101</td>
<td>Amy Clinton, Team Leader</td>
</tr>
<tr>
<td>12:15 – 1:15</td>
<td>Lunch Session West End Place – Upper Level Large Conference Room</td>
<td>Pulling It All Together</td>
<td>Beth Brown, Assoc. Dir. Mary Kistner, Board member</td>
</tr>
<tr>
<td>1:25 – 2:00</td>
<td>Newstead Apartments 19. North Euclid Laclede Apts.</td>
<td>Residential Programs &amp; Housing</td>
<td>Mary Alice Scherrer, Residential Manager Theresa Soebbing, Facilities Specialist</td>
</tr>
<tr>
<td>2:05 – 2:25</td>
<td></td>
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<tr>
<td>2:35 – 3:05</td>
<td>Laclede Center 4219 Laclede Ave.</td>
<td>CommunityCare &amp; Midwest Psychiatry</td>
<td>Barb Devos, Specialist &amp; Jan Markham, Specialist</td>
</tr>
<tr>
<td>3:15 – 3:45</td>
<td>Development Upper level Small Conf. Rm.</td>
<td>Time, Treasure &amp; Talent! Developing a working Board.</td>
<td>Lynn Huelsman, Dir. Development</td>
</tr>
<tr>
<td>3:50 – 4:15</td>
<td>Business Office &amp; Finance Upper Level Small Conference Room</td>
<td>Budget, monthly reporting, funding &amp; other functions.</td>
<td>Angie Griffard, Finance Manager</td>
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<td>4:30-5:45</td>
<td>Upper Level Large Conference Room</td>
<td>Board Meeting</td>
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<td>6:00</td>
<td>Centene Corporation</td>
<td>Cocktails</td>
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Sample Board Orientation Evaluation

1. What was the best part of your day? Why?
__________________________________________________________________________________
__________________________________________________________________________________

2. What did you learn that really surprised you? ___________________________________________
__________________________________________________________________________
__________________________________________________________________________

3. How did the orientation day help you to understand the mission of the Clubhouse?
__________________________________________________________________________
__________________________________________________________________________

4. Using numbers 1-5 with 5 = excellent and 1 = poor, please rate each component of the
orientation.

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<th>Clubhouse</th>
<th>TE visit</th>
<th>Residential</th>
<th>Business Office</th>
<th>Midwest Psych CCPH</th>
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5. What did you feel was the most productive part of your day? Would you recommend
another way to provide orientation to other board members?
__________________________________________________________________________
__________________________________________________________________________

6. Did you feel anything was missing from the orientation that would have enhanced the
experience?
__________________________________________________________________________
__________________________________________________________________________

7. Other comments:
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

______________________________(Name - Optional)
The Value of a Board Manual

The Board Manual provides board members with an invaluable tool that will likely be used as a reference guide for policies, history, responsibilities, financial information, governing procedures and much more. A Board Manual is a great informational and communication tool for the board because it takes away assumptions and can provide guidelines on what to do in certain situations. It also helps maintain the organization’s culture, saves time, and protects the organization from poor management because everyone is on the same page.

What Should be Included in a Board Manual?

The Board Manual is an important part of your orientation to new Board Members and can also be helpful in the recruitment of others to the Board. The goal is not to overwhelm Board Members but to give them information that they will need to help the board reach its full potential. The information within the Board Manual should be updated on a regular basis by the Board or one of the Committees within the Board.

**What should be included?**

**Board Operating Information:**
- The mission, vision and ICCD Standards for the Clubhouse
- The Clubhouse’s bylaws
- Articles of incorporation
- IRS determination letter of 501 (c) 3 status
- Policies and procedures that affect the Board’s operation
- Conflict of interest statement
- The most recent strategic plan
- Financial records and data including recent audit, current budget, and financial statements

**Board Membership information:**
- Job description for Board Members
- Job description for the CEO/Executive Director
- A Board matrix
- A meeting schedule
- Committee responsibilities
- Biographies of key staff and other Board Members
- An organization chart
- Roles and responsibilities

**Other Important documents:**
- A current annual report
- Minutes from past meetings
- Key facts about the Clubhouse
- Insurance policy information
- Key stakeholders in the community such as major donors and collaborations
- Past agenda items
- Evaluation materials
Sample Agenda from Independence Center

AGENDA

Independence Center Board of Directors Meeting
July 20, 2010
4:30 pm – 5:45 pm

Introduction of Visiting Colleagues – 3 minutes

Board Education: Speakers’ Bureau – IC Member Joanie Eckert – 12 minutes

1. Approval of Minutes of May 25, 2010 Meeting

2. Committee Reports
   A. Finance Committee -- Tom Harmon, Chair – 15 min.
      • FY ’10 Year-end projection
      • FY ’11 Budget
      • Possible Housing Conversion at Stupp Apartments
   B. Board Education and Governance Committee – Kent Higginbotham, Chair – 10 min.
      • ACTION REQUIRED: Election of new directors
      • Planned Board Retreat
      • Recognition and Appreciation of Retiring Board Members
        – Steve Desloge and Mike Keller
   C. Employment Development – Karen Gotsch, Chair – 5 min.
   D. Store Committee Report – John Sweet, Chair – 5 min.
   E. Development Committee – Cyndy Donato, Chair – 10 min.
      • Golf Tournament results – Mark Eggert
      • Anthem Blue Cross – Blue Shield Foundation Grant
      • Summer Fusion Young Friends Event – Sarah Thompson
   F. Capital Campaign Cabinet – Peter Kieffer, Chair – 5 min.

3. Executive Director’s Report – Mike Keller -- 10 min.
   • Clubhouse Services Report – Jennifer Higginbotham.
   • Mental Health Board Grant – ACTION REQUIRED: Grant Acceptance
   • Joint Commission review of Community Care program
   • Designation of Bequest from Minerva Canavan
   • State Funding Climate

4. President’s Comments – Steve Desloge – 5 min.
Sample Board Minutes from Putnum Clubhouse

May 13, 2010
Approval Pending

Attendees: Betty McCabe, Richard Hoff, Pat Hoff, Cindy Mataraso, Molly Hamaker, Randi Hackbarth, Mae Bragen, Kristen Gauche, Rebecca Hernandez, Linda Cardiff, Leanne Parker, Alita Van Hee, Thomas Castillo

Board Members Absent: none

Guests: Stephen Boyd

Clubhouse Staff: Tamara Hunter, Molly Hamaker

The meeting was called to order by Betty McCabe, Board President, at 6:00 at the Clubhouse located at 3024 Willow Pass Road.

A motion was made and accepted to approve the board meeting minutes from April as written.

Treasurer’s Report: Dick Hoff

• As of May 12th our liquid assets totaled $63,547.
• County contracts – PEI and CSBG have paid through March 31st.
• Our annual spending rate based on the past 10 months is $466,682.
• Dick will look into obtaining a line of credit.
• Fiscal audit by Mr. Si J. Noe is going well and is expected to be completed within the next month.

A motion was made and all were in favor to accept the Treasurer’s report.

Clubhouse Report: Tamara Hunter

• April had 100 active members with an average daily attendance of 26.4. Total Clubhouse members is about 270. Actual number is unknown as we are still in the process of recovering data from the burglary.
• The security system was installed and is working well.
• Member Bill Bailey started employment with Carpet Marshall.
• Exploring a transitional employment opportunity with John Muir.
• NAMI walk is 5/22. 32 members are signed up. Everyone is encouraged to donate by going on-line and making a donation through the team name of Putnam Clubhouse. Everyone is reminded that it is important to designate that the donation is to be credited to Contra Costa County NA MI.
• Stephen and Tamara are on the steering committee for the ICCD Western Regional Convention in October. They are looking for people to present at the event.
• Our ICCD certification is scheduled for September. The self-study will begin shortly.
• As part of the SPIRIT program Alita will be interning at Crestwood. 2 SPIRIT interns will be at the Clubhouse.
Tamara reviewed the process of becoming a member. It starts with the potential member getting an orientation/tour. Then an application is completed by the member and treating doctor. The completed application is reviewed by Unit A. If accepted an orientation to the clubhouse is scheduled at which point the person is a member.

**Executive Director Report: Molly Hamaker**

- The website is close to being launched. It is interactive. There will be member stories told by video. Stephen is the first story.
- The Clubhouse brochure will be translated into Spanish.
- Brain training will start by July. Betty will work with the members who are interested. It will include a commitment of 3 days a week for 10 weeks and 1 hour per session.
- We collaborated with County Mental Health on a grant from SAMSHA. It focused on employment.
- PEI contract expires in June, but there are 6 months written into the grant to negotiate the next phase. We were approved to use some of the unused money for a 2nd van, 4 new computer stations and furniture for the new space.
- A 2010 Sienna will be purchased – pending board approval.
- Molly will start to focus on grant writing with assistance from HTA.

A motion was made and all approved to accept the ED report.

**Fundraising Committee: Betty McCabe and Kristen Gauche**

- The picnic will be July 16th at Cowell Park. Members, families and the mental health community are invited.
- Our annual event is October 4th. The space is secured. The speaker will be Rachel Loui who is the Director of Early Identification and Preventions at UCSF. She has developed an assessment tool. We will get an emcee this year. There will be a raffle, live auction and prizes.
- The spring appeal letter will come out to correspond with the newsletter. Tamara wrote a personal story for the newsletter and a personal story by Bill Baily will be featured on the appeal letter.
- The adopt-a-donor program starts now. Coming soon will be a list of people each board member is expected to adopt. Kristen suggested that the first correspondence be a handwritten note to save the date for the October event. An email with the specifics will be coming.

**Miscellaneous:**

- Alita was honored at the founding member on the Clubhouse Board. Tonight is her last serving on the board.

**Action Items:**

- A motion was made, seconded and all approved to spend about $41,000 to purchase a van, furniture and 4 new computer stations with the remaining PEI money as approved by the County.
- A motion was made, seconded and all approved to submit the proposed budget to the County for the 2010-2011 PEI award.
• A motion was made, seconded and all approved Stephen Boyd as the next member to be on the board. Stephen was selected by his peers.

**Attachments:**  
Agenda  
Treasure’s Report  
2010-2011 proposed PEI budget  
May Clubhouse Events

Meeting adjourned at 7:45 pm.

Next Meeting is June 10, 2010, 6:00 at 3024 Willow Pass Road, Concord, CA.

Next Fundraising Committee Meeting is June 10, 2010 at 4:30 at 3024 Willow Pass Road

Respectfully submitted by Cindy Mataraso
Nonprofit Boards are anything but static. New members join, old ones leave; even older ones return. People change ideas and views as they learn, talk, and grow more experienced. An effective Board is a dynamic, fluid group that brings new ideas to further a cause that they are passionate about.

Of course, all of this isn't always a smooth trip. And one of the bumps in the road can be working with new members. Having new members -- fresh blood -- is critical to the ongoing success of most Boards. But without the proper training, these members can be frustrated and ineffective -- they may even choose to leave -- making your Board as a whole much less than it could or should have been.

With the proper training, however, new Board members are sometimes the factors that make an average Board good, and make a good Board exceptional. Our goal in this section is to help you do that, and to change that "bump in the road" to a launch pad from which your organization will soar.

Are you ready to fly?

**Why is it important to welcome and train new Board members?**
A lot of this is probably intuitive. But let's recap, to ensure it's at the forefront of our thinking as we begin. A proper welcome and training will help new members...

- ...Take on their roles in the organization both quickly and comfortably.
- ...Feel more connected to one another.
- ...Feel more connected to the organization.
- ...Better understand their role on the Board -- why they were asked to join, and what is expected of them as members.
- ...Operate from the same "script" -- that is, to understand the vision, mission, and their roles in the organization in the same way.
- ...Feel more motivated to do a better job.

**When should you welcome and train new Board members?**
It depends on your organization, how often you meet, and how often new members join the Board. Many Boards find that holding an official orientation session once a year, either before a regular meeting or during the organization's annual retreat, makes most sense. If your group has a certain time of year in which it recruits new members, it makes sense to hold this meeting immediately after new members have been recruited.
Recruitment can also take place both more casually and more often than the way we are focusing on in this section. For example, in some cases "orientation" might be a dinner or meeting with just the Board President and a welcome as a brief agenda item during a regular meeting; and/or orientation might take place informally with a mentor for the new member.

This more casual approach makes most sense when:

- The organization is local and/or very small
- The new Board member already knows most of the existing Board members
- The new member is already very familiar with the organization's work

For that type of Board member, there's almost never a bad time to welcome them to the Board family -- this informal orientation can occur as needed with very little fanfare.

For example, a small, all-volunteer crisis-counseling center in the Midwest routinely asks two of its volunteer counselors to sit on its Board. Since the Board and volunteers routinely celebrate holidays and accomplishments together at parties organized by the center's director, the volunteers have generally already met the other Board members in a laid back circumstance, and they are clearly familiar with the organization's mission and work. In this case, a full-blown orientation session is probably not necessary.

If training Board members for your organization happens in a similar set of circumstances, you might want to "pick and choose" from among the more detailed ideas presented in this section for a less formal orientation and training session for your Board members. It's also true that all of the information is given in a framework of a single session. In reality, much of what follows can and often does occur in a much less formal atmosphere. Again, we suggest that you use these ideas as a framework, and use ideas as they make sense to you.

How do you welcome and train an effective Board of Directors?

There are three major steps in setting up such a session: advance preparation, the welcoming and training session itself, and follow-up. Let's look at these ideas one by one.

Before the welcoming and training session:

1. Decide who should attend. Will it be mainly new members, or will you include the entire Board? Especially if the session coincides with a retreat, this might be a good time for all Board members to refresh their ideas of what the Board is and what it will do.) Also, decide if paid staff will be present. If new members haven't yet met staff members, and it's logistically possible, it's probably a good idea. If not, be sure to find a different time for the new member(s) to meet staff and at least some of the organization's volunteers.

2. Decide who will facilitate the meeting. This might be a "no-brainer;" very often the facilitator role falls to the Board chair and/or the chief executive. However, there are other possibilities as well. One is to bring in someone from the outside - an organizational developer or other consultant. You wouldn't necessarily want to do this every time, but it might be useful if you have a slew of new Board members coming on at one time. Another possibility is to have one or more staff members run an orientation. This idea often works out really well. If you're a participant-centered organization, it may make sense to have a participant or group of participants facilitate at least part of the meeting.
3. **Send out information for attendees to look over before the meeting.**

*All attendees should receive:*

- Notice of the meeting, along with all of the relevant logistical information (when, where, hotels to stay at if the meeting isn't local for everyone, and so on). If a) the meeting is particularly important (e.g., an annual retreat), or b) your Board meets rarely (e.g., quarterly), this information should be received at least a month before the upcoming meeting or retreat.
- A reminder, often in the form of a postcard, to arrive a week before the meeting.
- A proposed agenda for the upcoming meeting.
- A list or notice of anything you want members to bring to the meeting. (For example, "Be sure to bring your Board manual, as we'll be reviewing it and passing out supplements!")
- A tentative list of whom will be at the meeting, with an explanation of who they are. (For example, "Toumani Chiabete is a social worker at Shawnee County Mental Health Center and is one of our new Board members... Theresa Welsko has been our exceptionally capable administrative assistant for the past seven years... Melissa is one of our clients, who has served on our Board for the past year and a half.").
- Contact information, such as addresses/phone/e-mail contact for all Board members.

*New members should receive:*

- A lot of information, received well before the meeting so they will be able to sift through it at their leisure. Information that you might send them in a large packet might include:
  - A Board manual, if one exists (see **Examples** for topics it might include)
  - Minutes of previous meetings
  - Articles, both negative and positive, that have been written about the organization
  - Materials developed about the organization and its programs (brochures, press kits)

**Can you overwhelm a new Board member with material?**

Possibly. But generally speaking, it's far better to give a Board member (new or old) too much information, rather than not enough. It's critical that Board members are well informed about what's going on with the organization, the issue the organization stands for, and the nonprofit sector as a whole. So go ahead, send out that information. At worst they won't read all of it; at best, Board members may be far more informed than you had even hoped for!

**The welcoming and training session itself:**

1. **Give everyone nametags.**
2. **Make sure everyone has a chance to meet everyone else.** If it is simply a regular meeting time (as opposed, say, to a two-day retreat), you might consider a "social hour" either before or after the meeting itself to let people have a chance to get to know one another. This doesn't have to be formal -- you might offer to buy the first round if folks want to join you for drinks after the meeting.

If people haven't met, they should be introduced -- and if you can swing it, you might want to let them know something they have in common to help break the ice. ("Christen, let me introduce you to Thurman -- he's the only person I've ever met who likes soccer more than you do.")

**Remember:** One of the major reasons people join Boards is to meet other people. The easier and more enjoyable you can make that, the happier (and more effective) your Board is likely to be.
3. Explain (or, for old-timers, review) major topics which concern the Board, including:

- The Board Manual
- The mission, vision and values of the organization
- An overview of the organization's history
- Roles and responsibilities of the Board and the staff, including time expected or normal time commitments
- An administrative calendar which schedules important Board activities
- An organizational chart, including the list of current and planned committees
- Information about how the Board conducts its meetings -- what kinds of rules do you use to make sure that things get done?

**How formal is your Board?**

A great many Boards use Robert's Rules of Order to keep the meeting running smoothly and efficiently; if yours doesn't and is frustrated with its meeting process, you might consider trying it out. It really depends on how formal your Board is and how into procedure you want to get. Robert's Rules are logical, and they aren't a bad set of guidelines for running a meeting; but they're also very detailed and nitpicky. For example, anyone who wants to be obstructionist can have a field day if they know the ins and outs of the rules. Obviously, you're not going to intentionally appoint contrarians to your Board, but they do turn up anyway.

In addition, running a Board by Robert's Rules can be really intimidating to those who aren't familiar with them and with procedure in general, such as program participants who have become Board members.

Especially in a grass roots, inclusive organization, you may be better off either using a modified version of Robert's Rules, or creating your own guidelines or group norms. You'll certainly want to have motions recorded accurately in the minutes, for instance, and want the chair to have the capacity to keep the meeting under control while still allowing for free discussion and giving everyone a chance to be heard. But the bottom line is, if you don't want to use Robert's Rules, make sure you find or develop a set of rules that do work for you.

4. Ensure adequate time for questions and answers. Also, make sure that new members know who they should contact with questions and concerns on different topics in the future.

One idea that is used by many organizations is pairing new Board members with a "buddy," -- a current Board member who is willing to help orient the new member, and answer questions that he or she may have.

5. Make sure to involve new members immediately. Don't let them go home without any homework! Instead, involve them in relevant committees or on projects that interest them at the first meeting. As with almost anything in life, strike while the iron is hot, and get people involved while energy is high. Becoming immediately immersed in the group's work will also solidify members' ideas of what the organization is all about.

After the welcoming and training session:

1. Send out minutes that detail what was said, with a special emphasis on what agreements have been made and what actions will come out of the meeting. (For example, "Alpa has agreed to contact the different banks in our area and ask for their financial support for our upcoming fundraiser.") Make sure that these minutes are sent out promptly -- within a week of the meeting.
Minutes from a meeting three months ago have lost much of their power to prompt people to follow up on their commitments.

2. **Send out an evaluation form** for all Board members asking for their opinions of how they thought the orientation and training session went. Again, this should go out promptly (possibly with the minutes). You might also consider giving it to members at the end of the session. Giving it to them at the meeting can be advantageous because ideas and thoughts are still going to be fresh in their minds. What's more, you're sure to get a better return rate! On the other hand, having them mail it to you allows people to send you ideas once they have had a chance to reflect on what happened at the meeting. Both ideas hold merit; it's up to you to decide what is best for your organization. In either case, you can see the **Tools** for a worksheet you might use for this purpose.

3. **For new members, follow up with a phone call** to see how things went from their end and what questions remain. The person who calls can also make sure that the meeting schedule of the committee(s) they signed up for will work for them, that they feel comfortable with what they've committed to do, and can fill them in more on the details of the specific work they've volunteered for.

**Special topic: Ongoing training of Board members**

Of course, once you finish the original training session, your work has really just begun. Board training can (and should!) continue as long as your Board is functioning. Not only does this help your Board become stronger, it also provides a chance for Board members to continue their education.

There are several ways to approach continuous Board training. One is to schedule regular training sessions several times a year - maybe 3 or 4. What kind of training will go on at those sessions might depend on what the issues are that year, or on who's available at the scheduled times to do a workshop, presentation, etc. Thus, everyone on the Board knows when trainings are going to be, and can schedule around them accordingly.

Another way to do it is as needed. A problem comes up, Board members say "we need help here," and you arrange, or go look for someone to provide, training on the issue at hand.

A third possibility is to organize trainings around predetermined topics each year (Board responsibilities, tax-exempt issues, conflict of interest, etc.), keeping them broad enough that they don't repeat, but making sure everyone in the organization gets enough information and insight to understand the issues and react appropriately when they come up.

Finally, trainings don't always need to happen in the flesh -- a lot of smaller things your organization does can contribute to ongoing learning. For example:

- A special newsletter can be developed for the Board.
- Board members can receive copies of the organization's general newsletter.
- Generic tip sheets on Board development can be sent to all members for review.
- Develop a listserv or an interactive website exclusively for Board members. These ideas are certainly easier to carry out (in many ways) than live Board trainings, and might have their place in your organization.

For trainings done together, one key point is to attract the largest number of Board members to trainings. One possibility is to include a brief training - perhaps half an hour - at each Board meeting, so that it is seen as a regular part of the business of the Board.
Another issue is how to conduct trainings. They definitely don't all have to be the same. You can bring in people to conduct some of the training, and you might do others internally, depending upon the resources and expertise available, and the form you want sessions to take.

For example, training sessions can be self-generated and -conducted, using discussion and peer supervision to address issues. They can also conducted by program participants or staff members, depending on the topic. An accountant on the Board could do a training on tax issues, a lawyer on legal responsibility, a doctor on health issues, etc.

**Some possibilities for training topics (in no particular order):**

- Board responsibilities and legal issues (liability, conflict of interest, etc.)
- More on legal issues (indemnification, tax issues, lawsuits)
- Discussion of the organization's vision, mission, philosophy, etc. - where they came from, what's the foundation (theoretical, political, or otherwise), etc.
- The actual work of the organization - program or other activities: what do people actually do every day, in their interactions with target population and others?
- The Board's relationship to the organization
- How Boards work
- How to be a productive Board member
- Financial issues - how the organization's finances work, where the money comes from, current status, etc.
- How to argue productively in meetings
- Interpersonal relations/conflict resolution
- Problem solving
- Strategic planning - why you'd want to and how to do it
- Needs, concerns, demographics, etc. of the target population
- Fundraising
- PR
- Relations with the community
- Relations with staff
- Staff compensation and benefits
- Program evaluation

**Special topic # 2: Board members who need extra help**

Sometimes, you will have new Board members who may need more than a simple orientation. This is especially true if your organization asks participants or other people with less formal education to be Board members.

**From the former director of a Massachusetts-based literacy organization:**

The Literacy Project Board always included students, and they always had trouble figuring out what they were doing there, how the Board worked, what was expected of them, etc. Most of them had not only never been on a Board before, they had never been part of a deliberative body of any kind before - no committee, no PTA...nothing. The result was they had no idea what was going on, and were often too diffident to say so. They would nod their heads, speak when spoken to, and generally feel lost and stupid. They also often felt caught between two worlds because of their position. Most students saw the Board as part of another world: it was the body that ran the organization, and was made up of "important" people (actually most of them were human service types and teachers, but one person's "important..."). Thus a student on the Board took on an aura
that she didn't necessarily want. The point is that all of this needs to be addressed if you have participants or other low-income or less-educated people on the Board, and it isn't easy. Even after we figured out what was going on and tried to deal with it, we found it really hard to devise orientation and training that spoke to the problem in a way that students could respond to. We were still trying when I left, although we had made some progress.

It's important that your organization thinks about these issues if you have similar people coming onto the Board. Other, similar issues may come up if new members join who...

- Don't speak English as their first language
- Are the first or only woman/minority/young person on the Board
- Are simply very shy by nature

Certainly, there are no easy answers to questions like these. However, it's important that these issues aren't ignored, and that they don't come as a complete surprise to organizations that are trying to be inclusive.

To sum it up:
In the past few pages, we've taken you through what represents a fairly formal look at Board training. Many Boards, certainly, are much less structured and conventional than we've talked about here. So when you're developing your game plan for training, make sure it's just as loose, informal, and light-hearted as your organization. A well-defined, well-run training will go miles in making your Board's work outstanding -- but leavening it with a few laughs will help to make the Board itself a wonderful creation to be a part of.

We encourage the reproduction of this material, but ask that you credit the Community Tool Box: http://ctb.ku.edu

Resources:

Print Resources


*Nonprofit Board Resource Catalog*. Available from the National Center for Nonprofit Boards, Suite 510, 2000 L St., Washington, DC 20036-4907. Telephone 800-883-6262 or 202-452-6262 Email: ncnb@ncnb.org Online at http://www.ncnb.org


Good Board Practices Checklist

1. The Board of Directors meets at a regular time and date?  ❏ Yes ❏ No

2. The board operates according to the constitution or by-laws under which the organization is incorporated?  ❏ Yes ❏ No

3. All Board members have a copy of the by-laws or constitution under which the organization is incorporated?  ❏ Yes ❏ No

4. The Board or its Executive Committee normally plans the Board’s meeting agenda?  ❏ Yes ❏ No

5. We normally make it through Board meeting agenda in the allotted time  ❏ Yes ❏ No

6. Minutes, committee and staff reports are distributed to directors at least a few days in advance of board meetings?  ❏ Yes ❏ No

7. There is a written job description or statement of responsibilities for members of the Board?  ❏ Yes ❏ No

8. The Board has approved policies outlining its expectations in the following areas:
   (i) Financial management practices  ❏ Yes ❏ No
   (ii) Personnel management practices  ❏ Yes ❏ No
   (iii) Conflict of interest  ❏ Yes ❏ No
   (vi) Fundraising practices  ❏ Yes ❏ No
   (v) Quality of services to users, clients, consumers, or the public  ❏ Yes ❏ No
   (vi) Safety of staff, volunteers, and clients  ❏ Yes ❏ No

9. There a policy manual containing all existing organizational policies  ❏ Yes ❏ No

10. The Board receives regular financial reports and monitors the performance of the organization in relation to its budget?  ❏ Yes ❏ No

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Section 2

Roles and Responsibilities

Questions to Ask Yourself

What does the Clubhouse expect from me?

How can I help advance the mission of the Clubhouse?

Are there policies that the board of directors should have in place to be more proactive and less reactive?

What is the relationship between the board and the CEO/Executive Director?

What is the member’s role on the board?
Vote With Your Feet!

Activity #3

In this activity there will be three words taped to the wall, Yes, No and Maybe. The leader of the activity will ask several different questions about the roles and responsibilities of Board Members. Your job is to walk over to the word that best fits the question. For example, is it the Board’s role to hire the Executive Director? You would all then, hopefully, walk over to the sign with the word yes on it. Some questions may lead to some discussion but the point is to get up and vote with your feet.
Roles and Responsibilities of the Board of Directors

The roles and responsibilities of the board of directors may vary depending on the size of the Clubhouse. Typically a large Clubhouse will need less hands-on work from the directors; on the other hand, a small Clubhouse may find it necessary to have the directors more involved in day-to-day operations. Below is a list of the top ten responsibilities of the board of directors. (The list is based on the Ten Basic Responsibilities for Nonprofit Boards, by Richard T. Ingram)

1. Determine the organization’s mission, purpose and vision
2. Select the CEO/Executive Director
3. Provide proper financial oversight for the Clubhouse
4. Ensure that the Clubhouse has adequate resources
5. Ensure legal and ethical integrity and maintain accountability
6. Ensure effective organizational planning
7. Recruit and orient new board members and evaluate board’s own performance regularly
8. Enhance the Clubhouse’s public standing
9. Determine, monitor and strengthen the organization’s programs and services
10. Support and evaluate the CEO

It is also important for board of directors to be clear about their expectations for one another. Such expectations may be in the form of policy, norm, or underlying assumption but it is best that they be written out and signed by all directors. Some examples of expectations include:

- A give or get policy
- Attendance policy
- Provide a blend of time, talent and treasure
- Directors will show up on time for meetings
- A commitment to learning
- Directors will be respectful to members and staff
- A time commitment to the work of the board
- Offer suggestions and comments in a positive manner
- Directors should stay current on governance trends
- Commitment to the mission, vision and purpose
- Engaged in the work of the board
- Valuing diversity
- Sense of humor
- Ability to work as part of a team
Sample Board Member Roles and Responsibilities from Independence Center

1. Attendance at board meetings and other Events
   a. Because we believe that our board members develop a deeper understanding of our agency, we ask that you attend at least seven of the eleven meetings. We do not meet in December. If you cannot attend kindly RSVP your regrets to the Development Office.
   b. Each board meeting we will have a board education segment. It is here that we hope you will learn more about our agency and some of the issues challenging its growth and development.
   c. We ask each board member to support and attend at least one special event per year. In your role as liaison to the greater St. Louis community, your presence is greatly appreciated. Our organization is strengthened and enriched by the many contacts made by our board of directors.

2. Committee involvement
   a. We ask all board members to actively participate on at least one committee of the board. We believe that the real rewards of your commitment to the Center will be felt through our committee work. We also encourage board members to occasionally change committees to keep a fresh perspective.
      1. Standing committees are:
         a. Executive
         b. Nominating
         c. Finance
         d. Development
         e. Employment Council
      2. Ad hoc
         a. Campus Consolidation

3. Contributions/Donations
   a. We encourage all our board members to join our Founders’ Society, an annual contribution of $1000 or more. Although we do not have a minimum amount that we expect each board member to contribute, all board members should make an annual contribution that is significant for them.
   b. We ask that Independence Center will be considered one of your top three charities during your board tenure.

4. Board Orientation
   a. Because understanding Independence Center is so critical to becoming an active board member, we require all board members attend a full day board orientation that will introduce you to each component of the Center’s operations. We will work with your schedule to make this as convenient as possible for you. You will have an opportunity to work alongside members and staff, getting a feel for a typical day at the clubhouse. You also will also be introduced to other board members so that you can quickly feel part of our IC family.
Welcome to the Independence Center
Board of Directors!

Members of the Board of Directors have a responsibility to ensure that the organization does the best work possible in pursuit of its goals. The purpose of this document is to get to know you better so agency staff and members can tailor your energy and enthusiasm towards activities that capitalize on your strengths and interests. We are honored to have you as part of the Independence Center family.
Board Member Profile

Name: ______________________________________  Birthday: ________________________

Home Address: ________________________________________________________________

City: _____________________________ State: ________ _____ Zip: ___________________

Home Phone: _____________________  Business Phone: ____________________________

Fax Number: ______________________  Mobile Phone: _____________________________

Email Address: ____________________________________ __________________________

Employer: ________________________________________________________________

Title: ________________________________________________________________

Business Address: __________________________________________________________

City: _____________________________ State: ________ _____ Zip: __________________

Business Email Address: ____________________________________________________

Preferred Mailing: [ ] Home  [ ] Business

Education (i.e. Degree, School, Year, etc.)

______________________________ __________________________

Professional Clubs/Organizations:

______________________________ __________________________

Other Professional Boards:

______________________________ __________________________

Other Non-Profit Boards:

______________________________ __________________________

Hobbies/Special Interests:

______________________________ __________________________

Religious Affiliations/Organizations:

______________________________ __________________________
The agency is asking for the following information to expand the agency’s knowledge base regarding our Board Members’ personal and professional lives. Please feel free to omit information you are not comfortable with releasing.

Spouse: _______________________________ Birthday: _______________________

Employer: _______________________________ __________________________

Education: _______________________________ __________________________

Professional Clubs/Organizations:

____________________________________________________________________

Private Clubs/Organizations:

____________________________________________________________________

Other Professional Boards:

____________________________________________________________________

Other Non-Profit Boards:

____________________________________________________________________

Hobbies/Special Interests:

____________________________________________________________________

Religious Affiliations/Organizations:

____________________________________________________________________

Children’s Names

____________________________________________________________________
Authorities and Agency Expectations

As a member of the Board of Directors, your authorities include:

- Approve the annual budget and audit
- Approve and help guide the creation of strategic action plan and objectives
- Approve the hiring of the Executive Director
- Recommend, approve and review agency policies

As a member of the Board of Directors, you can expect the following from the staff and members of Independence Center:

- Timely financial reports and updates on organizational activities
- Opportunities to discuss the organization’s programs, goals, activities and financial status. Additionally, I may ask for such opportunities at any time.
- The agency will help me perform my duties by keeping me informed about issues in the field in which we are working, and by offering me opportunities for professional development as a Board Member.
- Board members and staff will respond in a straightforward fashion to questions I have that I feel are necessary to carry out my fiscal, legal, and moral responsibilities to IC. Board members and staff of IC will work with me in good faith towards the achievement of our goals.
- I will receive 6 trainings a year via Board of Directors meetings that will be pertinent to IC, its goals, challenges as an agency and the goals and challenges of its membership.
Agency Expectations for Board Members

We recognize that each Board Member brings a unique ability to help our organization in the pursuit of its mission, an individualized blend of *Time, Talent and Treasure*. We will strive to help each Board Member find the blend that works best for both Independence Center and the Board Member.

There are several key elements we request of all members of the Independence Center Board of Directors. These include:

- Become knowledgeable about Independence Center and about severe mental illnesses in general
- Be an ambassador for Independence Center in the community and an advocate for persons with severe mental illnesses in the public arena
- Attend at least 4 of the 6 bi-monthly board meetings annually. Meetings typically take place on the last Tuesday of the month (January, March, May, July, October, November) at 4:30 pm at Independence Center
- Participate actively on at least one committee. Committees usually meet on a monthly or bi-monthly basis. Committees include, Nominating, Finance, Development, Capital Campaign, Employment, Investment, Marketing/Public Relations, and Executive (for officers of the Board and select committee chairs)
- Contribute financially to Independence Center. It is the goal of the agency to make the tenure of each director so meaningful that IC becomes one of the director’s top three charities, as it relates to your personal philanthropic interests, during and after your tenure as a member of the Board of Directors. Most of our existing directors are members of our Founders Society (donors who have given over $500 or more in a calendar year). Also, many foundations and corporations look at an agency’s board participation as a barometer for their own financial gifts and many have asked the following question on their proposal applications: “Do all of your board members participate with an annual gift?”
- Share experience and expertise with staff and other Board Members.
- Participate in fund raising & awareness-building efforts in the community (refer to “Board Member Awareness-Building & Fundraising Opportunities”).
- Attend a full-day board orientation to gain an understanding and appreciation of the organizational mission and day-to-day operations. The orientation offers opportunities to work alongside members and staff to experience the Clubhouse, meetings with business office staff on agency finances, with development staff on fundraising initiatives, visits to Midwest Psychiatry and Community Care Partial Day
Hospital to understand the medical portion of the agency, a visit to one of our four residential units, as well as to a transitional employment (TE) or independent employment (IE) site to understand how our employment program works. The day concludes with a cocktail party with other Independence Center Board members and key staff.

- Attend and participate in a bi-annual board retreat to shape the agency’s strategic plan for the next 3 to 5 years. This meeting typically takes place on a Saturday and lasts about 7 hours.

- Participate in the establishment and achievement of annual board goals

- Board terms are for three years, and the bylaws permit up to three consecutive terms before mandatory rotation off.

**Board Member Awareness-Building & Fundraising Opportunities**

A vital element of IC’s continuing success in pursuing its Mission is the active participation of IC Board Members in building awareness and raising funds within the community. We recognize that each Board Member brings a unique capability in this regard and that participation can take different forms. To serve as a guide and planning tool, we ask each Board Member to annually review the following list and place a checkmark next to all the items they feel comfortable participating in to further the agency’s sphere of influence and fundraising capabilities. These are broken down into three categories, which are the industry standards for board recruitment, *Time, Talent and Treasure*.

We hope that you can find at least one item under each category that fits your talents and abilities.

**TIME**

- [ ] I will attend as many fundraising events as I am able realizing that as a member of the Board of Directors I am not only in a fundraising capacity but serve as an ambassador for the agency

- [ ] I am willing to personalize letters mailed to friends and family urging their participation in our fundraising efforts realizing that by personalizing these letters I am showing my friends how meaningful Independence Center is to me personally and recognizing that it will widen the agency’s sphere of influence in the St. Louis community.

- [ ] I am willing to write a testimonial letter to attach to grant proposals or other solicitations.

- [ ] I am willing to telephone or write personal notes to thank and recognize donors.
I am willing to host an informational coffee, luncheon, or dinner in my home, or elsewhere, so that attendees can learn about the agency’s programs and services.

Other Activities

TALENT

I will assist in providing our clubhouse members work by either advocating for them with my company's human resources department, or with a key executive of another company.

I am willing to help Martha's Flowers by asking my company to utilize their staff for centerpieces for parties at my place of business. I am also willing to utilize Martha’s for personal bouquets and arrangements for holidays, family and friends.

I am willing to visit, with staff or alone, corporate decision makers to explain the agency’s needs or invite them to the agency for a lunch and tour.

I am willing to help identify vendors in the community that can assist with in-kind donations towards agency events, for example, a vendor that sells t-shirts to help in the cost of securing shirts for the annual NAMI walk or a vendor to assist in locating water, soda, or alcohol donations for various special events.

I am willing to talk with congregation leaders at my place of worship about having a representative from Independence Center speak to one of its constituent groups.

I belong the following community clubs (example. Kiwanis, Knights of Columbus, etc) and would be happy to talk to club leadership about having an Independence Center representative present an informational speech to our organization. These clubs include:

I am a member of the following private club and would be willing to talk with club leadership regarding holding an event on behalf of Independence Center.

I will help identify and/or recruit other board members and committee volunteers.

Other Activities

TREASURE

I will make a personal gift to IC in an amount that is meaningful to me. It is the goal of the agency to make the tenure of each director so meaningful that IC becomes one of the director’s top three charities, as it relates to your personal philanthropic interests, during and after your tenure as a member of the Board of Directors. Most of our existing directors are members of our Founders Society (donors who have given over $500 or more in a calendar year). Also, many foundations and corporations look at an agency’s board participation as a barometer for their own financial gifts and many have asked the following question on their proposal applications: “Do all of your board members participate with an annual gift?”
I will talk to my company’s HR person regarding having Independence Center included in our employee giving campaign.

I am willing to donate new and gently used items to the Clubhouse Shop. Please have someone from the store call me twice a year to remind me to clean out my closets and donate to the store, utilizing their free pick up service.

My company ______________________ has a matching gift program. I am happy to obtain the paperwork from my HR representative, fill it out and turn it in so Independence Center can begin obtaining a matching gift for my personal contributions.

I will provide the Independence Center development department with names of friends, family or business associates the agency can solicit for donations via mail and or email, realizing that my friends should also be friends of Independence Center.

I will assist in securing corporate sponsorships or other significant funding for the annual Golf Tournament, Dancing with the St. Louis Stars, or other special events.

I will talk with my attorney and/or financial advisor about including IC in my estate planning.

Other Activities ____________________________

Name______________________________________ Date __________________
Sample Clubhouse Board Chairperson Job Description

Position: Chairperson of the Board of Directors

Time commitment: Approximately ten hours per month (meetings, preparation, consultation)

Term: Elected annually by a majority vote of the Board of Directors, three consecutive years term limit

Accountability:
The Clubhouse Chairperson is accountable to the Board of Directors of the Clubhouse.

Authority:
The Chairperson has no authority to approve actions by the Clubhouse, to direct staff, or to speak on behalf for the Clubhouse, unless given such authority by the full Board of Directors. The full Board of Directors has legal authority for all policies, procedures and practices of the Clubhouse. The Chairperson is authorized to act on behalf of the Clubhouse regarding issues and concerns only with approval and knowledge of the full Board of Directors.

Responsibility:
The Chairperson’s primary responsibility is the effective functioning of the Board of Directors in its role as the governing body of the Clubhouse. The Chairperson is therefore responsible for effectively communicating with the Executive Director and the full Board of Directors. All other duties are secondary.

General Duties:
The Chairperson has all of the responsibilities and duties of any board member.

In addition the Chairperson is responsible for:

- Working with the Executive Director or assigned Clubhouse members and staff to establish and prepare for the agenda of board meetings
- Chairing board meetings
- Reviewing meeting minutes
- Managing issue and concerns regarding board member performance
- Ensuring there is a process for an annual board self-evaluation
- Managing a process for annually evaluating the performance of the Executive Director.
- Effective Communication with the Board of Directors
- Oversight of the effectiveness of board committees
- Signing or co-signing contracts and required documents when needed
- Oversight of the preparation of an Annual Report to stakeholders

Qualifications:

- A knowledge of the local and regional community
- A commitment to the Clubhouse and its mission and vision for the future
- Time available for participation on the Board of Directors and carrying out the specific duties of the Chairperson
- A willingness to engage in building success for the Clubhouse
- A knowledge of the meeting procedure of the Board of Directors
- Knowledge of the By-laws of the Clubhouse.
Evaluation:
The Chairperson’s performance is evaluated as part of the full board’s annual self-evaluation.

Removal of a Chairperson of the board:
The Chairperson of the Board of Directors may be removed by a special resolution after advance notice has been given to all members of the board (at least 48 hours), and it is duly moved, seconded and passed by a majority of members present for a meeting and vote unless otherwise stated in the By-laws.

Adapted from a document created by the Non-Profit Sector Leadership Program, Dalhousie University.
Sample Clubhouse Board Member Job Description

Position: Member of the Board of Directors
Time commitment: Approximately five hours per month (meetings, preparation, consultation)
Term: Elected annually by a majority vote of the Board of Directors, no term limits

Accountability:
The _______________ Clubhouse Board of Directors are collectively accountable to the general community, funders and other stakeholders. They are accountable for the Clubhouse’s performance in relation to its mission and strategic objectives and for the effective stewardship of financial and human resources.

Authority:
Individual board members have no authority to approve actions by the Clubhouse, to direct staff, or to speak on behalf for the Clubhouse, unless given such authority by the full Board of Directors. The full Board of Directors has legal authority for all policies, procedures and practices of the Board.

Responsibility:
Board members are responsible for acting in the best long-term interests of the Clubhouse and its community. Each member of the board is responsible for bringing their individual life experience, talents and skills to this task along with a commitment to informed decision making and an inclusive perspective.

General Duties:
Every member of the _______________ Clubhouse Board of Directors is expected to do the following:

• Prepare for and attend board meetings
• Work as a team member and support board decisions
• Participate in the review of the Clubhouse’s mission and objectives and the development of a strategic plan
• Monitor the performance of the organization in relation to objectives and core values and The International Standards for Clubhouse Programs.
• Approve the budget and monitor financial performance in relation to it
• Abide by the by-laws and other polices that apply to the board
• Establish, review and monitor polices that guide core operational practices (eg. financial management, human resource management, Clubhouse Training Action Plans and ICCD Certification recommendations)
• Participate in hiring, annually reviewing and (when necessary), releasing the Executive Director
• Fundraising for the Clubhouse
• Public Relations for the Clubhouse
  o Transitional Employment Development for the Clubhouse
  o Participate in board and Clubhouse committee work
Participate in the recruitment of new board members
- Participate in regular self-evaluation of the Board of Directors itself
- Keep informed about issues in the general community relevant to the mission and operations of the Clubhouse.

**Qualifications:**
- A knowledge of the local and regional community
- A commitment to the Clubhouse and its mission and vision for the future
- Time available for participation on the Board of Directors
- A willingness to engage in building success for the Clubhouse

**Evaluation:**
A board member’s performance is evaluated annually in the context of a full board self-evaluation and the level of success at carrying out the duties and responsibilities described above.

**Removal of a member of the board:**
A director may be removed from the board by majority vote or if absent from three consecutive meetings without a reasonable excuse.

Adapted from a document created by the Non-Profit Sector Leadership Program, Dalhousie University.
The Role of the Clubhouse Member on the Board
By Denise Hast, ICCD

As I look back, I remember many things that happened before and while I was on the Board. I
joined Genesis Club in October of 1995. As a member I learned how a clubhouse could change
members’ lives. It was the beginning of a new way of life for me. It helped me develop into the
person I am today.

After being at the club for a year and a half my friend Cheryl Stevens (who was a member of
Genesis Club who was on the Genesis Board of Directors) and I would have lengthy
conversation. During one of our conversations one day we began to discuss the Board of
directors at Genesis. Cheryl told me that I should join the Board. I remember telling her that I
never was on a Board and that I didn’t know what I would have to offer. As the conversation
went on she told me that I had a lot to offer being on the Board. At that time I didn’t believe that
I would make a good member on the Board. We had many conversations about me joining the
Board. Cheryl told me how Herb Dane (another Genesis member) mentored her to become a
member of the Board, and that now she would do the same thing with me. That September there
was 2 positions for members to be on the Board. I debated if I should send a letter to the Board
saying that I was interested. I decided to take Cheryl’s advice. She had faith in me and maybe
she was right. That October I joined the Genesis Board.

One of the first lessons I learned was the difference between a program and Board issue. Kevin
Bradley the Executive Director told us that many club members who had been on the Board
often complained about program issues; but that these issues should be brought to him, and not
to the Board. He also described an example of an issue that would be appropriate to bring to the
Board. The example was that Genesis needed a new stove. The cost was over the amount the
clubhouse could purchase an item without approval of the Board. At the next Board meeting,
with input from the members who were on the Board, the purchase of the stove was approved. At
the beginning I was quiet. I would not tell my opinion because everything was so new. I would
listen and learned what was expected of me. As time went on, I was able to give my opinion on
what I thought was best for the Genesis community. I was in a position to make sure the
policies made at our Policy Meeting were being adhered to. The Board wanted to have although,
the clubhouses came to a consensus that there should be no alcoholic beverages at clubhouse
functions. It was my responsibility as a member on the Board to let the full Board know this
policy. No alcoholic beverages were served at the event.

At one Board meeting Cheryl brought up the issue that Genesis had members in all aspect of
decision-making in the clubhouse - except on the Executive Committee. She said that she
thought we should have co-presidents, with a member being one of them. The meeting grew
silent. The consensus was that no one wanted a co-president, but they agreed that a member
should sit on the Executive Committee. The next year when the Board elected the slate of
officers, Cheryl was elected as Vice-President. From the unit meetings, policy meetings, Board
of Directors, to now the Executive Committee -- members now were involved in all aspect of
decision making at the clubhouse. A year later Cheryl moved, as she had gotten had a full time
job in western Massachusetts. She was unable to make it to the Executive Committee meetings. One day Cheryl told me she had spoken to other Board members and they agreed that I should be asked if I wanted to be the next Vice-President. With everyone having faith in me, I accepted. After being on the Board for three years, I was now on the Executive Committee. I was Vice President for three years. I left the Board after six years when I moved to New York to work for the ICCD.

In the six years I was on the Board, I learned many things, one being how the role of a member is important. It helps keep the Board honest. It is a liaison between the membership and the Board. Also you begin to develop confidence to bring your own ideas on what you believe will help the membership. As with many Boards we had committees. Working with different committees, we were able to make a difference in the clubhouse. I was on two. The education committee, where we develop a list on what a perspective Board member needed to complete before coming on the Board. Also I was on the fundraising committee. The club needed to raise money for its expansion. I worked on developing a Croquet tournament. We got the idea from Progress Place in Canada. It took a few years of planning. In the planning stages I gathered all the information for the tournament. I researched locating space and time for the event. The year after I left the Board, Genesis had their first croquet tournament. I was very happy that the croquet tournament became a successful annual event and is a big fundraiser for Genesis. This year will be their third annual croquet tournament. Genesis also has an ongoing Capital Campaign. When we needed over a million dollars to add an addition to the clubhouse because we were outgrowing our space, we went to our donors for help and called to thank them for their support. One of the grants we applied for had a stipulation that all members on the board must donate money to the campaign. All members, including clubhouse members who sit on the board, donated to our Capital Campaign. As a Board Member, I was a speaker at the dedication of the new addition to Genesis.

As Cheryl mentored me I began to mentor my successor who became secretary to the Board. It is a great feeling seeing members evolve. At one time in my life it would have been hard for me to mentor another mentor to do a job that I thought of as ‘mine.’ I would have felt that other members were trying to take something away from me. Now I know that no one can ever take your place. And it is a pleasure to see others have the opportunity to grow. When I realized this, it changed my perspective on life. When members join the clubhouse they will grow in their own time and the sky is the limit for all members. Serving on the Board was a privilege and seeing others having this opportunity gave me great pleasure. It gives them the opportunity to grow and have self-confidence; it was a privilege to have served on the Board.

What are the roles and responsibilities for a member on the Board? The role of the member Board member is the same as any Board members. They are there to work with others on the Board to bring new life into the club. In part Standard 32 states the clubhouse has an independent Board of directors, or if it is affiliated with a sponsoring agency, it must have a separate advisory Board comprised of individuals uniquely positioned to provide fiscal, legal, legislative, consumer and community support and advocacy for the clubhouse. Members are consumers. Members are uniquely position to understand the philosophy of the clubhouse.
Members are not token members; they are there like all members of the Board to help the clubhouse achieve the needs of the clubhouse. I have sometimes heard members on clubhouse Boards say that they feel they are token members. I don’t believe this is so. It is important that they realize that their role is important to the growth of their clubhouse community. They need to be assertive and not passive at meetings. Members are important in all aspects of the Board. In conclusion, during the years I spent on the Board we had a Capital campaign to expand the clubhouse to serve more members in the community. We had fundraising events such as a tag sale, and an evening with Rosalyn Carter. We actively sought out new members on the Board so that we would have individuals uniquely positioned to help our clubhouse. And last, I need to state that it was an honor and privilege to serve on the Board. All clubhouses should have members on their Boards, because members play such an important role in the clubhouse community.
Effective Clubhouse Partnerships: Board, Director, Members, Staff

An ICCD Clubhouse is rooted in a partnership among its board of directors, the director, as well as the members and staff of the clubhouse. While everyone works toward the same goal, the responsibilities are not identical. This chart is designed to convey a structure that can be helpful in deciding who does what regarding the many activities that ensure a thriving Clubhouse. We suggest an annual review of this document. It has two purposes: a) to clarify responsibilities so as to produce a powerful collaboration and b) to avoid any misunderstandings that would take energy away from the important task of creating and sustaining the Clubhouse.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESPONSIBILITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning:</td>
<td></td>
</tr>
<tr>
<td>Direct the Process of Planning</td>
<td>Members/Staff/Director</td>
</tr>
<tr>
<td>Provide input to establishment of long range goals/strategic planning</td>
<td>Members/Staff/Director</td>
</tr>
<tr>
<td>Approve &amp; acquire resources to meet long range goals</td>
<td>Board</td>
</tr>
<tr>
<td>Formulate annual programmatic objectives</td>
<td>Members/Staff/Director</td>
</tr>
<tr>
<td>Organize regular input from Clubhouse community</td>
<td>Members/Staff/Director</td>
</tr>
<tr>
<td>Formulate annual fiscal objectives</td>
<td>Board</td>
</tr>
<tr>
<td>Monitor achievement of goals and objectives</td>
<td>Members/Staff/Director</td>
</tr>
<tr>
<td>Programming:</td>
<td></td>
</tr>
<tr>
<td>On-going assessment of members’ needs</td>
<td>Member/Staff/Director</td>
</tr>
<tr>
<td>Run the clubhouse daily</td>
<td>Members/Staff/Director</td>
</tr>
<tr>
<td>Oversee evaluation of Clubhouse quality</td>
<td>ICCD/Members/Staff/Director</td>
</tr>
<tr>
<td>Maintain program records; prepare program reports</td>
<td>Members/Staff</td>
</tr>
<tr>
<td>Prepare preliminary budget</td>
<td>Board Treasurer/Business Manager/Director</td>
</tr>
<tr>
<td>Finalize and approve budget</td>
<td>Board</td>
</tr>
<tr>
<td>See that expenditures are within budget during the year</td>
<td>Executive Director</td>
</tr>
<tr>
<td>Solicit contributions in fundraising campaigns (nonprofits)</td>
<td>Board/Director/Fund Developer/Members</td>
</tr>
<tr>
<td>Organize fundraising campaigns (nonprofits)</td>
<td>Board/Director/Fund Developer/Members</td>
</tr>
<tr>
<td>Approve expenditures outside authorized budget</td>
<td>Board</td>
</tr>
<tr>
<td>Ensure annual audit of organization accounts</td>
<td>Board Treasurer/Director, Auditor</td>
</tr>
<tr>
<td>ACTIVITY</td>
<td>RESPONSIBILITY</td>
</tr>
<tr>
<td>----------------------------------------------</td>
<td>-----------------------</td>
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<tr>
<td><strong>Personnel:</strong></td>
<td></td>
</tr>
<tr>
<td>Employ and Assess Director According to Clubhouse Mission and Clubhouse Annual Goals</td>
<td>Board</td>
</tr>
<tr>
<td>Direct work of the staff</td>
<td>Director</td>
</tr>
<tr>
<td>Decision to add staff (nonprofit)</td>
<td>Director/Board</td>
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<tr>
<td>Hire and discharge staff member</td>
<td>Director</td>
</tr>
<tr>
<td>Evaluate staff performance</td>
<td>Director</td>
</tr>
<tr>
<td><strong>Community Relations:</strong></td>
<td></td>
</tr>
<tr>
<td>Convey meaning of organization to community</td>
<td>Director/Board</td>
</tr>
<tr>
<td>Public Relations</td>
<td>Director/Board</td>
</tr>
<tr>
<td>Create appropriate collaborations based on goals</td>
<td>Director</td>
</tr>
<tr>
<td><strong>Board Committees:</strong></td>
<td></td>
</tr>
<tr>
<td>Appoint committee chairs and committee members</td>
<td>Board</td>
</tr>
<tr>
<td>Call Committee Chair to urge him/her into action</td>
<td>Board</td>
</tr>
<tr>
<td>Promote attendance at Board/Committee meetings</td>
<td>Board &amp; Director</td>
</tr>
<tr>
<td>Recruit new Board members</td>
<td>Board</td>
</tr>
<tr>
<td>Plan agenda for Board meetings</td>
<td>Chair, Board &amp; Director</td>
</tr>
<tr>
<td>Take minutes at Board meetings</td>
<td>Secretary, Board</td>
</tr>
<tr>
<td>Plan and propose committee organization</td>
<td>Board &amp; President</td>
</tr>
<tr>
<td>Educate board about ICCD Standards, ICCD activities and state or regional Clubhouse activities</td>
<td>Chair, Board &amp; Director</td>
</tr>
<tr>
<td>Sign legal documents</td>
<td>Director &amp; Board</td>
</tr>
<tr>
<td>Follow-up to ensure implementation of Board and Committee decisions</td>
<td>Director &amp; Board</td>
</tr>
<tr>
<td>Guarantee effective communication between committees</td>
<td>Director &amp; Board</td>
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Download and Discuss: Clubhouse Practice of the Month
The Role of the Clubhouse Director

The surest predictor of a strong, vibrant Clubhouse is a good Clubhouse Director. When we visit busy, thriving Clubhouses that have a sense of urgency and energy; and where members are achieving their goals and getting jobs and going back to school, there is almost always one common denominator. No matter what country it is in, what language the people speak, what type of building or economic factors there might be, the one thing all strong Clubhouses have in common is their motivated and committed Directors.

But although having a great Director is so essential to the success of the Clubhouse, the role of the Clubhouse Director is not easy to describe - and in many ways it is paradoxical role. At the 12th International Clubhouse Seminar, Jack Yatsko (ICCD Director of Training, and former Director of Friendship House, Hawaii) delivered a plenary presentation on this topic in which he helps clarify what makes a great Director a great Director.

The following is excerpted from his speech.

************************************************

A Clubhouse director, perhaps more than any other person in the Clubhouse, works in a paradoxical situation. On one hand, directors need to promote egalitarian roles, consensus decision-making and the importance of process in the Clubhouse. On the other hand, directors also have bottom-line responsibility for the outcome of Clubhouse decisions.

In the article, Why Work Works, Robin Jackson writes, “Work is the medium out of which Clubhouse relationships are created.” It is this partnership of members and staff working side by side that fosters the relationships that are the vehicle for individual change and progress.

Clubhouse directors are involved in these partnerships. They have a responsibility to build relationships through working in units, covering transitional employment placements, and involvement in the social program. However, their role is different from other staff. Besides being ultimately responsible for the daily operation of the Clubhouse, they need to develop and keep a vision for the growth and ongoing success of the Clubhouse. The director needs to be thinking ahead, to know where the Clubhouse is going and what it will take to get there. Directors need to foster a sense of community within the Clubhouse among members, staff and board members. In addition, they must also work to create a positive place for the Clubhouse in the city or town and the neighborhood where it is located.

Another paradox is that a strong director needs to ‘delegate’ and to ‘let go’ of many responsibilities in order to more effectively bring the Clubhouse members and staff into the work. At the same time, though, the director has to be ‘in charge’ and actively hold the community accountable for the work. Directors who only do one or the other of these functions, will not be strong Clubhouse leaders.

When there is no sense of urgency about Clubhouse work, this is often because the director is not holding staff accountable in getting members involved. The director may see his or her role as
simply delegating and then standing back to supervise. Strong directors say, “We need this done by tomorrow.” They create a dynamic of “Let’s get going,” that conveys a sense of the importance of the work and contrasts sharply with a placid approach that generates little enthusiasm. The strong director knows that it is a motivated and energized staff that brings out the talents, skills and energy of Clubhouse members and that such an engaging atmosphere is contagious. The director has to constantly model this energy and to insist on it from everyone else.

A Clubhouse director also faces a paradox when it comes to Clubhouse decision-making. Directors lead the process of making general programmatic and day-to-day decisions through consensus building that involves all stakeholders. However, if a staff person isn’t doing a good job, the bottom-line decision to let this person go will be the director’s responsibility. A Clubhouse director has to have the backbone to make the difficult decisions that keep the Clubhouse strong and vibrant and to protect Clubhouse culture. If through a process of consensus, a decision is made to have a pool tournament at 1:00pm, the director must say, “No.” Directors must establish and maintain the trusting relationships necessary to make it possible to act alone from time to time.

Another paradox directors face is in process versus product, balancing the importance of process with actual results. Different from other staff, directors have responsibilities to the Board, to external funding sources, and to auspice agencies. Their position requires a balancing act, looking toward the future while also getting things done. If the Clubhouse or the members need something, a strong director doesn’t give up. Then everyone can celebrate successes such as high rates of members on jobs, an attractive housing program, and victories in advocacy efforts.

A strong director needs to rely on the experience and wisdom of others in the Clubhouse world, asking questions, talking to experienced Clubhouse people, and going to workshops, trainings, and seminars.

In conclusion, when thinking of the vision and leadership of your Clubhouse, think BIG: see the big picture; understand what needs to occur in order for members to have many, many more opportunities to regain their lives, their hopes, their aspirations.

We need more strong directors.
Policy Making

One of the many responsibilities of the board of directors is to set and write governing policies for the Clubhouse. Policies provide: structure, protection, clear expectations, and help eliminate or prevent unnecessary conflicts for the Clubhouse. Policies should be made around:

- Mission, vision, and purpose based outcomes
- Executive Limitations – boundary setting policies
- How the Board will ensure its effectiveness and evaluate its actions
- The relationship between the Board and the CEO/Executive Director

Although the list of policies that the Clubhouse should have may seem daunting but being proactive when it comes to policy setting is much better than the alternative. For example, you have a donor willing to give you a car. You do not have a gift acceptance policy in place, what are you going to do?

When first creating policy it is alright to start with a scaled down version so that you have something in place. The policy can then be spread throughout members of the Board for tweaks. You want to make sure that the policy fits with your Clubhouse and will be used. Start with the most critical policies first and add on over time. The most important thing is that they are written down and are available for the Board to look at and review, preferably every few years. It is also critical that these policies are made by both the Board and the Executive Director because you want to make sure that everyone is in agreement and on the same page.

Below is a list of potential policies for your board to start thinking about.

- Governing style
- How are decisions going to be made?
- Code of conduct
- Board nomination process
- Asset protection
- Treatment of Colleagues
- Executive transition
- Communication and support to the board
- Evaluation procedure for board and Executive
- Gifts – monetary and in-kind
- Financial accountability
- Conflict of interest
- Whistleblower
- Document retention and destruction
- Executive compensation
- Attendance
- Give or get

***Warning***
Creating policies that are too rigid may inhibit freedom and flexibility. Be sure to create a balance for your Clubhouse!
Sample Conflict of Interest from Independence Center

Application

The policy set forth in this statement is applicable to all members of the Board of Directors, all members of Board committees of Independence Center.

Duty to Independence Center

Members of the Board of Directors and of Board committees have a clear fiduciary obligation to Independence Center in connection with their service in such capacities. At all times, they shall act in a manner consistent with this fiduciary obligation and shall exercise particular care that no detriment to the Center’s interests (or appearance of such detriment) may result from a conflict between those interests and any personal or other interests which the individual Director, committee member may have.

If a Director, committee member believes that he or she may have a conflict of interest in any particular situation, the individual shall promptly and fully disclose the potential conflict to the President of Independence Center and shall refrain from further participation in the situation involving the potential conflict until the question has been resolved.

Conflicts of Interest to be Avoided

The individual Director, Board committee member is considered to have a conflict of interest when he or she or any of his or her family or associates (to his or her present knowledge) either (1) has an existing or potential financial or other material interest which impairs or might appear to impair the individual’s independence and objectivity of judgment in the discharge of responsibilities to the Center, or (2) may receive a financial or other material benefit from knowledge of information confidential to the Center and its interest.

Upon receiving the report of a potential conflict of interest from an individual Director or committee member, the President shall consult with the Executive Committee and ad hoc members of the board. At the direction of the committee, he or she shall report to the Board of Directors any unresolved questions of conflict of interests.

Interpretation

This policy statement is to be interpreted and applied in a manner that will serve best the interests of the Center. In some cases it may be determined that, after full disclosure to those concerned, the Center’s interests are served best by continued participation of the individual despite the conflict.

Signature: ___________________________________________ Date: ___________________

Printed Name: ____________________________________________________________
Model Document Retention Policy for Nonprofits

Retention of documents related to lawsuits is one of only two provisions of Sarbanes-Oxley that are applicable to nonprofits. Nationally recognized nonprofit attorney Tom Silk wrote this Model Document Retention Policy on a pro bono basis for CompassPoint Nonprofit Services to use and to make available for all nonprofits.

This document management policy is designed to conform with the charitable laws of states which, like California, given the Attorney General an unusually long statute of limitations (10 years) within which to bring an action for breach of charitable trust.

Three items to note in particular: First, think about this as part of document management, rather than simply document retention; holding on to documents too long is an unnecessary expense.

Second, there may some documents that are worth saving for the community's sake or for the sake of clients that go beyond these legal guidelines. And third, remember that e-mail messages are documents that should conform to these guidelines.

DOCUMENT MANAGEMENT POLICY

For each document, add its location or where it is stored.

Accounts payable ledgers and schedules: 10 years
Accounts receivable ledgers and schedules: 10 years
Audit reports of accountants: Permanently
Bank statements: 10 years
Capital stock and bond records: ledgers, transfer payments, stubs showing issues, record of interest coupon, options, etc.: Permanently
Cash books: 10 years
Checks (canceled, with exception below): 10 years
Checks (canceled, for important payments; i.e., taxes, purchase of property, special contracts, etc. [checks should be filed with the papers pertaining to the underlying transaction]): Permanently

Contracts and leases (expired): 10 years

Contracts and leases still in effect: Permanently

Correspondence, general: 4 years

Correspondence (legal and important matters): Permanently

Depreciation schedules: 10 years

Donation records of endowment funds and of significant restricted funds: Permanently

Donation records, other: 10 years

[Note: Donation records include a written agreement between the donor and the charity with regard to any contribution, an email communication or notes of or recordings of an oral discussion between the charity and the donor where the representative of the charity made representations to the donor with regard to the contribution on which the donor may have relied in making the gift.]

Duplicate deposit slips: 10 years

Employee personnel records (after termination): 7 years

Employment applications: 3 years

Expense analyses and expense distribution schedules (includes allowance and reimbursement of employees, officers, etc., for travel and other expenses): 10 years

Financial statements (end-of-year): Permanently

General ledgers and end-of-year statements: Permanently

Insurance policies (expired): Permanently

Insurance records, current accident reports, claims, policies, etc.: Permanently

Internal reports, miscellaneous: 3 years

Inventories of products, materials, supplies: 10 years

Invoices to customers: 10 years

Invoices from vendors: 10 years
Journals: 10 years

Minute books of Board of Directors, including Bylaws and Articles of Incorporation: Permanently

Payroll records and summaries, including payments to pensioners: 10 years

Purchase orders: 3 years

Sales records: 10 years

Scrap and salvage records: 10 years

Subsidiary ledgers: 10 years

Tax returns and worksheets, revenue agents’ reports, and other documents relating to determination of tax liability: Permanently

Time sheets and cards: 10 years

Voucher register and schedules: 10 years

Volunteer records: 3 years

**Warning:** All permitted document destruction shall be halted if the organization is being investigated by a governmental law enforcement agency, and routine destruction shall not be resumed without the written approval of legal counsel or the Chief Executive Officer.

[Note: this language, which is not typically included in document management policies from accounting firms, provides important additional guidance and protection for the organization.]
Section 3

Legal Responsibilities for the Board of Directors

Questions to Ask Yourself

What is meant by the Duty of Loyalty, Care and Obedience?

What are my legal obligations as a board member for a nonprofit?

How does the Sarbanes-Oxley Act affect Clubhouses?

What is the importance of the 990?

How can the board mitigate risks to the Clubhouse?
Internal Controls

Activity #4

Internal controls and risk management are very important aspects of a strong Clubhouse yet many Clubhouses are missing some critical components that could prevent or lessen the effects of fraud or other risks. Internal controls are policies that are set up within the organization to prevent fraud, minimize errors and help improve efficiency. What are some internal controls that your Clubhouse has in place? Are there areas within the Clubhouse that would benefit from tighter policies? Have you experienced fraud at your Clubhouse and if so how did it help create change?
What are the Legal Responsibilities of Nonprofit Boards?

By: BoardSource

Under well-established principles of nonprofit corporation law, a board member must meet certain standards of conduct and attention in carrying out his or her responsibilities to the organization. Several states have statutes adopting some variation of these duties which would be used in court to determine whether a board member acted improperly. These standards are usually described as the duty of care, the duty of loyalty and the duty of obedience.

**Duty of Care**
The duty of care describes the level of competence that is expected of a board member, and is commonly expressed as the duty of "care that an ordinarily prudent person would exercise in a like position and under similar circumstances." This means that a board member owes the duty to exercise reasonable care when he or she makes a decision as a steward of the organization.

**Duty of Loyalty**
The duty of loyalty is a standard of faithfulness; a board member must give undivided allegiance when making decisions affecting the organization. This means that a board member can never use information obtained as a member for personal gain, but must act in the best interests of the organization.

**Duty of Obedience**
The duty of obedience requires board members to be faithful to the organization's mission. They are not permitted to act in a way that is inconsistent with the central goals of the organization. A basis for this rule lies in the public's trust that the organization will manage donated funds to fulfill the organization's mission.

Reference:

Question:
What are some examples from the Clubhouse community for Duty of Care, Duty of Loyalty and Duty of Obedience?
Fiduciary Duties of Directors of Charitable Organizations
A Guide for Board Members from the Office of Minnesota Attorney General

This Guide is provided by the Minnesota Attorney General’s Office to assist board members with the important responsibilities assumed when they volunteer their time. It is only a guide and is not meant to prescribe exactly how board members must act in all situations. Each organization possesses a distinct composition and experiences different circumstances and outcomes. This guide is merely provided as a reference tool and outline to assist directors in performing their duties. It does not contain all of the provisions, exceptions, limitations and requirements of the law. For the exact requirements of the law, please refer to the source of the law itself. Many of the guidelines in this guide are taken from the Minnesota Nonprofit Corporation Act, located in Minnesota Statutes Chapter 317A. For more assistance, there are a number of resources in Minnesota that provide, at little or no cost, information, direct assistance and materials for charities, their officers and directors. A list of these resources can be obtained from the Minnesota Attorney General’s Office, 1200 Bremer Tower, 445 Minnesota Street, St. Paul, MN 55101, telephone: (651) 296-3353 or 1-800-657-3787. TTY: (651) 297-7206 or 1-800-366-4812. Website: www.ag.state.mn.us

Upon request this material can be made available in alternative formats.

The Attorney General’s Office has prepared this Guide for Board Members to help directors understand their responsibilities as stewards of their organizations. Under Minnesota law, directors of a Minnesota nonprofit corporation are responsible for the management of the business and affairs of the corporation. This does not mean that directors are required to manage the day to day activities of a corporation or to act in the role of an Executive Director. It does mean that directors must appoint officers and assign responsibilities to them so that the officers can effectively carry out the daily tasks of running the corporation. It also means that directors must supervise and direct the officers and govern the charity’s efforts in carrying out its mission. In carrying out their responsibilities, the law imposes on directors the fiduciary duties of care, loyalty and obedience to the law. Minnesota courts have held that the law imposes the highest standard of integrity on the bearers of these duties.

Directors of Minnesota nonprofit corporations must discharge their duties in good faith, in a manner the director reasonably believes to be in the best interests of the corporation, and with the care an ordinarily prudent person in a like position would exercise under similar circumstances.

To Exercise the Proper Duty of Care:
1. Active Participation. A director must actively participate in the management of the organization including attending meetings of the board, evaluating reports, reading minutes, reviewing the performance and compensation of the Executive Director and so on. Persons who do not have the time to participate as required should not agree to be on the board.

2. Committees. Directors may establish committees having the authority of the board and may rely on information, opinions or reports of these committees. Committees operate subject to the direction and control of the board. As a result, directors are still responsible for the committees and should periodically scrutinize their work.
3. Board Actions. A director who is present at a meeting when an action is approved by the entire board is presumed to have agreed to the action unless the director objects to the meeting because it was not lawfully called or convened and doesn’t participate in the meeting, or unless the director votes against the action or the director is prohibited from voting on the action because of a conflict of interest.

4. Minutes of Meetings. Written minutes should be taken at every board meeting. The minutes should accurately reflect board discussions as well as actions taken at meetings.

5. Books and Records. A director should have general knowledge of the books and records of the organization as well as its general operation. The organization’s articles, bylaws, accounting records, voting agreements and minutes must be made available to members and directors who wish to inspect them for a proper purpose.

6. Accurate Record Keeping. A director should not only be familiar with the content of the books and records, but should also assure that the organization’s records and accounts are accurate. This may mean the director must take steps to require regular audits by an independent certified public accountant. At the very least, the director should be aware of what the financial records disclose and take appropriate action to make sure there are proper internal controls.

7. Trust Property. A director has the duty to protect, preserve, invest and manage the corporation’s property and to do so consistent with donor restrictions and legal requirements. Instituting proper internal controls will aid in the protection of assets.

8. Resources. A director must assist the organization in obtaining adequate resources to enable it to further its charitable mission.

9. Charitable Trusts. A trustee of a charitable trust has a higher standard of care than a director of a nonprofit corporation. A trustee has the duty to exercise the care an ordinary person would employ in dealing with that person’s own property. A trustee with a greater level of skill must use that higher skill in carrying out the trustee’s duties.

10. Investigations. A director has a duty to investigate warnings or reports of officer or employee theft or mismanagement. In some situations a director may have to report misconduct to the appropriate authorities, such as the police or the Attorney General. Where appropriate, a director should consult an attorney or other professional for assistance.

Traditionally, directors have an absolute duty of complete, undivided loyalty to the organization. This means that directors should avoid using their position or the organization’s assets in a way which would result in pecuniary or monetary gain for them or for any member of their family. A director should put the good of the organization first and avoid engaging in transactions with the organization from which the director will benefit.

To Exercise the Duty of Loyalty:

1. Conflicts of Interest. Under certain circumstances, a contract or transaction between a nonprofit corporation and its director or an organization in which the director has a material financial interest is acceptable. However, if the transaction is challenged, the director will have the burden of establishing that the contract or transaction was fair and reasonable, that there was
full disclosure of the conflict and that the contract or transaction was approved by members or other directors in good faith.

2. Written Policy. Boards should establish a written policy on avoiding conflicts of interest.

3. Loans. A nonprofit corporation may not lend money to a director or the director’s family members unless the loan or guarantee may reasonably be expected, in the judgment of the entire board, to benefit the corporation.

4. Charitable Trust. In charitable trusts, transactions which otherwise might constitute a conflict of interest are permissible if the conflict was clearly contemplated and allowed by the original settlor of the trust.

5. Corporate Opportunity. Directors of business organizations are under a fiduciary obligation not to divert a corporate business opportunity for their personal gain. A director of a nonprofit corporation is also subject to this duty. This duty means that a director may not engage in or benefit from a business opportunity that is available to and suitable for the corporation unless the corporation decides not to engage in the business opportunity and conflicts of interest procedures are followed.

6. Internal Revenue Code. Other prohibitions relating to the duty of loyalty are specified in the rules of the Internal Revenue Code regarding self-dealing. These rules apply to private foundations.

Directors have a duty to follow the organization’s governing documents (articles of incorporation and bylaws), to carry out the organization’s mission and to assure that funds are used for lawful purposes. Also, directors must comply with state and federal laws that relate to the organization and the way in which it conducts its business.

To Exercise The Duty of Obedience:
1. State and Federal Statutes. Directors should be familiar with state and federal statutes and laws relating to nonprofit corporations, charitable solicitations, sales and use taxes, FICA and income tax withholding, and unemployment and workers’ compensation obligations. They should also be familiar with the requirements of the Internal Revenue Service. Directors should see to it that their organization’s status with state and federal agencies is protected.

2. Filing Requirements. Directors must comply with deadlines for tax and financial reporting, for registering with the Attorney General, for making social security payments, for income tax withholding, and so on. Additionally, if an organization is incorporated under the Minnesota Nonprofit Corporation Act, its directors have a duty to maintain its corporate status by submitting timely filings to the Secretary of State’s Office.

3. Governing Documents. Directors should be familiar with their organization’s governing documents and should follow the provisions of those documents. Directors should be sure proper notice is given for meetings, that regular meetings are held, that directors are properly appointed and that the organization’s mission is being accomplished.

4. Outside Help. Where appropriate, directors should obtain opinions of legal counsel or accountants.
What are the Board’s Duties in Managing Risk for the Clubhouse?

According to the book, *Financial Management for Nonprofit Organizations*, Zietlow, Hankin and Seidner suggest that Board Members:

- Know the rules in the organization, including bylaws, policies and procedures
- Understand the risk management process
- See that organizational policies are communicated and implemented
- Stay informed about issues such as law (and the aspects of Sarbanes-Oxley that apply to nonprofits), litigation, compliance, ethics, and disclosure

They also suggests methods by which boards can protect themselves. It identifies main risk areas for boards including:

- Not exercising due diligence when recruiting/selecting board members
- Not enforcing term limits (if they exist)
- Not properly recording board actions/decisions in the board minutes
- Not giving comprehensive new board member orientations
- Not requiring or enforcing board member performance expectations
- Not providing board members with the requisite data and background information for informed decisions

Although there is not a legal requirement for all these items, each one will help the Clubhouse ensure that it is preventing potential law suits against the organization. Being proactive when it comes to internal controls and risk management could save the Clubhouse money and time that would be better used to advance its mission. It will involve some upfront time spent on policies and procedures but is important to the board’s Duty of Care.
Sarbanes-Oxley Act and Implications for Nonprofits

Created to rebuild public trust in the corporate community in the wake of corporate and accounting scandals, the federal legislation that has become known as the Sarbanes-Oxley Act requires publicly traded companies conform to new standards in financial transactions and audit procedures. As state officials explore ways to apply elements of the law to the nonprofit sector, BoardSource and Independent Sector off the publication, *The Sarbanes-Oxley Act and Implications for Nonprofit Organizations*, which provides nonprofit leaders practical recommendations on promoting effective oversight of their organizations

Independent Sector and BoardSource recommend that nonprofits voluntarily incorporate certain provisions of the Act that make good governance sense.

A checklist for nonprofits and foundations includes:

1. Insider Transactions and Conflicts of Interest
   - Understand and fully comply with all laws regarding compensation and benefits provided to directors and executives (including “intermediate sanctions” and “self-dealing” laws).
   - Do not provide personal loans to directors and executives.
   - In cases in which the board feels it is necessary to provide a loan, however, all terms should be disclosed and formally approved by the board, the process should be documented, and the terms and the value of the loan should be publicly disclosed.
   - Establish a conflict of interest policy and a regular and rigorous means of enforcing it.

2. Independent and Competent Audit Committee
   - Conduct an annual external financial audit (the boards of very small organizations, for whom the cost of an external audit may be too burdensome, should at least evaluate carefully whether an audit would be valuable).
   - Establish a separate audit committee of the board.
   - Board members on the audit committee should be free from conflicts of interest and should not receive any compensation for their service on the committee.
   - Include at least one “financial expert” on the audit committee.
   - The audit committee should select and oversee the auditing company and review the audit.
   - Require full board to approve the results.
   - Provide financial literacy training to all board members.

3. Responsibilities of Auditors
   - Rotate the auditor or lead partner at least every 5 years.
   - Avoid any conflict of interest in staff exchange between audit firm and organization.
   - Do not use auditing firm for non-auditing services except tax form preparation with pre-approval from audit committee.
• Require disclosure to audit committee of critical accounting policies and practices.
• Use audit committee to oversee and enforce conflict of interest policy.

4. Certified Financial Statements
• CEO and CFO should sign off on all financial statements (either formally or in practice), including Form 990 tax returns, to ensure they are accurate, complete, and filed on time.
• The board should review and approve financial statements and Form 990 tax returns for completeness and accuracy.

5. Disclosure
• Disclose Form 990 and 990-PF in a current and easily accessible way (also required of all nonprofit organizations by IRS law).
• File 990 and 990-PF Forms in a timely manner, without use of extensions unless required by unusual circumstances.
• Disclose audited financial statements.
• Move to electronic filing of Form 990 and 990-PF.

6. Whistle-Blower Protection
• Develop, adopt, and disclose a formal process to deal with complaints and prevent retaliation.
• Investigate employee complaints and correct any problems or explain why corrections are not necessary.

7. Document Destruction
• Have a written, mandatory document retention and periodic destruction policy, which includes guidelines for electronic files and voicemail.
• If an official investigation is underway or even suspected, stop any document purging in order to avoid criminal obstruction.

(from http://www.independentsector.org/Sarbanes_oxley)
Nonprofits and the Revised IRS Form 990
by: Janet Lewis, Attorney

Here's what nonprofits need to know about the revised IRS Form 990

Nonprofit, tax-exempt 501(c)(3) organizations that are required to file the annual informational tax return called the Form 990 will, as of 2009, find themselves facing a new version of the form. Here's how to gather the necessary information to successfully and easily file the return.

The Importance of IRS Form 990
The revised Form 990, just like the previous version, is an informational return that most nonprofit, tax-exempt organizations have to file annually with the IRS, five months after the close of their fiscal year. Completing and filing the Form 990 is an important aspect of a tax-exempt organization's life cycle, because it serves two functions for two important audiences.

• **Informs the IRS.** The Form 990 provides the IRS with information about your nonprofit's activities and financial status in order to demonstrate that your nonprofit still meets the qualifications for tax-exemption.

• **Informs the public.** The Form 990 informs the public about crucial aspects of your nonprofit. Most of the pages and tables are available for public inspection, including those describing executive compensation and program expenditures. Potential donors and grantors can, and many routinely do, look at an organization's Form 990 before making decisions about charitable giving. The media and nonprofit-watchdog groups may also check out 990s.

Does Your Nonprofit Have to File the New Form 990?
Most tax-exempt organizations and nonexempt charitable trusts have to file some type of Form 990 informational return. However, there are three general exceptions:

- **Some religious institutions.** Some religious institutions, such as churches, aren't required to file Form 990. (Check the exemption letter that your organization received from the IRS to find out for sure.)

- **Annual receipts less than $25,000.** Organizations with annual gross receipts of less than $25,000 aren't generally required to file Form 990. However, they do have to file an electronic postcard form called the Form 990-N, available from the IRS at www.irs.gov (choose "More Forms and Publications" and scroll down until you see "Form 990-N").

- **Group returns.** Organizations that are included in a group return usually don't have to file Form 990.

Transition Period to New Form 990
To phase in the revised form, the IRS established a transition period:

• **For tax year 2008,** most organizations with gross receipts of less than $1,000,000 and total assets less than $2,500,000 could choose to file either the new Form 990 or the Form 990-EZ (which wasn't substantially modified).
For tax year 2009, most organizations with gross receipts of less than $500,000 and total assets less than $1,250,000 may choose to file either the revised Form 990 or the Form 990-EZ.

Beginning in tax year 2010, most organizations with gross receipts of less than $200,000 and total assets less than $500,000 may choose to file either the revised Form 990 or the Form 990-EZ.

Overview of Changes in the Form 990

The latest Form 990 looks significantly different than the old one, and it collects many different pieces of data. The new emphasis is on transparency and the relationship between tax compliance and good corporate governance.

You can find the Form 990 and instructions on the IRS's website at www.irs.gov -- click "More Forms and Publications" tab on the IRS home page.

The core form. The new format contains a core form of 11 parts, which all filing organizations must complete. The core form requests financial data as well as information on your organization's programs. It also contains a formal checklist (in Part IV) to help you figure out which schedules to fill out and attach to your return.

The summary sheet. Another significant change in format is the addition of a summary sheet, which serves as the first page of the Form 990. The summary sheet pulls together all the information from the core form and the schedules, providing a quick snapshot of the organization. One of the sections in this new summary sheet allows the organization to highlight either its mission or its significant activities -- this can be important for fundraising and marketing purposes.

The latest Form 990 includes an entirely new section on corporate governance (in Part VI), which probes how a nonprofit manages critical issues such as the independence of its board and the resolution of conflicts of interest among key players in the organization. Although the IRS has very little authority to investigate corporate matters (these are generally left to state agencies), this section allows it to explore the relationship between good corporate governance and compliance with the tax code.

New Reporting on Corporate Governance

Within the new corporate governance section, your organization will have to answer questions about:

- its governing body (in most states, called the board of directors)
- management policies, and
- disclosure of tax and corporate documents to government agencies as well as to the public.

For example, some of the questions include:
- whether your organization creates contemporaneous documents (such as meeting minutes) that record the actions of your board of directors or other governing body
• whether your organization has adopted policies to deal with things like: conflicts of interest among its key personnel, treatment of whistleblowers, retention or destruction of documents, compensation for officers, directors, and key employees, and joint ventures between your nonprofit and a taxable entity such as a for-profit corporation or LLC
• how your organization reviewed the Form 990 itself before submitting it to the IRS
• how many people on the board of directors (or other governing body) qualify as independent voters, and
• whether any of your organization's directors, officers, or key employees had a business relationship with another such person.

**New Reporting on Compensation**

Your organization will need to fill out a new table and section with information on compensation for its officers, directors, key employees, highest compensated employees, and independent contractors. All filing organizations -- not just charities -- must now complete this section. Because the definitions of the persons covered in this section have changed, be sure to read the instructions carefully.

**Revised Schedule A for 501(c)(3) Organizations**

Schedule A, which most 501(c)(3) organizations will be required to file, now focuses exclusively on proving that your organization is getting public support and deserves public charity status. (Other issues addressed in the old Form 990 Schedule A have been moved to either the core form or to additional schedules in the new 990.)

**What Can Your Nonprofit Do to Prepare for Filing the New Form 990?**

Being well-prepared will make it easy to submit the new Form 990. The first steps you should take include:

• **Forming a committee.** Form a committee or assign someone in your organization to investigate how the new Form 990 will impact your organization.
• **Reviewing a copy of the form and instructions.** Although the instructions are lengthy and quite detailed, they are well worth reading.

After obtaining an overview of the form and instructions, your committee can determine whether your nonprofit needs more advanced preparation for the particular questions within the 990. Among other areas to explore, your committee should definitely take a hard look at your nonprofit's governance procedures by following these next steps:

• **Review the corporate governance section.** Hold a board meeting to review key policies already in place at your nonprofit and discuss whether adopting new policies will be helpful. For example, having a conflict-of-interest policy is considered good corporate governance, but whether your nonprofit needs to adopt policies regarding joint ventures, executive compensation, or whistleblowers depends on its particular activities. In a situation where your nonprofit is run entirely by volunteers and performs all of its functions without partnering with a for-profit business, your board probably wouldn't need these extra policies.
Prepare questionnaires. Prepare questionnaires for your officers, directors, and key employees. The directors' questionnaire should draw out information about their voting independence. Another important questionnaire topic concerns the family and business relationships among your organization's officers, board, and key employees. Even if you feel like you know the answers, distributing these questionnaires serves a protective function: According to the instructions to the revised Form 990, circulating such questionnaires annually constitutes "reasonable efforts" to obtain this information.

Review your nonprofit's meeting records. Do this to ensure that your board is keeping accurate and contemporaneous records or "minutes" of its key decisions.

Review your nonprofit's procedures for filing Form 990. Your organization will have to disclose how it approves the Form 990 before sending it to the IRS. Make sure you have procedures in place providing adequate oversight by your board or other governing body.

For more information on filing nonprofit tax returns, see Every Nonprofit's Tax Guide: How to Keep Your Nonprofit's Tax Exempt Status and Avoid IRS Problems, by Attorney Stephen Fishman (Nolo).
Legal Review and Resources

As the Clubhouse’s board of directors each member has legal responsibilities that can be overwhelming and scary but there are many ways to mitigate the legal risk including:

- Being informed on what those legal requirements are
- Understanding the Duty of Care, Loyalty and Obedience and how it applies to your role as a board member for a nonprofit organization
- Overseeing the Clubhouse’s assets
- As a board, reviewing and filling out the 990
- Obtaining external financial audits
- Increase the transparency of the Clubhouse
- Being aware of the Sarbanes-Oxley Act and how it affects the Clubhouse. (Especially the legal requirement of having a conflict of interest, whistle-blower and document retention and destruction policy in place).

For further reading on financial oversight, check out the books:

- *Streetsmart: Financial Basics for Nonprofit Managers* by Thomas A McLaughlin
- *Understanding Nonprofit Financial Statements, Third Edition* by Steven Berger
- *Financial Management for Nonprofit Organizations* by Zietlow, Hankin and Seidner

Sarbanes-Oxley Act Resources:

- [www.soxlaw.com](http://www.soxlaw.com) – the official website for Sarbanes-Oxley Act
- [http://www.boardsource.org/clientfiles/sarbanes-oxley.pdf](http://www.boardsource.org/clientfiles/sarbanes-oxley.pdf) – BoardSource and Independent Sector collaborated to provide the Act’s implications for nonprofit organizations

The 990 Resources:

- To get more information on the 990 Form for nonprofits check out the [www.irs.gov](http://www.irs.gov) website.
- You can also look up 990’s of different nonprofits by logging on and registering for free at [www.guidestar.com](http://www.guidestar.com)
- The IRS provides on-line mini-courses for tax-exempt organizations at [www.stayexempt.irs.gov](http://www.stayexempt.irs.gov). This site does not require registration and users will remain anonymous.
Section 4

The Board’s Fiduciary Responsibility to the Clubhouse

Standard #32

The Clubhouse has an independent Board of Directors, or if it is affiliated with a sponsoring agency, has a separate Advisory Board comprised of individuals uniquely positioned to provide financial, legal, legislative, employment development, consumer and community support and advocacy for the Clubhouse.

Questions to Ask Yourself

What are my fiduciary obligations in securing funding for the Clubhouse?

Do the long term goals of the organization require fundraising?

If so, How can the board do a better job of fundraising?

Should the board have a give or get policy?

How can we make fundraising meaningful work of the board?

What kinds of learning opportunities are available for the Board?
Financial Role of the Clubhouse’s Board of Directors

The Budget

- Each board member should be aware of how to read the budget. You do not need to be an accountant or a mathematician to understand how to read a financial statement or the operating budget but knowing some basics will be extremely helpful when making decisions on behalf of the Clubhouse.
- It may be helpful to have the treasurer, CEO/Executive Director, CFO, or someone else who handles the finances at the Clubhouse give new board members an orientation on how to read the financial statements. Believe it or not the budget and statements can look very different from one organization to the next.
- Important questions to ask are:
  - Do we need to start saving for any upcoming expenses?
  - How are we using our unrestricted funds?
  - What is the financial impact of a new project or potential change for the Clubhouse?
  - What are the financial implications for meeting Clubhouse goals?
  - How does the money we are spending fit into the mission and values of the Clubhouse?
- A great resource for more information on Financial Management in Nonprofits can be located through the Free Management Library at:
  [http://managementhelp.org/finance/np_fnce/np_fnce.htm](http://managementhelp.org/finance/np_fnce/np_fnce.htm)

Audits

- Audits are done yearly
- It is recommended that you change the organization’s auditor every 3 to 5 years
- In the Management letter the auditor will inform the Board of the areas of financial management that are weak.
- Audits are used to verify the completeness and accuracy of information that were reported in the financial statements
- An audit can also help strengthen the Clubhouse’s internal control procedures and risk management

Fundraising for the Clubhouse

Fundraising needs to be a collaborative effort between the Board, CEO/Executive Director, staff and members. There is too much work for either the program or board to do alone.

- Know your Clubhouse
- Know the mission
- Case Statement
- Develop an individual prospective donor list
- Develop an Organization prospect list
- Who knows who?
- Make a Plan
- Ask
Know Your Clubhouse
- In order to be able to talk to others and interest them in financially supporting your Clubhouse you must first make sure that those who are doing the “asking” are educated about your Clubhouse.
- In order to “sell” something you have to know what it is and how it works.
- Take the time to learn how a Clubhouse works, why it is different from other organizations and programs.

Know the Mission
- Develop a mission statement - the mission statement describes the needs your organization will address (purpose), how you will address those needs (what you do), and your guiding values or beliefs.
- Memorize it
- Use it

Case Statement
- A case statement is a written tool for making your argument for why your Clubhouse is needed.
- It is for fundraising and recruiting others to help, or support, in your start-up.
- It is a brief description of the problems or issues the Clubhouse currently addresses.
- It describes why a Clubhouse is needed in addition to any other services or programs in your community.
- It describes specifically how the Clubhouse is addressing the problem, or will address new concerns.
- What amount of funding is needed?

Prospective Donor Lists
- **Individuals**
  - Brainstorm names (Who do we know? Who would we like to know?)
  - Write them down
  - Get your whole Clubhouse involved
- **Organizations**
  - Brainstorm Ideas
    - Public and Private Foundations
    - Community Businesses
    - Government Agencies
    - Who do we know? Who would we like to know?)
    - Write them down
    - Get your whole Clubhouse involved

Make a Plan
- Assign a person from your group to each name on the list
- Make a plan for each ask (Who will ask When? What will you ask for? What support is needed for the “asker”? What has to happen before the ask?)
- Break it down into small steps
- Do it. (Ask)
Case Study: Diversifying Clubhouse Funds

Activity #5

New Hope Clubhouse is located in Las Vegas, NV and has been operational for 5 years. The Clubhouse currently has a budget of $500,000 a year. Of that money they receive 94% from a Contract with the County, 5 percent from the rental units they own and rent to members of the Clubhouse, the 1% remaining is from contributions. Las Vegas has been hit hard by the downturn in the economy, and the County is threatening to reduce the Clubhouse budget by 20% ($100,000). The Board consists of 15 people from the community with a variety of connections and ties to the city. The Clubhouse has 5 full time staff and an executive Director. The average daily attendance is 35 members. What are some new and creative ways that the Clubhouse can diversify its funds and continue operating at its same capacity or better?
Sample Grant from Hope Clubhouse

Hope Clubhouse of Southwest Florida, Inc.
June 2008 Major Annual Cycle Grant Application to
Southwest Florida Community Foundation

III. Program/Project Narrative
A. Agency/Organization Background
   1. History, Mission and Goals: Hope Clubhouse of Southwest Florida, Inc., was founded in 2007 by a group of individuals dedicated to improving the lives of people in southwest Florida who are living with severe mental illnesses. These founders know that the Clubhouse Model of Rehabilitation is a holistic, cost-effective and successful program offering opportunities and hope to individuals with debilitating mental illnesses, such as schizophrenia, bipolar disorder, clinical depression and schizo-affective disorder. Clubhouse Model programs are located elsewhere in Florida, throughout the United States, and in more than forty countries around the globe. Shortly after incorporating as a Florida not-for-profit corporation, Hope Clubhouse received tax-exempt status from the Internal Revenue Service as a charitable corporation described in Section 501©(3) of the Internal Revenue Code. It is the vision of our organization to become certified under the international standards of the International Center for Clubhouse Development (ICCD) and to be well known as a high quality, vital community resource whereby individuals living with mental illness become empowered to achieve independence and employment in a dignified setting free of discrimination. Participants in Clubhouse programs are called “members.” Membership in Hope Clubhouse will be provided free of charge to all. Clubhouse members, who will be at least 21 years of age, will work side-by-side with staff members in a dignified, restorative, and supportive environment. In addition to assuming daily responsibilities within the Clubhouse building, members will participate in Clubhouse employment programs at businesses in the local community, participate in social activities, receive assistance with locating and maintaining housing, and receive opportunities and encouragement to complete their education. Additional information about the ICCD and the Clubhouse Model is available on request as well as online at www.iccd.org.

   2. Organizational Relationships: Hope Clubhouse has joined the Florida Clubhouse Coalition, an alliance of Clubhouse Model programs. The Florida Clubhouse Coalition is working to change perceptions of mental illnesses, to advocate for more governmental support of mental illness programs and to exchange best Clubhouse practices information. A brochure describing the Florida Clubhouse Coalition is available on request. The board members of Hope Clubhouse have established connections with a number of mental health organizations in Southwest Florida and will continue to develop those relationships into the future. Our Board Chair, Sharon Dardy, is a member of the Lee Mental Health Planning Committee. She was formerly the Board Chair of National Alliance for Mental Illness (NAMI) in Lee County. Among the groups and individuals with which board members have met are the following: Sally Jackson (Lee Mental Health System); Lee County Human Services; Hon. Hugh Starnes (head of Mental Health...
We believe these meetings were successful introductions to the Clubhouse and will lead to community support.

3. **Role of Board of Directors:** The Board of Directors of Hope Clubhouse governs and manages the corporation. Before the end of 2008, the Board expects to hire a full-time salaried executive director, who, as CEO, will be accountable to the board of directors. The current Board is comprised of ten individuals with many years of professional, personal and volunteer experience in the field of community mental health. Information about the current board is included in the supporting documentation of this grant request. The Board’s primary function is to implement the mission, vision and action plan of the organization. Board members function as liaisons to the greater community, which will make our greater community more accessible and restorative. No Board member is compensated for his or her work on behalf of the organization.

3. **Specific Community Need for this Program/Project:** Living with severe and persistent mental illness causes unimaginable devastation for individuals, their families and loved ones. These illnesses also have a negative and costly impact on the community in which we all live: lost time from jobs, expensive hospitalization, homelessness, and issues related to caring for children of people suffering from mental illnesses are but a few of the more obvious ways in which our community is impacted. We have learned that more than 4,500 people sought treatment for severe mental illness through Lee County in the last six months. Outside of government funding, there are thousands more accessing mental health help in the private sector. In many, if not most, cases the individuals receive medications and/or talk therapy to manage symptoms but not services to help individuals become productive members of their communities or to give individuals hope for recovery. Some individuals who will be referred to Hope Clubhouse are not included in any current statistics. This may include veterans who, returning from deployment in Iraq and elsewhere, suffer from emotional problems that prevent their obtaining employment, developing interpersonal relationships and becoming reintegrated into the community. Most of the individuals who will become members of Hope Clubhouse currently survive on Social Security for disabled persons, and many of such individuals are now homeless. In many communities around the world, including many states in the USA, governments support community rehabilitation programs. This support is sorely lacking in many states, including Florida. The State of Florida is ranked 49th in the nation in the delivery of mental health services. This appalling lack of funds dedicated to mental health services places county and other governmental agencies that provide services to individuals with mental illnesses in Florida at a distinct disadvantage. The programs that currently treat individuals with mental illness in southwest Florida are mainly geared toward immediate and temporary treatment, and not long-term recovery and rehabilitation. In addition to hospitalization and clinical medical care and therapy, attention must be paid to providing psychosocial rehabilitation, which is a holistic approach, with emphasis on the other aspects of an individual’s life, including work, education, interpersonal relationships, leisure time activities, and all the other human
needs that give meaning to people’s lives. The system delivering mental health care in
Lee County offers isolated instances of rehabilitation opportunities, too often dependent
on what programs current governmental agencies can and want to fund. Establishing a
clubhouse in Lee County, not dependent on government funding, would fill many of the
gaps in the delivery of mental health care and provide much needed rehabilitative
services, at no charge to the recipients, through one unified organization in one accessible
location.

B. Funding Request—Office, Web Site, and Renovation of Building

This application requests a grant of $25,000 for the purpose of equipping an office,
developing a web site and renovating a building to be acquired as a permanent
Clubhouse program space. Our project budget estimates a total of $14,063 for office
equipment and web site development; at this time we have no budget for our 2009
building renovation, but expect costs to range from $15,000 to $30,000.

Office: The need for office space from which to conduct our activities as an emerging
Clubhouse program has become apparent. The United Way of Lee County has offered to
provide such office space to Hope Clubhouse, free of charge, in a building located in Fort
Myers. Our office will be used for board and committee meetings, as a place for volunteers to
prepare a newsletter and other mailings, and as an office for our executive director, from
which he or she can, side by side with volunteers and members, work on the tasks necessary
for starting a Clubhouse program, locating a space for the Clubhouse building, conduct
outreach, advocacy and planning, recruit and orient the first group of members, and hire staff.
We believe that our recruitment of a highly qualified executive director will be improved by
having such an office space, complete with standard office equipment to make his or her task
more cost-effective. We anticipate that our initial office space can be set up as a “mini
clubhouse,” with social interaction, preparation of newsletters, outreach, advocacy, and many
other productive activities for the initial members. The initial members of our Clubhouse
Program therefore will take pride in having been members from the start, and will act as
mentors to the members who will come to the Clubhouse building when it is acquired. Even
after we move from the office space to an actual Clubhouse building, the equipment,
furnishings, software and procedures utilized in the first office space will continue to be used
in the new location and the transition, for members and staff, can be minimally disruptive.

Web Site/Communication: The Board of Directors has determined that we can more
effectively tell our story and explain our mission by having, in addition to in person
meetings, a web site describing Hope Clubhouse, the Clubhouse Model, and the community
need. Such a website will link to other services in our community as well as other Clubhouse
Model programs in Florida. The Board of Directors will also consider the possibility of
accepting donations through its website. We have been investigating the cost of a website
and looking for individuals who may have the talent and skill to create a web site for us at a
discounted rate. We have already reserved a domain name. We hope that when our
Clubhouse is established, members and staff will learn how to maintain the web site. Two
examples of other ICCD Clubhouse websites are: www.goclubhouse.org (an emerging
Clubhouse in Gainesville, FL) and www.progressplace.org (an established Clubhouse in
Toronto, Canada). The attached sheets show (1) the estimated funds required to purchase sufficient equipment and furnishings to establish an efficient office with equipment that will also be effective and useful programmatically in our future Clubhouse building; and (2) estimated cost of creating and maintaining a web site.

**Clubhouse Building:** Current plans are to acquire (through purchase or rental) a building that will be renovated to serve as our Clubhouse. Requirements for such a building will include a commercial-style kitchen, a large dining room, meeting rooms and office spaces, a reception area at the entrance and adequate wiring for computers and phones. These requirements reflect the daily programmatic activities of an ICCD Clubhouse. Members of emerging and established Clubhouses typically participate in making the Clubhouse their own pleasant environment by helping with painting and minor repairs. The major renovation work, however, will be conducted by experienced licensed contractors. The typical cost of such work ranges from $15,000 to $30,000 for a Clubhouse designed to serve approximately 50 members with an average daily attendance of approximately 35. If funds are granted for all three project components, we would like to request payment in two installments, with the second being at such time as we have located a building and have more detailed plans for renovation costs and know what other sources of funding may be available. We anticipate being in a position to acquire a Clubhouse building in the first half of 2009.

**Other Sources of Funding and Assuring Sustainability:** The Board of Directors and the Development Committee hold introductory information gatherings at which they describe our vision for Hope Clubhouse project to their friends, neighbors, and other interested individuals and representatives of corporations, foundations and governmental agencies within Lee and Collier Counties. Usually, our Business Plan is furnished along with a brochure and other materials. These informational gatherings are yielding financial and other support, including offers of “in kind” contributions, including providing furnishings and equipment for an office and for a Clubhouse building, hosting informational gatherings and assistance with fundraising. A local bank has offered to host a large fundraiser for Hope Clubhouse in the fall of 2008. It is our intention to address the issue of sustainability in part by pursuing several leadership gifts (one board member contributed $25,000 in 2007) and to encourage individuals to make multi-year pledges at a sponsorship level. The Rotary Club of East Fort Myers has donated funds for the cost of our bookkeeping and accounting software, which includes the capability of creating a database of supporters and generating a mailing list of interested individuals, corporations and foundations. This database will also enable the Clubhouse to keep track of the employment, housing and education opportunities of Clubhouse members.

**Evaluation**

The success of the project for which this grant is requested will be evaluated by reviewing the extent to which our office space, web page and Clubhouse building are utilized. We will keep data showing the numbers of members, the average daily attendance of members, the number of volunteers, and the development of employment sites. By the end of 2008, our goal is to have at least five individuals signed on as the first members of the Clubhouse. Our to-be-hired Executive Director will have conducted orientation (intake) sessions no later than the first quarter of 2009. By mid-year 2009, our goal is 30 members, with average daily
attendance of 15, and by year-end 2009, 50 members, with average daily attendance of 35. Another goal is to have three prospective transitional employment positions by the end of 2008. With our move to a Clubhouse building, we will set additional future benchmarks, such as number of outreach calls, number of new members, number of established transitional employment positions for members, and compliance with ICCD Standards. Our members will assist in keeping track of these Clubhouse statistics, as recordkeeping is one of the daily activities engaged in at most strong Clubhouses. The success of the website will be measured by the number of “hits” and by keeping track of the comments and referrals that we receive from people who have accessed the website. Recording this data can be a project of members, staff and volunteers working in our office. We will publicize our website in our materials and newsletters, and later in 2009 ask our supporters for comments and suggestions about our website. We will communicate these results in writing to our funders by an annual report (more frequently if requested), and keeping track of the results of these initiatives will of be part of the business of each board meeting. Our newsletters will regularly provide such statistics (number of new Clubhouse members, number of volunteers, number of employers providing employment opportunities to Clubhouse members, number of donors and amount of donations, number of website hits). We consider such information will be an exciting indicator to every one of the progress we will be making in achieving our goals of disseminating information, creating a sustainable, effective Clubhouse, and providing opportunities for individuals to become productive, respected members of our community.
Grant Resource Sheet

Web Links:

**The Foundation Center** – [http://fdncenter.org/](http://fdncenter.org/)
The Foundation Center is an independent non-profit information clearinghouse. Their mission is to foster public understanding of the foundation by collecting, organizing, analyzing and disseminating information on foundations, corporate giving and related subjects.

The Charity Channel community is comprised of nonprofit sector professionals from around the world who volunteer their time, advice, tips and articles for the benefit of the community.

**Seliger & Associates** – [http://www.selliger.com](http://www.selliger.com)
Seliger + Associates provides comprehensive grant writing, grant resource research, and related services for public and nonprofit agencies throughout North America on a consulting basis.

**Grant Alerts.com** – [http://grantsalert.com](http://grantsalert.com)
This service is devoted to educational funding. Occasionally federal and foundation grants will be released which fit in with the Clubhouse model.

Guidestar is a free service that provides extensive nonprofit information. The site offers basic, in-depth and customized data services on more than 1 million U.S. nonprofits.

Subscribe to SAMSHA eNews a service that provides news releases via email to subscribers. Subscribers will automatically receive all news releases, fact sheets and media advisories issued by the Substance Abuse and Mental Health Services Administration (SAMHSA) and its Center for Mental Health Services (CMHS), Center for Substance Abuse Treatment (CSAT) and Center for Substance Abuse Prevention (CSAP).
Prelude for Fundraising Events

Many Clubhouses sponsor an annual fund development event. The amount raised varies widely – from $7,000 to $100,000. While the monies raised are important to Clubhouse budgets, the events also call attention to the work of the Clubhouse and provide an opportunity to showcase the achievements of the Clubhouse community. The experience of Clubhouses that sponsor these events has been positive. We are including this material to encourage you to think about this kind of event for future development of your Clubhouse.

Fundraising Events by ICCD Clubhouses

Annual Queen of Hearts
Sue Hanson
Alliance House
1724 Main Street
Salt Lake City, Utah 84115
Phone: 801-486-5012
Fax: 801-466-5077
Email: sueh@vmh.com
This annual fundraising event raises approximately $14,000 for Alliance House each year.

Genesis Charity Croquet Tournament
Kevin Bradley
Genesis Club
274 Lincoln Street
Worcester, Massachusetts 01605
Phone: 508-831-0100
Fax: 508-753-1286
Email: kbradley@genesisclub.org
This annual fundraising event raises approximately $30,000 for Genesis Club each year.

‘Dancing With the Fort Wayne Stars’
Andy Wilson
Carriage House
3327 Lake Avenue
Fort Wayne, Indiana 46805
Phone: 260-423-4301
Fax: 219-423-4621
Email: carriagehouse@fortwayneclubhouse.org
This fundraising event raised approximately $35,000 - $40,000 for Carriage House.
“Alliance House offers men and women living with mental illness the chance to live a life of respect within the greater community and experience the same world of friendship, housing, education and employment as the rest of society.”

Alliance House is a nonprofit rehabilitation program for adults who suffer from serious and persistent mental illness. We provide a socially and emotionally supportive environment in which men and women can gain the skills, experience and confidence necessary to regain competitive employment in the community, meet educational goals and attain safe, affordable housing. Alliance House does not operate within an institutional setting, nor is it a treatment center or residential program; those whom we serve are members, rather than clients or patients. Individuals come to us through referral by Valley Mental health where their clinical needs are being addressed. At Alliance House our central emphasis is not on their illness, but rather on who they are and what they can do. Through this strengths based approach members are able to realize a new vision of their future.

On Monday, June 5, 2006 Alliance House holds its ninth annual Queen of Hearts Bridge Luncheon at the Greek Orthodox Church.

We expect nearly one hundred and fifty prominent members of our community to attend this event, the proceeds of which will support the programs of Alliance House.

Each year many generous local businesses and organizations assist us through the contribution of gift certificates and other valuable items to be used as door prizes and auction items. This support is critical to the success of our fundraising efforts.

We would be most appreciative if we could count you among our in-kind donors.

If you have any questions please feel free to contact the Alliance House Development office, 467-1262.

Thank you very much.

Alliance House Tax ID # 74-2440617
PLAYING THE MATCH FOR
MENTAL HEALTH

GENESIS CLUB
CHARITY CROQUET TOURNAMENT

Saturday, July 22, 2006
10:00 am — 4:00 pm

ASSUMPTION COLLEGE

Luncheon, Silent Auction,
and featuring Music by:
- The Bee’s Knees
- Blackstone Valley Blue Grass Band

274 Lincoln Street Worcester, MA 01605
Phone: 508-831-0100 x 30 .... Web Site: www.genesisclub.org
FOR IMMEDIATE RELEASE October 31, 2009

Over 400 EXPECTED FOR ‘DANCING with the FORT WAYNE STARS’

FUNDRAISER BENEFITTING THE CARRIGE HOUSE

Contact: Andy Wilson, Executive Director
(260) 243-4301, Cell (260) 414-8164
Email: awilson@fortwayneclubhouse.org

Patsy Dumas, Board Vice President
(260) 490-3200, Cell (260) 433-3637
Email: patsydumas@aol.com

FORT WAYNE, INDIANA – On November 2, 2006 The Carriage House is hosting “Dancing with the Fort Wayne Stars” – a fundraiser based on the popular TV show. Ten local celebrities have been taking lessons from area dance instructors for the last two months and will strut their stuff at the semi-formal gala. Doors open at 6:30pm and the show begins at 8:00pm.

Held at the Landmark Conference and Reception Centre, the evening event will include red carpet photos and a buffet. As on the TV show, video of dance lessons will precede each performance and commentary from celebrity judges will follow. Attendees will vote on the three finalists and, ultimately, the first place winner.

Please see the attached program of the event for a list of celebrity dancers and judges.

Founded in 1997, The Carriage House provides non-traditional “Clubhouse Model” rehabilitation for adults with serious mental illness in the greater Fort Wayne area. With more than 650 'members' the Carriage House is the only program certified by the International Center for Clubhouse Development in the state of Indiana.
Prelude to Employment Funding

Many Clubhouses depend heavily upon public funding, especially Department of Vocational Rehabilitation (DVR) funding. It is never too early to think about exploring the possibility of a DVR (or OVR) contract for your Clubhouse.

You might even consider inviting a DVR staff person to be part of your Board of Directors or a committee. In places with strong Clubhouse communities, most DVR’s recognize that Clubhouses provide highly effective vocational services to adults who have experienced mental illness. You should feel free to refer to this as you speak with DVR staff in your community. Precedents have been set that can benefit your community immensely.

The Ticket To Work program provided through the Social Security Administration (SSA) is another opportunity to build funds through public funding. There are ICCD Clubhouses which are currently Employment Networks (EN) and more than willing to share how this has worked for them.

Employment Funding Resource List

DVR Employment Funding Resource List

Kevin Bradley
Genesis Club
274 Lincoln Street
Worcester, MA 01605
(508) 831-0100
kbradley@genesisclub.org

Sue Hanson
Alliance House
1724 South Main Street
Salt Lake City, Utah 84115
(801) 486-5012
sueh@vmh.com

Tommy Gunn
Adventure House
924 North Lafayette St.
Shelby, North Carolina 28150
(704) 482-3370
adventureh@aol.com

Ticket to Work Employment Funding Resource List

Tom Gloss
Program Specialist
SSA Ticket to Work
CESSI, a Division of Axiom
tom.gloss@ssa.gov
410-965-7545

Lisa Soucie
High Hopes Clubhouse
26 College Avenue
Waterville, Maine 04901
lsoucie@kbhmaine.org
207-877-0322

Amy Clinton
Independence Center
4245 Forest Park Drive
St. Louis, Missouri 63108
Aclinton@independencecenter.org
314-533-4245
How Board Members Can Become Effective Fund-Raisers
By Tony Poderis

So, you've been asked to join the board of a non-profit organization, or maybe you're already on the board. In either case, here's some advice.

Never sit on the board of a non-profit organization unless you are willing to express your leadership by asking friends, family, and acquaintances to make gifts of a size consistent with their ability to give. Board members must be eager solicitors of donors, especially those with the ability to make substantial gifts, and they must be willing to lead fund-raising efforts.

In the end, the success of fund-raising campaigns hinges on leadership, and that leadership starts with the board. Board members are the campaign solicitors of first and last resort. They are the most important fund-raising resource an organization has. There is no greater strength in a fund-raising campaign than a board ready and willing to lead, and no greater weakness than one which sees fund-raising as someone else's job.

Yet far too many board members are, at best, reluctant fund-raisers. They're quick to claim they don't have the time, feel uncomfortable "begging," don't have the right contacts, or didn't sign on to be fund-raisers—that it's the staff's job. Does that mean we have the wrong people on our boards? Would things be any different with different board members? The answer to both those questions is a resounding NO!

Board Members Must Be Provided With The Fund-Raising "Road Map"

From my experience, much of the fault lies in an organization's failure to define and delineate for board members their fund-raising role. Board members need to be made aware of the fund-raising process and to be provided with the plans, tools, and support necessary for effective solicitation.

The first step to a fund-raising-friendly board is to make the responsibility to solicit gifts clear at the time a person is asked to serve. Too often, the commitments and responsibilities of board membership are glossed over out of fear that a candidate will say no. I doubt most of the people who try to "seduce" an individual onto a board by stressing how little will be required of them would use the same approach if they were hiring someone for a job.

The second step is to assure board candidates that the organization will provide them with all the tools and assistance needed to raise money and that fellow board members are committed fund-raisers for the organization. The person recruiting a new board member should be either the board chair or a board member who has a personal relationship with the candidate. Recruiters must step forward with their endorsement of the organization's fund-raising policies and practices, explain why they believe in them, and tell how they personally have solicited gifts for the organization.
The Two Strongest Tools Board Members Must Have

If board members are to raise money, they need to know and be committed to the organization. Knowledge and commitment are the two strongest tools anyone asking for a gift can have, and they go hand in hand. Knowing the organization is crucial to fund-raising, but without commitment that knowledge is worthless. Words spoken in support of a cause in which you do not believe have a hollow ring to them. Without knowledge you can't present an organization's case to prospective donors, and without true commitment your efforts will yield severely diminished results.

Commitment is something that can be determined in the recruitment process and then built upon as an individual serves. Yes, sometimes people will seem to have commitment that they don't. But most of the time we can tell who really cares. Knowledge of the organization is something that can and should be imparted to board members throughout their tenure. An organization needs more than the obligatory orientation session for board members. An ongoing process of board education and awareness-building is needed.

Board Members Must Know Their Organization

Nothing inhibits face-to-face solicitation more than not knowing your organization well enough to answer detailed questions about it. An unknowledgeable solicitor is an unsure and uncomfortable solicitor. You can't do a good job at communicating an organization's need or importance if you don't know the organization.

You need to know its reason for being, its goals and objectives, who benefits from it, and its operational and financial efficiencies. If you have that knowledge, you have an understanding of the organization's importance and its necessity. That understanding will give you the confidence and composure to pick up the telephone, to knock on a door, and ultimately to sit in someone's office or living room and ask for money.

Board Members Must Be The First To Step Forward To Raise The Money

Soliciting major gifts is only one part of a board member's fund-raising responsibility. Board leadership is the key element in deciding if a campaign should be undertaken and then in determining the goal. As a board member, you must be prepared to serve on the board's standing committee on development and to play leadership roles on individual campaign committees.

The best board members raise their hands for the jobs most critical to the success of an organization, and no board responsibility is more crucial than that of fund-raising. If you're new to a board there is no faster way to contribute than to ask to serve on the development committee. You'll earn the respect of fellow board members and have the opportunity to develop meaningful relationships with the organization's executive director, its development director, and influential board members already serving on the committee.
By actively working to raise the contributed income necessary to carry out the organization's mission you will have leveraged your involvement with the organization. Every hour you give to it will carry meaning and deliver outcome.

The Development Committee: Every Board Should Have One

What kind of people should be on a development committee: those with both the vision to see the big picture and the focus to concentrate on what needs to be done today. A development committee needs people of varying backgrounds, but I have found the best committee chairs share some common traits. They are skilled managers and have strong marketing backgrounds. They are able to lead, and they have clout in the community. As the staff development professional, I found I could supply the nuts-and-bolts "how-to." Then my committee chairperson would pull together a cadre of volunteers who could be relied on to deliver results. Recruiting other volunteers is an important part of what a development committee chair needs to be able to do.

If you recognize yourself in the forgoing description, you really need to raise your hand to serve on your organization's development committee and then be ready to take a position of leadership. Do so, and you will give the organization what it needs most while at the same time showing yourself to be a community leader.

Let's suppose for a moment that you are a board member who is already committed to carrying out your fund-raising responsibilities and have risen to a position of leadership in the organization's development effort. How then can you help bring other board members and volunteers into the fold? You do it by overcoming their objections to and fear of asking for money.

Overcoming The Board's Fund-Raising Fears, Objections—and Excuses

Regardless of the excuses given, there are positive steps you and the organization can take to reverse the most negative and defensive attitudes.

1. Educate them on fund-raising with workshops, retreats, etc. Knowing the process of fund-raising helps diminish fear of it.

2. Help them reinforce their belief in the value of the organization's mission by sharing its success with them and encouraging them to involve themselves in its programs. True belief in a cause can turn almost anyone into an effective fund-raiser.

3. Assign tasks that involve them in a fund-raising campaign, but that do not require them to solicit gifts. These can include rating prospects, adding personal endorsements to funding requests, and writing thank-you notes to donors. It's a question of learning to crawl before you can walk.

4. Place them in a position to be visibly associated with the organization and its successes. Ask a board member to be an interviewee in a story the local newspaper is doing on the
organization or one of its programs. Let them bask in the organization's success. We all like to associate ourselves with winning efforts.

5. Partner a board member who is a successful fund-raiser with a new recruit as a mentor. Have the new member accompany the successful fund-raiser on visits to a donor or two. Nothing beats the experience of being where the action is and watching a pro at work.

6. Create opportunities for board members and volunteers to experience the organization. They will gain a true appreciation for the organization from the up-close and personal view provide by visits to its facilities, events where they can watch the organization at work, and seeing how real people benefit from the organization. The best way to learn about something is to immerse yourself in it.

Try these approaches and you will increase greatly the willingness of board members and volunteers to solicit gifts. Increase that willingness and you will raise the board's fund-raising effectiveness.

**Board Members Must Avoid Major Solicitation Errors**

Earlier I said that as a staff development officer I found that I could provide my committee chair and by extension, other board members and volunteers, with the nuts-and-bolts know-how of fund-raising. If you are a board member, make sure that you avail yourself of the skill, knowledge, and experience of the pros you have on staff. Those of us who have been working at this fund-raising game over the years have learned many of the dos and don'ts of successful solicitation. Some of the things that doom a solicitation effort include:

1. Not directly asking for a specific gift.
2. Not asking for a large enough gift.
3. Not knowing enough about the prospect before you go into the meeting.
4. Not listening enough and talking too much.
5. Not asking questions to find out what the prospect's needs are
6. Not discussing the benefits of the gift for both the prospect and the organization.
7. Not being flexible and able to come up with creative alternatives.
8. Not summarizing the highpoints of the presentation before moving to ask for the gift.
9. Not practicing what you are going to say and how you will say it.
10. Asking for the gift too soon.
11. Continuing to speak, rather than remaining silent, after asking for the gift.
After a prospect has made his or her decision, there are two mistakes solicitors commonly make that damage the organization's ability to obtain future gifts. They are:

1. Showing disappointment in the prospect after a refusal or when a much smaller gift than that requested is given.

2. Not expressing a sincere thank-you after every opportunity to present the case for giving, no matter what the outcome.

**Board Members Must Be Fully Equipped With Plans And Tools**

As a board member you need to rely on your organization's development staff to provide you with the tools and support to effectively solicit potential donors. If you feel you need more background, training, materials, etc., ask for them. Don't wait until after your solicitation effort has failed and then say, "If you had only given me "X" we could have nailed that gift." It is the development staff's responsibility to supply you with what you need, but it is your obligation to ask for anything you feel is missing.

If you are a board member who understands the importance of board fund-raising efforts and who is committed to helping lead those efforts, I suggest that you sit down with the board chair, the executive director, the development director, and the development committee chair and assess the fund-raising quality of your board.

If it comes up short, determine why.

If you need to provide your board members with some of the training and information discussed in this article, do it.

If you need to add board members better suited to carrying out the organization's fund-raising needs, find a way to add them.

If the organization needs more fund-raising know-how and expertise, find a way to provide it.

Fund-raising is too important to the continuance of an organization for board members not to personally commit to both doing it and providing the resources to create a successful fund-raising environment.

**A Board Member's Commitment In The Truest Sense Of The Word**

Finally, I suggest that every board member sign a fund-raising pledge that would read something like this:

As a board member of ______________________, I pledge to support and take part in all of the organization's fund-raising efforts.
• I will actively solicit gifts for every fund-raising campaign we undertake.

• I will carry the message of the organization's value and importance to those with whom I work and socialize.

• Recognizing that leaders must lead by example, I will make a gift to every fund-raising campaign the organization undertakes consistent with my ability to give and reflective of my commitment to the organization.

Signed: ________________________, Trustee

In my opinion, any board member should be willing to stand by those words, and any organization needs board members who will.

Those are my views on the subject. What are yours? I welcome your comments and suggestions.

Additional Reading For Board Members

For more information on how board members can contribute to their organization’s fund-raising efforts and how to conduct successful campaigns, check out the following articles on my website (www.raise-fund.com):

• Know Your Organization

• Annual Fund Giving & "Getting" Guidelines For Your Organization's Board Of Trustees

• How To Recruit Your Volunteer Fund-Raising Team

• Campaign Solicitation Kits: "For Want Of A Kit A Campaign Was Lost?"

• Asking For The Money: If You Don't Ask, You Don't Get

• Campaign Assessment And Review: What Was Accomplished And What Was Learned

From the website:
Glossary of Key Financial Terms

Accounts payable
   The amount owed to others for services or merchandise received by the organization.

Accounts receivable
   The amount owed to the organization for services or merchandise provided to others.

Accrual-basis accounting
   A system of financial recordkeeping in which transactions are recorded as expenses when they are incurred (i.e. when a bill is received for merchandise or services provided to the organization) and as income when it is earned (i.e. when services or merchandise is provided by the organization, or the organization receives a commitment of a contribution) rather than when cash is paid or received. The alternative is Cash-basis accounting.

Accrued expense
   Costs of operation that have accumulated, but are not yet due or payable.

Accrued interest
   Interest costs that have accumulated, but are not yet due or payable.

Allocation
   A method of accounting that divides expenses among different program, administrative, and fundraising categories based on a formula that recognizes the use of the resources such as use of the facility or staff time.

Assets
   What is owned by the organization.

Audit
   A financial report that has been tested and verified for accuracy and prepared in accordance with Generally Accepted Accounting Principles. An essential component of the audit is the Opinion Letter.

Balance sheet
   A report showing the financial condition – Assets, Liabilities, and Net Assets - of the organization at a particular moment in time. Referred to as a Statement of Financial Position in the nonprofit sector.

Capital expenditure
   Payment of money to acquire fixed assets, such as a building or equipment

Cash equivalents
   Funds which can be quickly and easily converted to cash; those bank accounts, money market funds or other investments which mature within 90 days.
Cash-basis accounting
A system of financial recordkeeping in which transactions are recorded when cash is received or spent. The advantage over accrual-basis accounting is its simplicity.

Cash flow
The movement of cash into and out of an organization; or the difference between cash receipts and cash disbursements during a period of time.

Cash flow statement
A report of incoming and outgoing cash during a specified period of time.

Contribution
A donation, gift or transfer of cash or other assets.

Current assets
Cash, investments, receivables, and other assets that can be expected to be available as cash within twelve months.

Current liabilities
Those liabilities due to be paid now or within the next twelve months.

Fixed assets
An asset that has a relatively long useful life, usually several years or more, such as equipment, furniture, buildings and land. Also called Capital Assets.

Functional Expenses
Categories of expense delineated by the type of expense: program services, management & general, and fundraising. Required for IRS form 990 and audited financial statements. Often reflect the use of allocations.

Grants
Contributed assets given by an individual or another organization with no reciprocal receipt of services of goods. Sometimes are given with a legal restriction imposed upon its use.

Income Statement
A financial report that summarizes income and expenses and resulting surplus or deficit for a given period of time. Also known in the nonprofit sector as the Statement of Activities.

In-kind contribution
A contribution made of goods or services rather than cash.

Internal controls
The system of practices, procedures and policies intended to safeguard the assets of the organization from fraud or error and ensure accurate recordkeeping.
Liabilities
What the organization owes to others, including accounts payable, debts, mortgages and other obligations to pay.

Net assets
The difference between the organization’s total assets and its total liabilities on the balance sheet indicating the net financial worth for the organization. Net assets is the accumulation of the difference between cumulative income less cumulative expenses over the life of the organization. Divided into Unrestricted, Temporarily Restricted, and Permanently Restricted net assets.

Net fixed assets
The value of land, buildings, equipment and other fixed assets owned by the organization after the deduction of the accumulated depreciation of those assets.

Operating expense
General term for expenses incurred for all the activities of the organization.

Operating reserve
An unrestricted fund balance set aside by the organization’s board to stabilize an organization’s finances by providing cash as a cushion for planned or unplanned future expense or losses.

Permanently restricted funds
Funds which the donor has indicated may not be spent by the organization, but which are invested to produce a stream of income that can be spent. Frequently called an endowment.

Restricted funds
Contributions which are designated by the donor for a specific use. See also temporarily restricted funds and permanently restricted funds.

Revenue
Income earned from services performed or merchandise sold (as distinct from support, or contributed income).

Temporarily restricted funds
Contributions given by the donor or granting organization for a specific use or for use during a specific period of time. The limitation is satisfied at a defined time or when certain activities have been performed and the funds are released from restriction.

Unrestricted funds
Contributions given without the donor placing any restrictions or limitations as to their use.

The full version of this list can be found through the Nonprofits Assistance Fund at: http://www.nonprofitsassistancefund.org/pages/glossary
Section 5

The Board’s Role in Employment Development

Questions to Ask Yourself

What is the difference between TE, SE and IE?

What is my role in employment development?

Who do I know that can help connect members to employment opportunities?

What is the value of work for members of the Clubhouse?
The Board’s Role in Employment Development

What is TE/SE and IE?

TE stands for Transitional Employment
- Time limited; typically 6-9 months in duration
- Position belongs to the Clubhouse
- Clubhouse develops and maintains relationship with the employer
- Part time work
- Low stress/entry level
- Clubhouse provides on-site training and support
- 100% absence coverage guaranteed by the Clubhouse
- Typically a meet and greet with Employer rather than interview process

SE stands for Supported Employment
- Time unlimited
- Position belongs to the member
- Part time or full time employment
- No absence coverage
- Clubhouse assists with job site development and often training
- Clubhouse develops and maintains relationship with the employer
- Competitive element to the interview process

IE Stands for Independent Employment
- Part time or full time employment
- Position belongs to the member
- Clubhouse does not commit to formal relationship with the employer or provide coverage
- Member goes through an interview process
- Clubhouse assists with career development, job search, and ongoing support

Why is employment important to the Clubhouse?
- Member’s own experience guides career plan. “If I have a job, I have a chance.”
- Key element in rehabilitation and reintegration into society.
- Work gives value and purpose to one’s life.
- Provides an array of opportunity that no other vocational service model offers.

What is the Board’s role in developing Employment opportunities for members?
- Use connections in the community to help introduce the Clubhouse to the prospective employer – a pass down from a high level contact is the most effective.
- The “ask” – permission for the Clubhouse to write a letter describing what they wish to discuss.
- Look for job leads within their place of employment that would be good TE placements
- Serve as a Clubhouse ambassador
- Fully understanding the employment program of the Clubhouse and using that knowledge to spread the word
Transitional Employment Development at a Clubhouse is Everyone’s Concern

Transitional Employment (TE) is much like finding one’s own job. As in a personal job search, the development of TE jobs is always facilitated by having personal contacts and references. While the Clubhouse will sometimes make ‘cold calls’ to employers, if the targeted employer has been introduced to the Clubhouse from a friend or business associate, the chance of getting the opportunity to present the program and secure a placement are greatly increased.

Therefore, it is important that all of the people involved with the Clubhouse and working for its success should be involved in TE development. Everyone – members, staff, board members, parent agency staff, and friends of the Clubhouse – most likely know someone who is a potential employer for the Clubhouse. When the whole Clubhouse community is part of the TE development process, there are many opportunities to access personal introductions and references. TE development should be discussed regularly and openly with the whole Clubhouse community, so that everyone will experience it as a shared responsibility.

Board members can be particularly helpful. They are often in a position to know and interact with more potential employers than the Clubhouse staff or members. It is very important that board members know and understand how the TE program works and that helping with TE development is seen as a fundamental part of board membership. One way to enhance their understanding and enthusiasm for TE is to ask them to visit a placement site. There, the inspiration of working with members and committed employers almost always works its magic in fostering allies and advocates.

A common mistake made by Clubhouses is to assign TE development as the exclusive responsibility of one staff person or to hire an employment “specialist” or job developer to acquire placements on their own. This rarely leads to great TE programs. It is much more likely that the Clubhouse will build a strong employment program if people at all levels of the Clubhouse community see TE development as a priority and shared responsibility.
Plenary on Employment
By Laura Miyashiro, Friendship House Hawaii

How do you get yourself through Years of Transitional Employment, into Supported Employment, into Independent Employment? Answer: The Right Attitude, a little luck, and the help of good people.

What is this attitude? Where did I get it from? I got it from my childhood. From the Story of the Grasshopper and the Ants. Do you know the story?

When it begins we find the Grasshopper Fiddling away. You’ve seen lots of these guys around the clubhouse. Dancing and singing, “The world owes me a living. Deedle Dydle Dodle Dydle Dum”. He walks down the road and comes across some ants, busily working. The ants are finding and storing food. The ants are building their nest. The Grasshopper said, “Why are you working so hard? There’s plenty of food, and who needs shelter when the world is so comfortable. I have everything I need. Oh the world owes me a living. Deedle Dydle Dodle Dydle Dum.” Spring went then autumn came. Food was ripe for the harvesting. The ants were really working now. The Grasshopper was having a marvelous time. “Oh, the world owes me a living. Deedle Dydle Dodle Dydle Dum. Then the winter came. The snow covered everything. The wind was chilling. The Grasshopper was freezing. He was cold, tired, starving. He thought of the ants in their cozy little nest feasting on the food they had worked so hard all year to store and save. The Grasshopper dragged himself to their door hoping they would not turn him away. The ants didn’t. They had worked hard enough they could afford to take care of the Grasshopper too. But they wondered what it was he might be able to do to earn his living.

The Grasshopper thought that perhaps he could play his fiddle and entertain the ants during the long winter. But he had to change his tune. The world had given him a living. But he now knew it didn’t owe him one. So he sang, “I owe the World a Living. Deedle Dydle Dodle Dydle Dum.”

For my first job at five years old, I broke tops in the pineapple fields and tossed the pineapples up to my brother, who caught them and laid them in the truck bin. We’d work till all the pineapples were picked and taken to the cannery. We knew if we didn’t get the pineapples in, there would be no food on the table. After that, you figure everything is easy.

Have you heard of Hurricane Iniki? It’s how we tell time on Kauai. Everything is either before or after Iniki. Well, I went through my own personal hurricane in the mid 1980’s. I had a night in which I couldn’t sleep. My mom panicked and rushed me in to see the psychiatrist. He quadrupled the amount of my usual medication. On top of that the pharmacist made a mistake and gave me 100 mg. pills instead of the 25 mg pills I was supposed to get. I landed up taking 400mg. of medication where I was used to taking 25mg. which is 16 times as much as I was used to. I went unconscious and stayed that way for 2 days. I think that had been over a weekend, but I didn’t know that. When I woke up, I was mad at my mom. I was mad at the psychiatrist. I was mad at the pharmacy.
When I got back to work I couldn't focus. A one-hour task took me five hours to complete. I kept mopping the same areas over and over and over again. I couldn’t tell what I had and hadn't done. I felt like I was floating in a state of euphoria. But I wasn't happy. And I knew I wasn't happy.

I knew what happiness was. Happiness comes from accomplishment. The euphoria, that was like being strung out on dope, where you act and do stupid things, but you feel like you are flying. I wanted no part of that. And I knew I couldn't work in the state I was in. In order to be fair to my boss, I needed to back out of my job. I knew my job was important. I did important things. I cleaned toilets. You don't know how important that is until you can't find one. So my world came tumbling down. I thought I'd never get it back.

Some of you here know what it is like to try to get back in the groove of working after you’ve been confined in a psychiatric hospital, and forced to stay there till you want to do nothing but sleep. Till you are completely docile. Which means you probably want to die and do nothing else. They have you drugged so much you can’t do anything. So you work your way to finding the right drug concoction so you can actually think your own thoughts, not the drug induced thoughts. So you are able to actually do things that you want to do.

I felt like I had to start from scratch. I started going to this Clubhouse called Friendship House. My life was such a mess that getting a job was only part of what I needed to do. I had to balance and solidify my life. I have to reach out socially. Not just to my family-who always were there to back me but to strangers. I had to make new friends and establish a support system outside my immediate family. I learned how important this was when I lost my staunchest supporter. My dad died. Daddy had been everything to me. He was my transportation, my companion when I most needed company. He was my generous money giver, not lender, but giver, whenever I was low on funds. He was my reason for getting up in the morning, even as he was getting weaker and dying. I needed to make Dad his breakfast, because he had done that for me so many times before in my life. He was like a child. The sweetest most wonderful child I could experience. Right when I was mourning my lack of motherhood, he was gone.

If it hadn't been for Friendship House I don't know where I would have been. Probably another internal hurricane. The people there reached out to comfort me, as though I was a normal person with feelings. Not like a mentally ill person whom the world believes, has no conscience, or normal feelings of loss. And what was great was that many of the people that reached out to me were other members not just staff. People who had learned through constantly being hurt and rejected, that it isn't safe to reach out, especially not to people who are hurting. But they were my friends and reached out to me. You could tell they weren't sure they knew how to help, but they reached out, and it did help. I could now focus on getting on with my life.

I couldn't just go out and get a job. My work reputation was MUD. I had to reprove myself. And the only people that would give me that chance was Friendship House and its unique employment program. Transitional Employment was my first step back in regaining that intimate and essential part of all of us, self worth.

I first worked at a TE with the YWCA of Kauai. I was living in a Care Home just after getting out of the hospital. I was paying for it with my TE earnings, my disability check and with savings from my previous job. But now my savings are dwindling because the Care Home costs
so much. In one year I actually wiped out all the money that it had taken me 8 years to accumulate. I needed to work again. And I needed to make money doing it.

I worked an indoor maintenance job (Jack’s fancy name for Janitress), for a few hours a day, a few days a week. I did it with a staff worker training me side by side until I could do it on my own. Week after week I slowly began regaining my stamina, my confidence, and putting some money away. After about six months, I successfully completed my first TE!

The support from Friendship House came not only in the form of job training and support. It also came in the form of helping me get housing. I really wanted to get out of a Care Home and they helped me get into a more independent living situation which was a lot cheaper per month than the Care Home.

Still I needed a job but don’t feel quite yet like I have my legs completely under me. Another TE opens up at Big Save, a local grocery store. I grab it. It’s more hours so I’m earning more wages. I’m also carefully building my stamina to work, to work harder and for longer periods of time.

You know another thing I liked about working through Friendship House? The staff worker comes to the job site and coaches you through the job until they are confident you have learned it. And they write up the directions and give it to you so you can refer back to the directions if you forget anything. For the rest they are there to fill in for you if you are unable to go to work for some reason. For Big Save, once I had to call Iris, my staff worker, in because I got bit by a centipede and was indisposed for a few days.

Well guess what? I successfully finished up that TE at Big Save. I then wanted to further my education so Friendship House and DVR helped me to take a few courses at Kauai Community College. This helped me not only advance my skills for future employment, it helped to again have a chance to interact with other people, to reach out back into society again, to feel like a real person again.

Through this all, Friendship House was there with me the whole way. From a period in my life when I couldn’t work, I now had two TE’s under my belt, some additional education and I felt ready to get my own job. Through a connection with our local vocational rehabilitation branch, which is outstanding by the way, Friendship House got a lead at Pono Cleaners, a local dry cleaning business that is about a 5 minute ride from my house. Dave Jordan, a staff from Friendship House, helped to prepare me for the interview. He practiced with me, helped me sharpen up my resume, and also kept me calm.

Well, I got the job. It was a Supported Employment Job at first. Iris Ijima, the best staff worker in the world (with apologies to you all), came and observed the job with me. She wrote her invaluable notes and charmed everyone into thinking I was better than her at doing the job. I work as a computer tagger and tag all the clothes that come in for repairs. I think they consider me a pretty important part of the business operation and that makes me feel good. You know, my father had died just before I started this job. Working the job helped me through the mourning process. It kept me busy. It gave me incentive and motivation to go on. I could hear my father in my heart saying, “Hold on to this job. It’s something worth keeping.
When Lincoln, my boss, changed the job from a temporary eight hour, Tuesday, Thursday job, into a permanent full time, five day a week job, I knew Dad was right. I now work full time. Gosh it feels good to say that. Do you mind if I indulge and say it again? I now work full time.

I also get two weeks a year vacation time, two weeks a year sick leave, and medical that covers Dental, Vision, Drugs as well as hospital stays. Maybe not one hundred per cent, but WOW, life is great and my boss also participates in Friendship House activities. When I received the State Award for Rehabilitant of the Year, he went to Honolulu with me. We took pictures with the Governor and had a luncheon. He has been to most of the Clubhouse Employer’s Banquets.

My job may not seem like much to some but its honest and decent living. I feel like a real person again. Friendship House was there for me when I needed help the most and they were there for me when I got this job. Their support included job preparation, job training, helping me with reporting my benefits to the government; and giving me rides to work when our bus system is closed on holidays. I remember calling staff at their homes, on days that they were off work, yet they helped me when our county bus couldn’t. My friend Tim, another member at Friendship House is a huge help to me with stuff like this too.

The Clubhouse Standards talk about helping members get supported and independent employment and Friendship House sure did that. But you know what? It is now Standard #24, the one about having all the other Clubhouse supports available to me that matter a lot to me now.

With working full time, I’m no longer sharing many hours working in the work units side by side with my Clubhouse friends. Instead I get to the Clubhouse at 3:30pm and when I get there, members and staff greet me, I have things to get involved with there, and I enjoy participating in the social program. Clubhouse members do transportation runs to the stores so we can do our grocery shopping and that is a big help to me. If I need someone to talk to about personal issues, someone lends an ear.

I think one of the biggest challenges in a person with a mental illness is changing the belief that people hate them or are out to get them. Most people don’t hate mentally ill. They don’t know who they are what they are or what they do all day. But do people resent people who don’t work? To earn the right to enjoy leisure time and fun activities but are given these things anyway? And at your expense? You betcha.

So, the people that know about us sometimes resent us and we feel it and sometimes develop even more problems because of it. Now if we get a job and work, things change. I noticed that the bus people are happier to get me to where I am going if the bus stop is where I get off and go to work. They will wake me up if I fall asleep so that I don’t miss getting to my job. People will ask, are you still working at the same job? And they are happy to hear that I am. It is something I discovered by working. People are happy that I work. And I am happy that I work. It helps mentally. I have to think about what I am doing and it forces me to shut out the angry unhappy thoughts that used to fill my mind. I find I like thinking these thoughts more so I do more of it. My life then gets better. Employment does help us to heal mental illness. Thinking angry thoughts and feeling sorry for yourself is part of mental illness. Because I work I don’t do that
too much anymore. The more I work the less of it I do. The less of it I do, the happier I become. The more my life goes well. The causes and reasons for my mental illness slowly disappear.

I know there are some folks who feel like because they have a mental illness, the world owes them something. I don’t like having a mental illness anymore than anyone else does and I fought and denied it for a long time. However, I think I have the right attitude in thinking it is me who owes the world a living, not the way other around. I have something to offer and now I feel alive again.

The Hurricane's that blow in our lives are hard to deal with. They come and wreak havoc. They leave you feeling like Humpty Dumpty, like an egg all shattered to pieces, with your insides splattered on the ground. You feel like you'll never be whole again. But you can't give up. You have to start over to build again. The same way Kauai rebuilt itself after every Hurricane.

We're no different than anyone else. We just sometimes shatter more and have more Hurricanes! If we just build our lives anew, the hurricanes in our lives will lose their punch. Well, Hurricane Laura has come and blown. And she's all blown out. Now that it's over you're probably wondering, "What's that Laura got to blow her horn about?"

Everything I've done is easy to do. Jack doesn’t think it is all that easy but really, I do. All we have to do is set and reach one goal after another. Take advantage of the abundance of rich opportunities that the Clubhouses have to offer. By doing so, all of us can reach an even higher quality of life than any hurricane can destroy.

Well if you can believe that, then Hurricane Laura has not blown in vain. And all that we can say is "ALOHA!!!!"
Who Do You Know and How Can You Help?

Activity #4

As you may know, developing Employment opportunities for members of the Clubhouse can be a difficult process. Use this time to brainstorm people you know who may be an asset to the Clubhouse because of their business contacts. Are there things that you could be doing as a board member to spread the work about TE/SE or IE? Begin to think about the 6 degrees of separation between people. Is there someone you know who may know someone else that would be willing to take a chance on the Clubhouse Employment program?

What are the companies that you want to be affiliated with in your community? Think about top-tier employers – law firms, newspapers, Mayor’s office. What are the most attractive employers in your community?

1. Develop a top ten list of employers that you’d like to approach for potential employment opportunities in your community for Clubhouse members.

2. Do you know anybody in these organizations that may be interested in serving as possible Board members for the Clubhouse as well as assisting in developing employment opportunities for Clubhouse members? List all possibilities here.
Section 6

Connecting the Board with the Community

Standard #32

The Clubhouse has an independent Board of Directors, or if it is affiliated with a sponsoring agency, has a separate Advisory Board comprised of individuals uniquely positioned to provide financial, legal, legislative, employment development, consumer and community support and advocacy for the Clubhouse.

Questions to Ask Yourself

How can I help the Clubhouse improve public relations?

What is the board’s role in advocating for the Clubhouse?

Do I have any alliances in the community or how can I help create them?

How can the board do a better job of gathering community support?

What are some ideal collaborations for our Clubhouse (for-profit or nonprofit)?
Connecting the Board with the Community

Whether it's called public relations, advocacy, alliances, marketing, collaboration or gathering consumer and community support, the board of directors should continue to make connections with the external environment to help the Clubhouse with its mission, vision and purpose. The Clubhouse has numerous ways of making this possible. A few of the organizations the Clubhouse community has connected with are:

- NAMI – National Alliance on Mental Illness
- The Rotary
- The Speakers Bureau
- Office for Sponsored Projects and Research Activity (OSPRA)
- SAMHSA
- Mental Health America

Although these are some well-known National and International organizations it is also important to make connections with local organizations including:

- Churches
- Community Centers
- Foundations
- Hospitals
- The Housing Authority
- Colleges and Universities

How would the board go about creating an Alliance with these organizations?

- You may already know someone with a connection that may be of assistance
- Do your research on the organization
- Find a local chapter
- Provide the Clubhouse with potential leads
- Talk about the Clubhouse when attending big events in the community
- Get involved in presenting at or attending Resource Fairs
- Educate the community about Clubhouse every chance you can
- Get to know the major players in your community
- Make a call to schedule a presentation

Not all of the organizations you come in contact with will be a great asset to your Clubhouse but it is important that Board Members make as many attempts to be an ambassador for the Clubhouse as they can. With more exposure to the external environment, the Clubhouse will begin to add more and more contacts that will help spread the word on what a positive impact Clubhouses have in the community.

**Resource:**

There is a great workbook on collaboration by the Drucker Foundation called:

*Meeting the Collaboration Challenge: Developing Strategic Alliances between Nonprofits and Business*
Collaborations

Activity #7

Creating opportunities for collaborations is such a huge component of the board’s responsibilities to the Clubhouse. What is your Clubhouse currently doing to connect with the external environment? What organizations, for-profit or nonprofit, would your Clubhouse like to collaborate with? Think Big! How would these organizations help the mission, vision and purpose of the Clubhouse? Begin to brainstorm ways that the Board can facilitate making these connections.
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Rotary Club + Clubhouse = A Fine Combination

An in-depth paper from the International Center for Clubhouse Development

Context and the Importance of Rotary Clubs to Clubhouses

The Rotary’s motto is Service above Self, and the missions of Rotary International and the International Center for Clubhouse Development are very similar—to make the world a better place. Rotary Clubs and Clubhouses both strengthen their communities, and, in partnership, they assist in fulfilling each other’s missions. Rotarians provide humanitarian service, encourage high ethical standards in all vocations, and help build goodwill and peace in the world.

Clubhouses exist to promote their members’ recovery from mental illness. Because of the nature of mental illness, people with mental illness are one of the most vulnerable populations in societies around the world. During symptomatic periods with loss of mental function, mentally ill persons are subject to severe trauma, hospitalizations, confinement, loss of abilities, loss of employment, loss of family, poverty and homelessness. Clubhouses support members to restore what has been lost due to illness.

Because communities generally value employment, the Clubhouse model is viewed as an asset to communities and local economies. Clubhouses exist to reintegrate members into their communities in meaningful ways, including volunteering, educational pursuits and employment. To fulfill their missions in their communities, Clubhouses must be rooted and well connected with local businesses and business leaders. Employment opportunities for Clubhouse members are contingent upon Clubhouses being connected with local businesses. Financial opportunities depend upon prominence and acceptance of Clubhouses in their communities and by their governments. Rotary Clubs offer a means for Clubhouses to become connected, rooted and prominent in their communities.

This paper serves to illuminate existing Clubhouse and Rotary Club connections and to provide a how-to guide on making beneficial and lasting Rotary relationships.

What Is Rotary?

Rotary International is a worldwide organization of business and professional men and women who provide humanitarian service. Rotary encourages high ethical standards in all vocations, and helps build goodwill and peace in the world. There are approximately 1.2 million Rotarians worldwide, in more than 33,000 Rotary Clubs in 531 Districts around the globe. Each Rotary Club has a president, each District has a Rotary Governor, and the head of the Rotary Organization is the International President who runs Rotary out of the International headquarters located in Evanston, Illinois, US.
The mission of Rotary International, a worldwide association of Rotary Clubs, is to provide service to others, to promote high ethical standards, and to advance world understanding, goodwill, and peace through its fellowship of business, professional, and community leaders. Each Rotarian makes a personal and professional commitment to better their own communities through their volunteerism. Every year Rotarians commit their financial support, professional resources, and humanitarian support to the mission of Rotary.

Rotary International has partnered with many national and International Organizations in making the lives of those less fortunate better. Rotary’s signature project since 1986 has been and is its PolioPlus initiative to eradicate the dreadful disease from the world. Since 1985 when Rotarians made a promise to the Children of the world to eradicate polio, the number of cases worldwide has declined by 99% thanks to the efforts of Rotarians around the world. Rotarians have committed over US $650 Million toward global polio eradication efforts. Already over five million children are walking who would have been paralyzed, and more than 1.5 million lives have been saved. Rotary has partnered with The World Health Organization, Center for Disease Control and Prevention and UNICEF to make this dream real.

One of Rotary’s guiding principles is in its 4-Way Test. “Of the things we think, say and, do” is the heart of Rotary’s commitment:

1. Is it the truth?
2. Is it fair to all concerned?
3. Will it build goodwill and better friendships?
4. Will it be beneficial to all concerned?

A Few Clubhouses Say They Have Connections to Rotary

According to a 2009 ICCD survey, 30% of the 90 Clubhouses which responded to the survey reported a connection with their local Rotary Club. These are as follows:

Clubhouse: Adventure House (North Carolina, USA)  Rotary: Rotary Club of Shelby
Clubhouse: Alliance House (Utah, USA)  Rotary: Rotary Club of Salt Lake City
Clubhouse: Beacon (Republic of Korea)  Rotary: Daegu of Korea
Clubhouse: Billabong (Australia)  Rotary: Rotary Club of Tamworth City
Clubhouse: Breakthrough Club (Kansas, USA)  Rotary: Downtown Rotary Wichita
Clubhouse: Bryggen (Sweden)  Rotary: Specific Club not reported
Clubhouse: Capital Clubhouse (Washington, USA)  Rotary: Rotary Club of Thurston County
Clubhouse: Carriage House (Indiana, USA)  Rotary: Specific Club not reported
Clubhouse: Clubhouse of Lehigh County (Pennsylvania, USA)  Rotary: Specific Club not reported
Clubhouse: Falkenberg Fontanhus (Sweden)  Rotary: Specific Club not reported
Clubhouse: Fontänhuset Båstad (Sweden)  Rotary: Rotary Club of Båstad
Clubhouse: Fontänhuset Orebro (Sweden)  Rotary: Orebro Sodra Rotary
Clubhouse: Friendship House (Hawaii, USA)  Rotary: Rotary Club of Kapaa
How Rotary Clubs Can Aid Clubhouses

At the 15th International Seminar in St Pete Beach Florida in October 2009, Rosalynn Cooper (Past Rotary Governor for Rotary District 5000) said: “We Rotarians make dreams come true...we make them real. We’re here for you. Use us.” Rotary Clubs can offer Clubhouses opportunities in five key areas that are critical to the success and mission of the Clubhouse programs:

• Employment resource development
• Advocacy
• Community service project partnership
• Clubhouse Development
• Advisory Board and Board of Director representation

Employment Resource Development

Once a Rotary club builds a relationship with an ICCD Clubhouse, it is natural to understand the benefits of the transitional employment program. The famous Wall Street article “When a Good Deed Becomes a Good Deal” will ring true for many Rotarians. Explaining the Clubhouse program can be incorporated into a Rotary club presentation when the Clubhouse is invited to speak. Employment development presentations will need to be made with individual Rotarians that have businesses so they really understand how much of a positive impact they will be making on the lives of people with mental illness. Rotarians are usually the owner or upper management within the companies that Clubhouses are seeking job placements. The ideal situation is when a staff worker or a Clubhouse Board Member is a member of a Rotary club. This provides continuity and an ongoing weekly forum to communicate with the employer. In Hawaii, the Clubhouse Statewide Clubhouse Coordinator joined the Rotary Club of Metropolitan Honolulu and developed five transitional employment placements for two
Clubhouses within one year. The challenge as in all transitional employment placements is the placement management practices.

**Advocacy**

Rotarians are professional leaders and organizers. They tend to have influence within the government, whether it’s local, state, or national. Rotary is not a political organization. Advocating for human rights and humanitarian projects matches the advocacy work of many Clubhouses. Often when a Rotarian feels connected to an ICCD Clubhouse or is trying to develop or sustain a Clubhouse community, the individual will advocate for better services, more funding, and equity with the health system.

**Community Service Project Partnership**

Rotary’s philosophical cornerstone and the foundation on which club activity is based are its four Avenues of Service:

- Community Service
- Club Service
- Vocational Service
- International Service

An individual ICCD Clubhouse may easily benefit from a Rotary Club’s community service project which could encompass financial support, human resources, and a variety of expertise options provided by the Rotary club. Rotary clubs have access to Rotary Foundation grants as well as District grants. These often are matching grants that an individual club applies for based on a proposal that will benefit the community. An ICCD Clubhouse’s needs for building improvement, grounds enhancement, special events that benefit the Clubhouse membership are just a few examples.

**Clubhouse Development**

Rotary Clubs can be very useful when opening, forming, or relocating a Clubhouse. Rotary Clubs are often representative of the opinions and values of the community and will assist with a Clubhouse being integrated into a neighborhood. There are start up issues related to contracts, permitting, zoning, neighborhood relations that can be negotiated more effectively when partnered with a local Rotary Club.

**Advisory Board and Board of Director Representation**

Clubhouse International Standard #32 reads: “The Clubhouse has an independent board of directors, or, if it is affiliated with a sponsoring agency, has a separate advisory board comprised of individuals uniquely qualified to provide financial, legal, legislative, consumer and community support and advocacy for the Clubhouse.” The local Rotary
Club is an ideal pool of individuals that are ready, willing, and able to serve. Once a relationship is formed with the Clubhouse, it will be clear which Rotarians the Clubhouse will want to recruit. A natural fit or match will emerge based on interests, relationships, and needs of the Clubhouse and its members.

Success Stories

Ambassadors of Fontänhuset Båstad (Sweden)

Every year Fontänhuset Båstad invites their Rotary Club of Båstad to a dinner, where approximately 60 Rotarians are in attendance. At the yearly dinner, the Clubhouse receives direct financial support in the amount of SEK 10,000 (about USD 1,300). In addition, Rotary Club of Båstad advocates for the Clubhouse on local and national levels; when national politicians and international dignitaries visit the Rotary Club, the Clubhouse is always invited to attend the meetings. According to Fontänhuset Båstad, Rotarians are the ambassadors of the Clubhouse.

Molokai Extreme Makeover (Hawaii)

Two houses, 720 square feet each were totally renovated by the Rotary Club of Metropolitan Club. The property the houses were on was also cleared out for farming with a fence placed around the new site to designate the new Clubhouse area. In order to accomplish this, Rotary Club chartered a plane for 30 Rotarians and organized lodging and food in coordination with the “Hana Kalima Clubhouse” members and staff. Pre-project site visits provided an opportunity for members and staff to design and plan the project. The project included building a certified kitchen, building a ramp for wheelchair use, repairing of all stairs, and installing a clerical area. The Rotary club donated $5,000 in funds, and over $120,000 in-kind architectural, building and landscaping services. A smaller team of Rotarians returned months later to provide further follow up and repair to the two houses. The Rotary Club continues to keep in touch with the Clubhouse. Recently there was a threat of staff terminations due to the worst economic crises that Hawaii has ever experienced. Rotarians wrote the Governor along with other mental health advocates and the staff position has been reinstated. At the Rotary District 5000 conference this community service project received recognition from Rotary International.

The Adoption of Hale O Honolulu (Hawaii)

The Clubhouse in downtown Honolulu moved to a building on a main street that members and staff were overall pleased with, and it was on a bus line. One of the negative aspects of this site was the backyard area; it was virtually a dump site. The Rotary identified Clubhouse as a deserving recipient of a community service project. The project came to be known as the “Lush Lanai” Hale O Honolulu Clubhouse project.
Members and staff worked with Rotarians to design outdoor garden space that would include demolition and removal of the old debris, an herb garden, outdoor lawn furniture and plants. Nearly $18,000 was awarded to complete the project that included eight working weekends at the Clubhouse. This project was the first project that began the relationship with the Clubhouse. Since Rotary wants to support sustainable projects, the relationship still remains and the following activities are examples of how the Clubhouse has virtually been “adopted” by the Rotary club:

- The Rotary Club hosted an open house that included the Governor
- Hale O Honolulu received assistance with the design and building of a full Snack Bar
- The country club (Plaza Club) that hosts the Rotary club meetings donates Thanksgiving (An American Holiday) dinner. This is due to the relationship with the Metro Honolulu Rotary Club.
- Rotarians are on the Clubhouse Advisory Board
- Rotarians provide transitional and supported employment
- The Clubhouse invites Rotarians to all fundraisers and special events
- Rotarians assist the Director with difficult community relations issues

**Practical Guide to Making Connections**

**Find and Use Existing Connections (Ask Around!)**

Join Rotary and learn more about Rotary from a Rotarian perspective.

By striking up a conversation with people that you know about the importance of Rotary to Clubhouses, it is possible to make connections. Ask your family, friends, the staff and members as well as any acquaintances if they are familiar with the work of Rotary. They may know a Rotarian who can be of assistance.

At the time of this writing, the author is attempting to make a connection with the Rotary Club of Littleton (Colorado, USA) on behalf of STAR Reach Clubhouse. A connection may be more easily made because the author’s mother works with a pediatrician who is a member of the Rotary Club of Littleton. Further, the author already has a relationship with the doctor’s office—he has made sushi for them on many occasions! Simply by asking around about Rotary, it is possible to make a connection.

Further, the author runs a nonprofit charity. One of the nonprofit’s board chairs has a connection with the Rotary Club of Highlands Ranch (Colorado, USA). This connection led to the author presenting to the Rotary club on topics of homelessness, mental illness, his charity and clubhouse. At times, making connections is a matter of asking.

**Have the Clubhouse Speak and Present at a Rotary Club Meeting**
The format of a Rotary meeting is that every meeting has a speaker. Generally a speaker has approximately twenty minutes and some time for questions and comments. There is a standard format for Rotary meetings although every meeting certainly has its own personality. This is very similar to differences between Clubhouses; the Clubhouse and Rotary Club represents the styles and culture of the community. A Clubhouse presentation is a perfect speaking engagement for a Rotary meeting. For example, a member and staff team with a very organized outline would be preferred. Each Rotary Club has a programs chair in charge of the weekly programs. However, any Rotary Club member can suggest a speaker. It is important to coordinate with this person and find out all the relevant details. Be sure to get to the meeting early to see the set up of the room and to meet people ahead of time. When a Clubhouse has been invited to speak to the Rotary Club it is important to not ask for donations or help at this time. Let the relationship evolve and let the Rotarians ask you for what kinds of help you need. Invite them to come on a tour of the Clubhouse. Make this easy for them to do by providing brochures and business cards. Be sure to follow up with a thank you card. Perhaps you want to invite them to an open house so they can visit the Clubhouse.

**Joining A Rotary Club**

Membership into Rotary is by invitation, and membership dues vary from club to club. It is a good investment for the Clubhouse Director and/or a member of the Board of Directors to join their local Rotary Club.

**Acknowledgements**

The origins of this paper go back to a discussion between Jason Kioko (a very active Rotarian) of Pioneer Clubhouse, Balgowlah, New South Wales, Australia and Martin Dives, Board member of the ICCD during a Training Base meeting in Cleveland, Ohio in 2008. Andy Wilson of Carriage House, Indiana shared with the ICCD Clubhouse Advisory Council at a meeting in New York in April 2009 his experiences with Rotary. Jack Yatsko did the Clubhouse survey later and the workshop with this paper’s title was given the green light for 15 IS in St Pete’s Beach, Florida in October 2009.

Jack Yatsko found the stellar members of that workshop panel- Roz Cooper of Rotary International, Hawaii, Paul Ziegler, Board member of Vincent House, Pinellas Park, Florida, Kathleen Rhoades Merriam, Hawaii Statewide Clubhouse Co-ordinator, and Jason Kioko, all leading Rotarians, with Martin Dives as chair. Roz challenged every ICCD Clubhouse to build a relationship with its local Rotary Club by 16 IS and we have taken up that challenge!

Chris Orloski, Member of STAR Reach Clubhouse Littleton Colorado, attended the workshop and volunteered to join the committee for this paper. He did a great job in bringing the various presentations and information together, with edits from Kathleen,
Roz, Paul and Martin. In January 2010 as a result of his newfound knowledge, Chris presented to his local Rotary, Highlands Ranch, Colorado his very moving personal story and that of Time for Recovery, the nonprofit he founded to provide watches to homeless people who need them.

The Alliances Committee of the Board of the ICCD, chaired by Mark Glickman has chosen Rotary as one of three key organizations to develop closer ties at the local level and at the international level. Our goal is for every ICCD Clubhouse to enjoy a very close relationship with its local Rotary Club(s).

Rotary + Clubhouse is indeed a fine international combination!

Thanks to all of you!


Contact Information for Further Assistance
For Clubhouses that need more information and advice on getting started, the following contacts are provided:

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Hawaii Statewide Clubhouse Coordinator  
808-721-0748

**Rotary International**  
www.rotary.org  

Rotary Club Locator  
Steps for Considering and Making an Alliance
From Becky Andrews, Marketing Manager, Fieldstone Alliance

Steps in Forming an Alliance
  Step 1: Clarify the purpose
  Step 2: Identify and recruit partners
  Step 3: Frame the alliance
  Step 4: Formalize the structure and plan
  Step 5: Implement and manage the alliance

IN THE PAST FEW WEEKS we've repeatedly heard the phrase "the world as we've known it has ended." Of course that can refer to many things but one thing we do know for sure is that for the next couple of years, many, if not most, nonprofits are going to have more difficulty than ever raising or earning revenue to support their operations. Finding ways to increase impact, extend reach, do more with less, and reduce overhead leads many nonprofits and grant makers to collaboration as a possible solution.

The term collaboration refers to many different kinds of relationships, from low intensity cooperative or coordinating relationships, to formal collaboratives or joint ventures, to administrative consolidations and even mergers. The chosen structural option has to align with what you are trying to achieve. And all of these options require visionary thinking, careful planning, and cautious decision making. We often advise nonprofits to get some experience through a lower intensity form of collaboration before attempting a complex joint venture or merger.

Is an alliance right for your organization? Who should you recruit and how? This issue of Tools gives you an overview of the steps for considering and creating an alliance at the lower intensity end of the partnership continuum—coordination and collaboration. The information is abbreviated from Chapter 2 of our book, Forming Alliances: Working Together to Achieve Mutual Goals by Linda Hoskins and Emil Angelica.

Steps in Forming an Alliance
The following process involves five steps. Steps 1 and 2 happen without partners, as your organization identifies gaps and considers potential allies. Steps 3 through 5 happen in cooperation with potential or chosen allies. Here's an overview of the process:

<table>
<thead>
<tr>
<th>Purpose of step</th>
<th>Who's responsible</th>
<th>Time frame</th>
<th>Outcome</th>
<th>Products</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>Initiating</td>
<td>One or two</td>
<td>You decide that an alliance with others will help further your mission</td>
<td>Concept paper</td>
</tr>
</tbody>
</table>
<pre><code>                      | organization      | brainstorming       |                                              |                  |
                      |                   | sessions            |                                              |                  |
</code></pre>
Step 1: Clarify the purpose

_Determine the needs of your organization and your community. This work often results in a brief concept paper that is used in discussion with potential partners._

In her article, “Understanding Successful Partnerships and Collaborations,”¹ Katherine James suggests that, as you begin to think about forming alliances, you consider these two questions:

1. If we only had __________, we could __________.
2. What do we have to offer a partner?

Answers could be “If we only had Spanish-speaking staff, we could offer our clinic’s services in the local Hispanic community.” or “If we only had another basketball court, we could set up a basketball league for the youth in our community.”

For Step 1, gather a group of people who have a good understanding of your organization’s strengths and weaknesses—usually your leadership team—to begin the conversation on the first question. Use the following questions to jumpstart ideas in the conversation

- Are there some desired outcomes that we have been unable to achieve on our own?

<table>
<thead>
<tr>
<th>Step 2</th>
<th>Identify and recruit partners</th>
<th>Initiating organization</th>
<th>One brainstorming session</th>
<th>Time needed to recruit partners</th>
<th>The initial idea attracts additional partners and is reframed through discussion</th>
<th>List of possible partners</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Step 3</th>
<th>Frame the alliance</th>
<th>Potential and committed partners</th>
<th>One or two meetings of the partners</th>
<th>Writing time</th>
<th>Potential and current partners develop a commitment to an alliance with specific goals</th>
<th>Revised concept paper—with kind of alliance</th>
<th>List of additional potential partners</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Step 4</th>
<th>Formalize the structure and plan</th>
<th>Committed partners</th>
<th>One to three meetings</th>
<th>Writing time</th>
<th>Partner agreements are formalized in a written form</th>
<th>Memo of understanding</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Step 5</th>
<th>Implement and manage the alliance</th>
<th>Committed partners</th>
<th>Regular, ongoing meetings</th>
<th>Partners develop a work plan and begin to implement the alliance project</th>
<th>Work plan</th>
</tr>
</thead>
</table>

• Are there strategies that we would like to implement but need more resources?
• Is system-wide advocacy important for accomplishing our mission?
• Do we want to change the way the system operates? If so, how?
• What are the key values in our organization?
• How much of our resources can we devote to the alliance without jeopardizing other areas of our programming?
• Are there some administrative services that we need but cannot afford?

After holding the conversations with your leadership team, solidify your ideas in a brief, written concept paper. The initial concept paper should include

• A brief discussion of the history that led to this strategy or alliance idea.
• The purpose of the proposed alliance: What good is to be accomplished, and for whom?
• Two or three key outcomes: What do you hope will be different in the future because of the alliance?
• A brief outline of the first steps to get the alliance started, including how the outcomes will be achieved, the scale or scope of the effort (described in terms of time frame, numbers of clients affected, number of partners desired, or other parameters).

Step 2: Identify and recruit partners

*Using the concept paper, identify and meet individually with potential partners to determine who shares your interest in the project outcomes.*

Partners will not remain in alliances where their self-interest is not being met, or they feel they are providing an unfair share of the resources or work. Understanding what you have to offer that would interest another organization (and what you are willing to contribute to the alliance) is the foundation for identifying and attracting potential partners.

Consider the following questions to start brainstorming

• Do we have unique services or programs?
• Do we have a solid reputation in the community and with funders?
• Do we have special access to different sectors of our community—perhaps because of a special skill such as a bilingual staff or a refugee-run organization?
• Do we have an exceptional infrastructure, such as an accurate record-keeping and reporting system or an extraordinary marketing department?
• Do we have other resources we can share with others (for example, an excellent mailing list or a host of volunteers)?
• Do we have experience working in alliances with others?

Another way to identify potential partners is to brainstorm a list of organizations using the following questions:

• Who are leaders in our field of work?
• With whom have we worked before?
• Who are our competitors?
• With whom should we work for informational reasons or political reasons or both?
• Who has the skills, technical capabilities, or assets that we need and don’t have?
Step 3: Frame the alliance

*Partners commit to the project and begin to plan the project.*

In this step, potential partners meet to decide whether to proceed with some form of alliance. You personally contacted each potential partner and now extend an invitation to attend a meeting with all the potential partners to discuss the concept.

At this meeting, you and your partners need to share self-interests, modify the ideas in the concept paper to craft a unified vision for the alliance, and generally determine how many resources will be necessary to proceed. Do this deliberately since, before this meeting, the initiator of the process is the only one who “owns” the vision in the concept paper. By the end of the meeting, all partners should have broad ownership in the alliance and the project.

Make certain you identify all the necessary partners at this time. Here’s why: After this step the group is starting to form. Establishing a core of partners at the start quickly brings stability to the alliance.

In summary, the outcomes for these meetings should include

- A written agreement on the goals and outcomes of the alliance and the difference the alliance will make in the community
- A list of partners who are committed to the alliance and their possible roles and responsibilities
- A list of other people who have an interest in what the alliance will do, including other potential partners
- A general idea of the resources the alliance will need, including those that committed partners can bring
- A decision about the type of alliance (cooperation, coordination, or collaboration), and its structure
- A draft work plan that outlines next steps
- A revised and expanded concept paper to share with additional potential partners

Step 4: Formalize the structure and plan

*Partners jointly develop a detailed plan, budget, and structure for the alliance and formalize it in a written agreement.*

In this step, you and your partners formalize a written agreement for the alliance. Hammering out the details may take several meetings. There are really two parts to this step.

**4A: Revise the concept paper**

The concept paper will become the basis for negotiating agreement among the partners. The best way to get that agreement is to systematically revisit and revise each part of the concept paper so that all partners are in agreement. Answer the following questions.

- *The mission or purpose:* What good will the alliance accomplish, and who will benefit?
- *Two to three key outcomes:* What do you hope will be different in the future as a result of the alliance?
4B: Draft a memo of understanding

Agreements that partners make as they complete the concept paper are typically detailed in a written form, usually called a memo of understanding, a letter of agreement, or a charter. This step is crucial for the success of the alliance. The more intense the partnership and the more resources that are put at risk, the more detail is needed in the agreement.

The figure below shows the items typically included in a memo of understanding for three types of alliances. For cooperation, since typically no funds are involved, a brief memo stating mutual expectations may be all that is necessary. In a coordination, since there is a shared vision, work plan, and budget for a one-time event or a time-limited project, a more detailed agreement is needed. Collaboration will require even more specificity on each item, particularly spelling out the length of commitment, accountability, and the amount of shared resources.

<table>
<thead>
<tr>
<th>Item for memo of understanding</th>
<th>Cooperation</th>
<th>Coordination</th>
<th>Collaboration</th>
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<tr>
<td>Mission/purpose</td>
<td>X</td>
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<td>Outcomes</td>
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<td>Strategies</td>
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<td>Resources</td>
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<td>Partners</td>
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<td>Stakeholders</td>
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<td>Time frame</td>
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<td>Decision making</td>
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<td>Communication</td>
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<td>Competition</td>
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<td>Conflict of interest</td>
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<td>X</td>
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<tr>
<td>Detailed work plan</td>
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<td>X</td>
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</table>
Step 5: Implement and manage the alliance

**Partners implement the alliance and share leadership and ownership.**

Once the agreement is signed, you will need to pay attention to two facets of the alliance. First, you need to implement the project or steps to accomplish the alliance’s goals. Use your work plan and begin to take action. Until this point, alliance discussions typically involved the top leadership of the partnering organizations (or their designees). Now line staff from all the partners will be called on to implement the project and will need to develop relationships of trust and respect. The more complex the alliance, the more important it becomes to tend to these facets. In the case of a coordination or collaboration, a detailed work plan is needed. This work plan specifies who will do what in the next year—in other words, who is accountable for what outcomes of the project. In the situation of shared funds, a budget will also be needed.

Second, you need to manage the alliance—facilitate the meetings of partners and make joint decisions for the alliance. During the first few months of an alliance, all partners must build ownership in the alliance. Good facilitation of meetings and decision-making processes, accurate and complete communication with internal and external stakeholders, and leadership buy-in are critical. In the first meeting, partners must

- Agree on meeting facilitators
- Agree on a decision-making process
- Identify how communication will occur
- Keep an up-to-date work plan

**Summary**

Alliances often lead to solving the organization’s needs and to addressing the needs of the community in ways that bring forth more resources and creative options than could be imagined.

In considering an alliance, you will find that you begin to look broadly at your own role in the community, your networks, and your ability to leverage resources. You will ensure that the vision of your organization remains in tune with the needs of the community or the individuals you serve, because the more partnerships you form, the more you are interconnected with the community.

**Resource:**

*Forming Alliances: Working Together to Achieve Mutual Goals*

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**When Marketing Makes a Difference**

*Overcoming Common Marketing Pitfalls for True Results*

To many organizations, marketing is a luxury. It is dispensable, the first to go when times get tough. After all, what does marketing really do? Allow me to answer this question once and for all.

*Marketing inspires people to act on behalf of your organization.*

Marketing is about more than writing nice things about your nonprofit. It’s about more than telling them what you need. In the end, marketing is about inspiring people to help you instead of helping the other guy.

We must face facts. There are lots of great causes out there. There are also limited resources. People have to make choices. And in the end, nobody owes you anything.

It’s a harsh reality for those in the nonprofit business, who love their organizations, and who feel like people need to give to it because it does such important work. And it does. But you need to convince others, to strategically explain why they need to care about you. You must inspire them to act, not just on behalf of your organization, but instead of another organization that is also reaching out to them. You must show that you are not just worthy, but the most worthy of their time, their attention and their dollars. Easy, right? No. If it were easy, nonprofit marketers wouldn’t be out of work all over town and people would have a better sense of what you do and why they should give to you. So what’s the problem? I’ve seen four major marketing pitfalls befall nonprofit organizations. Let’s take a look at them, and how to make them right.

**Pitfall #1 – This is Fun!…What’s the Point Again?**

Too often, marketing happens in an arbitrary vacuum off to the side…a press release here, a fun little brochure there, perhaps a blog. When that happens, then marketing does indeed feel dispensable…and probably is. But there’s another way, and it’s an effective way.

Marketing must play a strategic, intentional part in reaching your overall organizational goals. You must consistently ensure that every single thing that happens on the marketing front is done with the purpose of achieving a strategy…that it drives your mission forward.

Begin with the strategic plan. Make sure you review every goal or objective and consider whether or not it needs a marketing component. Then make that the focus of your marketing efforts. All of them. And don’t waiver, no matter how creative you’re feeling or how much fun writing a random op-ed piece might feel. Every single marketing tactic must have a purpose. It might be to get people to attend your events, inspire them to give to you or recruit them for a new program.
Whatever the case, each piece of collateral or electronic real estate should target a specific audience, with a specific purpose, a specific message and a specific ask. In the end, you must tell people what you need, and why they should give it to you. No matter what you believe, chances are they won’t do it otherwise.

Pitfall #2: What Marketing Plan?
Once you know which organizational goals you’re working to achieve through your marketing efforts, create a plan that will hold you to it.

A marketing plan needs to clearly lay out the organizational goal (often programmatic or fundraising related), and the marketing goals that accompany it. It should identify the target audience for each effort. It should include the timelines and point people for each. For example, if one organizational goal is to increase individual giving by 50%, there are most likely a number of marketing pieces that will correlate to this effort. Each one should be spelled out. A direct mail piece needs a target audience (current donors? potential donors?), a timeline (the holidays? the spring?) and the people who will make it happen. Map it out.

A marketing plan will not only make sure your efforts are feeding into the organization’s overall goals, but will also tell you which ones are doing nothing. A blog that doesn’t get people to act on your behalf is just a self-serving way to talk about yourself. A blog that inspires a certain crowd of people to talk about your cause and inspired attendance at your next fundraiser has a purpose.

Pitfall #3: But I Know How to Market…I Work Here!
Here’s the biggest marketing mistake I see – and it happens in everywhere, in every sector. The biggest mistake people make is failing to think like the consumer. You know your organization is important. You believe in it down to the very core of who you are. You just know that if you explain everything, tell a dozen stories, and just give all of the details about why you matter, that people will get it and give to it. This is simply not the case.

I ask you this…how many paragraphs of long text does it take to get your eyes to glaze over in a brochure? On an ad? In a newspaper article? Yes, you are important. But you do not, and should not, explain every single little detail as to why. Who wants to be inundated with that kind of message?

You must think like the consumer. Boil it down into creative, succinct, inspirational language. Talk in quick quips. Give the equivalent of written sound bites. Don’t have a mission paragraph, have a mission statement. Give up the biggest goods first on what you do and why you matter, then boil down to a few, focused comments. Include lots of graphics. And for goodness sake, let there be white space!

Know this. If you write too much, explain too much, talk too much, people will stop reading or listening. They will stop paying attention. More is not better.
Pitfall #4: But I Know Marketing. I Took a Class in College.

Why is this such a challenging field for nonprofit marketers? It’s not just because there’s usually just a few of them at their organization. It’s because everyone else seems to think they understand it, too. I’ve sat through enough board meetings, staff meetings and volunteer committee meetings where the answer to everything seemed to be *let’s put out a press release!* or *let’s create a brochure!* To know the sentiment that more marketing is better marketing, and if you just put it out there the people will come.

Not so.

Marketing is a craft. It takes meaningful strategies created around targeted audiences, a carefully crafted message, an attention to detail and a willingness to be different than others. Putting words on a page and sending it out to the media, or printing out a cool font in bold type, folding it in half and putting it in your lobby does not satisfy your marketing needs. Neither does creating one flyer that both tries to convince your donors to give to you and informs your clients of your new food bank hours.

Trust your marketers to guide the process.

Knowing which ads you like on TV does not make you an expert.

Wrapping it up

Marketing takes strategy, takes planning, and takes skill. Do not throw tons of ideas and tactics against that proverbial wall to see what sticks. Do not waste your organization’s time or money on strategies that won’t work.

If you build it they will come is a fallacy. You must build it, tell them about it, and inspire them to give to it instead of giving to the other guy. It’s a tall order, but it’s a critical one for your organization.

Your mission is important. Your mission matters to you. Your mission is great.

But remember this: the greatest mission in the world doesn’t matter if nobody is paying attention.

*Deirdre Maloney proudly runs Momentum San Diego, which helps organizations meet their missions through better business. Through strategic planning, organizational development and executive coaching, Deirdre works with organizations to figure out and achieve their goals. For more information visit [www.makemomentum.com](http://www.makemomentum.com)*.
Section 7

Evaluations

Questions to Ask Yourself

Why should the board of directors do an evaluation of its effectiveness?

Should each board member do a self-evaluation?

What should each board member be doing to help the Clubhouse?

Why is it important to evaluate the CEO/Executive Director on an annual basis?

Do evaluations contribute to continued learning? Why would this be important?
Evaluations

Evaluations, assessments and/or appraisals are important for the Board of Directors to do on a yearly basis because they:

- Let the board know what they are doing well and where they could improve.
- Will provide the organization with a list of areas for future development as well as immediate concerns.
- Will help identify areas where more training may be needed.
- May give the board a better understanding of what types of people they need to recruit.
- Let you examine the board from a broad perspective to a close up of the small details.
- Are key to the long term growth of the Clubhouse.
- Are used for continued learning and creating better governance.

Self-evaluations, appraisals and assessments:

- Give each member an opportunity to review their past years accomplishments and where they want to see growth.
- Provide a mechanism for self-reflection on their ability to remain committed to serving on the board.
- May help motivate the board member to do more next year.

CEO/Executive Director evaluations, assessments or appraisals:

- Are your responsibility as a board member to ensure that he/she is doing his/her job.
- Can assist the CEO/Executive in better understanding areas for growth and recognizing accomplishments.
- Help set future goals.
- Can assist in providing motivation to improve personal performance.
- Can be used as a tool to adjust his/her job description and/or increase salary.

There are so many reasons why evaluations, assessments and/or appraisals are important for a Clubhouse to participate in and no good reasons why it shouldn’t. Overall, they let us know what we have been doing, where we are currently at and where we would like to be.

There many different sites on the internet that have sample evaluation tools for the board or individual member of the board. It is important that each Clubhouse develop a tool that works for them. If you are working on a board evaluation make sure that each of the members are in agreement. They may decide that they want to add or take off a certain item. This is the same when designing a self-evaluation tool for each individual board member and when designing an evaluation tool for the CEO/Executive Director he/she needs to be involved in its creation.

Resource:

A good organizational tool for evaluating the Board of Directors is the Standards for Excellence. This tool is used to describe how nonprofits should act to be ethical and accountable in their operations, governance, management, and fundraising. This tool can be found at the website: http://www.standardsforexcellenceinstitute.org/
Effective Evaluation Strategies and Board Assessment
By Liz Shear

What are effective evaluation strategies for the board, our programs and our staff?

- Evaluation is checking on what is actually happening within the organization, learning what works and what needs to change. It is your major opportunity to open the organization window and take an accurate picture of the inside.

- There are many kinds of evaluation. Some are very formal studies of particular program approaches. Some are reviews of organizational functioning. Some involve a review of an organization’s strategic plan.

There are 5 ways the board needs to be involved in evaluation:

- Support and value evaluation as a way of learning and demonstrating your worth. Evaluation is the foundation of continuous learning for your organization.

- Engage in regular financial reviews and/or audits to make sure that you are stewarding the public trust responsibly.

  1. Form an audit committee whose job is to hire an independent auditing firm through an open bidding process.
  2. Once an auditor is chosen, work with your staff to complete the audit.
  3. Receive and review the draft audit.
  4. Have the auditor brief the entire board on audit findings.
  5. Make sure the board adopts the audit and ensure that the staff is instructed to follow the audit recommendations.

- Review programs and services at least once every 2 years to ensure that they advance your mission and to strengthen them.

  1. Ask your key staff to facilitate your work.
  2. Ask a committee such as your program development committee to design the process, but ask the full board to participate by doing interviews, reviewing documents and going on site visits.
  3. Make sure that you look at the big picture. Ask questions that show you how the program advances the organizational mission, why it is the best use of resources, what its ‘success’ is for example.
  4. Use the results to strengthen the organization and to orient the board.
• Review your executive’s performance annually to support their development, to hold them accountable and to refresh or redirect your relationship.
  1. Make sure you have good board-approved policies regarding the executive. For example, you need a job description, a good performance review document and a good process.
  2. Include the executive in the design of the document and process.
  3. Have a board committee conduct the evaluation. Include the board President and the full board.
  4. Ask the executive to do a self and board assessment.
  5. Do a “360” performance review. That means interviewing some key staff and other stakeholders.
  7. Remember that performance reviews are sensitive and should be meaningful.

• Assess the board’s performance to see how well you are meeting your collective and individual responsibilities.
Standard #29 states that “the Clubhouse conducts an objective evaluation of its effectiveness on a regular basis.”

Many Clubhouses struggle with finding ways to objectively evaluate their own effectiveness. Often, Clubhouses depend on external agencies, or students, or researchers to assess the effectiveness of the Clubhouse. While these can be helpful, they can also represent lost opportunities for the Clubhouse community – members and staff - to engage in interesting and useful work that can greatly benefit the Clubhouse in many ways.

The following ideas are drawn from Clubhouses around the world that have implemented means of realistically evaluating their own effectiveness:

- Have a suggestion box at reception for members who want to give feedback anonymously. This feedback can be discussed at house/policy meetings.
- Utilize updated technology for databases that will easily track statistics regarding a multitude of Clubhouse services, including employment, education, housing, reach out, etc. Having these numbers readily available will provide important measures, while at the same time adding very meaningful work that will help develop members’ technological skills. Research available software applications to meet the needs of a growing Clubhouse in the 21st century, including a Clubhouse-created database system (Appilistic). Information about this system can be obtained from Genesis Club in Worcester, MA.
- Employment Surveys – have working members complete a survey specifically relating to employment, including their satisfaction with the current Clubhouse employment opportunities; how long they had to wait for jobs; satisfaction with staff and other Clubhouse supports; etc.
- Develop and participate in an annual planning process where members, staff and board members develop measurable goals and objectives for the Clubhouse. Establish a regular Planning Day to develop goals for the Clubhouse. The planning day can use recent action plans from Clubhouse Training. Have an additional Planning Day after receiving the certification report to develop goals to address the recommendations.
- Involve every unit in the development of an annual self-study. The self-study is an excellent way to determine the areas in need of improvement.
- Conduct an annual member satisfaction survey, using Clubhouse members and staff as surveyors. This survey would provide excellent, meaningful, and interesting Clubhouse work for members and staff.
- Survey funders, family members and other mental illness advocacy groups and service providers to gather their opinions about the Clubhouse’s effectiveness.
- Participate in ICCD Certification, preparing a comprehensive self-study in advance of the visit.
Create a Program Report that would summarize the activities of the Clubhouse in a succinct and clear format. This could be reported monthly to the community, and the Board. The report might include information such as:

- Number of active and inactive members
- Number of members interested in participating in TE
- Number of members who are currently participating in TE
- Number of months current members on TE have been working at these jobs
- Number of members interested in SE/IE
- Number of members currently working in SE/IE
- Amounts earned and taxes paid through Clubhouse employment
- Number of members interested in going to school
- Number of members currently enrolled in school
- Applicants and new members in the previous month
- Housing status and needs of the membership

Every Clubhouse will do this in its own unique way. However, the more actively a Clubhouse community pursues means of evaluating its own effectiveness in all aspects of functioning, the stronger the opportunities it will offer its membership.

If your Clubhouse has other ways of effectively evaluating your Clubhouse’s work, please send them to us at the ICCD so we can share them with the larger Clubhouse community!
### Sample Board of Directors Evaluation

Rankings go from 1 = Low/Disagree up to 5 = High/Agree

<table>
<thead>
<tr>
<th>Board Activity</th>
<th>LOW</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
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</thead>
<tbody>
<tr>
<td>1. The board operates under a set of policies, procedures, and guidelines with which all members are familiar.</td>
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<td>2. The Executive Committee reports to the board on all actions taken.</td>
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<td>3. There are standing committees of the board that meet regularly and report to the board.</td>
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<td>4. Board meetings are well attended, with near full turnout at each meeting.</td>
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<td>5. Each board member has at least one committee assignment.</td>
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<td>6. Nomination and appointment of board members follow clearly established procedures using known criteria.</td>
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<td>7. Newly elected board members receive adequate orientation to their role and what is expected of them.</td>
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<td>8. Each board meeting includes an opportunity for learning about the organization’s activities.</td>
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<td>9. The board follows its policy that defines term limits for board members.</td>
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<td>10. The board fully understands and is supportive of the strategic planning process of the ministry.</td>
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<td>11. Board members receive meeting agendas and supporting materials in time for adequate advance review.</td>
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<td>12. The board adequately oversees the financial performance and fiduciary accountability of the organization.</td>
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<td>13. The board receives regular financial updates and takes necessary steps to ensure the operations of the organization are sound.</td>
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<td>14. The board regularly reviews and evaluates the performance of the CEO.</td>
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<td>15. The board actively engages in discussion around significant issues.</td>
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</table>
16. The board chair effectively and appropriately leads and facilitates the board meetings and the policy and governance work of the board.

**Mission and Purpose**

1. Statements of the organization’s mission are well understood and supported by the board.

2. Board meeting presentations and discussions consistently reference the organization’s mission statement.

3. The board reviews the organization’s performance in carrying out the stated mission on a regular basis.

**Governance / Partnership Alignment**

1. The board exercises its governance role:
   1) Ensuring that the organization supports and upholds the mission statement, core values, statement of faith, vision statement, and partnership policies.

2. The board periodically reviews, and is familiar with, the organization’s partnership core documents. (Note: This item applies when a ministry has partnered with other ministries.)

3. The board reviews its own performance and measures its own effectiveness in governance work.

4. The board is actively engaged in the board development processes.

**Board Organization**

1. Information provided by staff is adequate to ensure effective board governance and decision-making.

2. The committee structure logically addresses the organization’s areas of operation.

3. All committees have adequate agendas and minutes for each meeting.

4. All committees address issues of substance.
Board Meetings

1. Board meetings are frequent enough to ensure effective governance.

2. Board meetings are long enough to accomplish the board’s work.

3. Board members fully and positively participate in discussions.

Board Membership

1. The board size is adequate to effectively govern the organization.

2. The board has a range of talents, experience, and knowledge to accomplish its role.

3. The board uses its members’ talents and skills effectively.

4. The board makeup is diverse with experience, skills, ethnicity, gender, denomination, and age group.

5. Fellow board members review each member’s performance at the end of every three-year term.

6. Each board member participates in financially supporting the organization on an annual basis.

7. The board demonstrates a deep spiritual commitment to Jesus Christ, to the Christian mission of our organization, and to obedience to God’s word as revealed in the scriptures.

Administration and Staff Support

1. The committee structure provides adequate contact with administration and staff.

2. Communication is strong and clear between the board and staff.

3. Staff support before, during, and after-board meetings is effective.
Please make any other comments about the work and effectiveness of our boards:
Sample Board of Directors Self Evaluation Form

Board Member: ________________________________________________

1. How do you assess your contribution to this Clubhouse?
   *(You might want to include such things as: attendance at board meetings, participation, promotion and fund-raising, committee work, or any other areas on which you would like to comment)*

2. Do you feel that your financial contributions to the Clubhouse are at a level which is “personally significant” for you? Why or why not?

3. How has the Clubhouse invested in your growth as a board member?

4. What would you like to contribute to or involve yourself in if you were to serve another term?

5. How would you like our Clubhouse to invest in and facilitate your personal development as a board member?

6. What changes would you suggest, as a board member, in the operation and involvement of the board?
Executive Director Evaluation Form
SOURCE: MN COUNCIL OF NON-PROFITS

PERFORMANCE DEFINITIONS

OUTSTANDING - Performance at this level is clearly unique and far in excess of established expectations. The employee consistently exceeds expectations in the outcomes achieved in work quality, quantity and timeliness. The employee exhibits leadership among peers in all dimensions of the field of work performed.

SIGNIFICANTLY EXCEEDS EXPECTATIONS - Performance at this level often exceeds established expectations and standards for work quality, quantity and timeliness. The employee exhibits mastery of most dimensions of the field of work performed.

FULLY CAPABLE - Performance at this level is satisfactory on the established expectations and standards for work quality, quantity and timeliness. The employee competently achieves the requirements of the position.

NEEDS IMPROVEMENT - Performance at this level is minimally capable and below the level expected employee. Improvement is required in significant dimensions of the job in order to meet the expectations and standards for work quality, quantity and timeliness. The employee performing at this level may be denied merit increases until fully capable performance is demonstrated.

UNSATISFACTORY - Performance at this level is unacceptable. The employee often fails to achieve basic requirements of the position and has exhibited little or no improvement in job performance. The employee performing at this level should not be continued in this position; or where extenuating circumstances exist, should be retained only upon significant improvements within a fixed period of time to be defined by the Employer.

PERFORMANCE FACTORS

1. ADMINISTRATION

1a. PLANNING: Develops short and long range plans and goals to meet department objectives consistent with established priorities; sets appropriate priorities of needs and resulting services to be provided; anticipates and prepares for future requirements and devises contingencies; devises realistic plans

1b. BUDGETING AND ECONOMIC MANAGEMENT: Prepares an appropriate budget and subsequently adheres to it; utilizes finances, budgets, facilities, equipment, materials and products to minimize costs; actively practices cost containment.

1c. ORGANIZATION OF WORK: Structures work in order to avoid crisis, promotes productivity, attains cost effectiveness, and delivers work on time. Involved in this process are the tasks of allocating work, delineating responsibilities, scheduling activities, and adequately preparing for meetings and presentations.
1d. COMPLIANCE: Complies with established policies, procedures and directives; conducts department functions in accordance with applicable laws, statutes, and regulations.

1e. PROBLEM SOLVING AND DECISION-MAKING: Identifies problem and acts to rectify them by employing analytical thinking and sound judgment.

1f. EVALUATION AND CONTROL: Practices regular and systematic review of department operations to evaluate progress towards established goals; evaluates strategies employed in seeking those goals; implements remedial measures when necessary.

1g. RISK (LIABILITY) MANAGEMENT: Ensures that liability risk exposures are identified and treated when proposing new programs and services; evaluates and monitors established programs and services to identify areas which need revision due to changes in operation, legislation, policies and procedures; implements changes where needed to facilitate favorable loss experience; manages employee safety program, including appropriate training and corrective action when necessary.

2. INTERPERSONAL

2a. ORAL COMMUNICATION: Effectively communicates orally with individuals and groups, including public presentations; presents ideas in an organized, clear and concise manner, employs tact and discretion; listens well; offers appropriate feedback.

2b. WRITTEN COMMUNICATION: Prepares organized, clear, concise, accurate and informative letters, memos, reports and other documents which effectively fulfill content and timeliness requirements.

2c. COORDINATION/COLLABORATION: Works well with others at various levels; keeps information flowing to the appropriate parties vertically (down as well as up) and horizontally; facilitates communication and problems solving among parties when necessary.

2d. SUPERVISORY CONTROL: Effectively hires, assigns, directs, controls, evaluates performance, counsels and disciplines all other functions necessary or incidental to supervision; practices compliance with employment law guidelines and mandates.

2e. LEADERSHIP: Promotes cooperation and teamwork among employees; establishes high standards of conduct and job performance for subordinates; maintains open communication channels; delegates work; leads by example.

2f. STAFF APPRAISAL AND DEVELOPMENT: Provides good record of subordinate performance; reviews appraisal information with subordinates; aides subordinates in improving performance on current job; helps subordinates in setting up and implementing development plans and objectives; cross-trains employees; encourages subordinates to participate in training.

3. INDIVIDUAL

3a. EFFORT AND INITIATIVE: Requires little work direction; exhibits persistence an initiative; puts forth a consistent, energetic effort; assumes full and complete responsibility for accomplishment of department functions.
3b. PROFESSIONAL/TECHNICAL COMPETENCE: Realistic knowledge and competence of the field and applies up-to-date technical/professional principles, practices, and standards appropriate to the functions of the department; acts as a resource person upon whom others can draw; professional demeanor maintained on a consistent basis.

3c. INNOVATION: Displays original and novel thought in creative efforts to improve on the status quo.

3d. OBJECTIVITY: Assesses issues, problems and decision situations based on the merits of the case presented; personal loyalties, biases, etc., does not influence department decisions; personnel decisions made on the basis of equal opportunity and objective job-related criteria.

3e. CREDIBILITY: Through successful performance, instills the feeling of trust and dependability.

3f. FLEXIBILITY: Adapts well to change, both internally and externally.

4. LEADERSHIP

4a. COACHING: Communicates a positive attitude; serves as a catalyst for action and encourages employees to try new things and to take calculated risks; provides honest feedback; minimizes tension and defensiveness; creates an environment for success; teaches and guides employees rather than controls.

4b. EMPOWERING: Creates an awareness in others of their powers and self worth; involves others and shares powers in planning and decision-making; fosters leadership in others; challenges others to assume leadership roles and provides support by allowing them to risk, fail and learn; creates an environment in which others feel ownership for results and feel comfortable to take action to achieve desired results.

4c. MODELING: Believes in public service; treats all with respect and dignity and creates an atmosphere of mutual respect and trust. Serves as a catalyst for action and is a team player, believes in oneself and looks at problem as opportunities; uses powers in a positive way; keeps one's work: accepts responsibility for mistakes; insists on excellence (not perfection); communicates and reinforces by what they do - not what they say; adapts to changes as conditions and situations warrant.

4d. TEAM BUILDING: Builds group cohesiveness and pride; encourages cooperation; fosters and practices good communication, recognizes and rewards individuals and team accomplishments and contributions; shares success and rewards; manages conflict, which is inevitable.

4e. VISIONING: Establishes and articulates a vision of what could be; looks to and plans for the future; accepts new challenges, keeps an open mind.

4f. SELF-DEVELOPMENT: Is not static; prepares for the future; has the courage to identify and address shortcomings; is committed to self-improvement manages personal stress in positive ways.
Rank the executive director on the performance factors using the performance definitions (5=outstanding, 4=significantly exceeds expectations, 3=fully capable, 2=needs improvement, 1=unsatisfactory)

1. ADMINISTRATION

<table>
<thead>
<tr>
<th>Performance Factor</th>
<th>Performance (From 5 to 1)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning</td>
<td></td>
<td></td>
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<tr>
<td>Budgeting and Economic</td>
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<tr>
<td>Management</td>
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<tr>
<td>Organization of Work</td>
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<tr>
<td>Compliance</td>
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<tr>
<td>Problem Solving and</td>
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<tr>
<td>Decision Making</td>
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<tr>
<td>Evaluation and Control</td>
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<tr>
<td>Risk (Liability) Management</td>
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</tbody>
</table>

2. INTERPERSONAL

<table>
<thead>
<tr>
<th>Performance Factor</th>
<th>Performance (From 5 to 1)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Oral Communication</td>
<td></td>
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<tr>
<td>Written Communication</td>
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<tr>
<td>Coordination/Collaboration</td>
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<tr>
<td>Supervisory Control</td>
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<tr>
<td>Leadership</td>
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<tr>
<td>Staff Appraisal &amp; Development</td>
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</table>

3. INDIVIDUAL

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<thead>
<tr>
<th>Performance Factor</th>
<th>Performance (From 5 to 1)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effort and Initiative</td>
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<tr>
<td>Professional and Technical</td>
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<tr>
<td>Competence</td>
<td></td>
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<tr>
<td>Innovation</td>
<td></td>
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<tr>
<td>Objectivity</td>
<td></td>
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<tr>
<td>Credibility</td>
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<tr>
<td>Flexibility</td>
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</tbody>
</table>

4. LEADERSHIP

<table>
<thead>
<tr>
<th>Performance Factor</th>
<th>Performance (From 5 to 1)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Coaching</td>
<td></td>
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<td>Empowering</td>
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<td>Modeling</td>
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<tr>
<td>Team Building</td>
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<tr>
<td>Visioning</td>
<td></td>
<td></td>
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<tr>
<td>Self-development</td>
<td></td>
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</tr>
</tbody>
</table>
OVERALL EVALUATION (Please check one.)

_____ Outstanding
_____ Significantly exceeds expectations
_____ Fully capable
_____ Needs improvement
_____ Unsatisfactory

What were the executive director's performance highlights in the past year?

____________________________________________________________________________

____________________________________________________________________________

____________________________________________________________________________

What could have been most improved regarding the executive director's performance in the past year?

____________________________________________________________________________

____________________________________________________________________________

____________________________________________________________________________

What should be the executive director's performance goals for the next year?

____________________________________________________________________________

____________________________________________________________________________

____________________________________________________________________________

Evaluator's Signature _____________________________ Date ________________
Section 8

Strategic Planning for the Board of Directors

Questions to Ask Yourself

Is your Clubhouse’s board invested in strategic growth?

Do the board members have the self-commitment that is consistent with strategic growth plans?

Does your board have a succession plan in place to meet the needs of your plans/goals?

How can the Clubhouse do a better job of nominating potential board members?

Is the Clubhouse missing key skills that would help with strategic planning?

What would make a retreat effective for your board?

How should new members be recruited to the board?
Understanding Strategic Planning
From the Free Management Library

Introduction -- What is Strategic Planning?
Simply put, strategic planning determines where an organization is going over the next year or more, how it's going to get there and how it'll know if it got there or not. The focus of a strategic plan is usually on the entire organization, while the focus of a business plan is usually on a particular product, service or program.

There are a variety of perspectives, models and approaches used in strategic planning. The way that a strategic plan is developed depends on the nature of the organization's leadership, culture of the organization, complexity of the organization's environment, size of the organization, expertise of planners, etc. For example, there are a variety of strategic planning models, including goals-based, issues-based, organic, scenario (some would assert that scenario planning is more of a technique than model), etc.

- Goals-based planning is probably the most common and starts with focus on the organization's mission (and vision and/or values), goals to work toward the mission, strategies to achieve the goals, and action planning (who will do what and by when).
- Issues-based strategic planning often starts by examining issues facing the organization, strategies to address those issues and action plans.
- Organic strategic planning might start by articulating the organization's vision and values, and then action plans to achieve the vision while adhering to those values. Some planners prefer a particular approach to planning, eg, appreciative inquiry.

Some plans are scoped to one year, many to three years, and some to five to ten years into the future. Some plans include only top-level information and no action plans. Some plans are five to eight pages long, while others can be considerably longer.

Quite often, an organization's strategic planners already know much of what will go into a strategic plan (this is true for business planning, too). However, development of the strategic plan greatly helps to clarify the organization's plans and ensure that key leaders are all "on the same script". Far more important than the strategic plan document, is the strategic planning process itself.

Also, in addition to the size of the organization, differences in how organizations carry out the planning activities are more of a matter of the nature of the participants in the organization -- than its for-profit/nonprofit status. For example, detail-oriented people may prefer a linear, top-down, general-to-specific approach to planning. On the other hand, rather artistic and highly reflective people may favor of a highly divergent and "organic" approach to planning.

Benefits of Strategic Planning
Strategic planning serves a variety of purposes in organizations, including to:
- Clearly define the purpose of the organization and to establish realistic goals and objectives consistent with that mission in a defined time frame within the organization’s capacity for implementation.
- Communicate those goals and objectives to the organization’s constituents.
• Develop a sense of ownership of the plan.
• Ensure the most effective use is made of the organization’s resources by focusing the resources on the key priorities.
• Provide a base from which progress can be measured and establish a mechanism for informed change when needed.
• Listen to everyone’s opinions in order to build consensus about where the organization is going.

Other reasons include that strategic planning:
• Provides clearer focus for the organization, thereby producing more efficiency and effectiveness.
• Bridges staff/employees and the board of directors (in the case of corporations).
• Builds strong teams in the board and in the staff/employees (in the case of corporations).
• Provides the glue that keeps the board members together (in the case of corporations).
• Produces great satisfaction and meaning among planners, especially around a common vision.
• Increases productivity from increased efficiency and effectiveness.
• Solves major problems in the organization.

When Should Strategic Planning Be Done?
The scheduling for the strategic planning process depends on the nature and needs of the organization and the its immediate external environment. For example, planning should be carried out frequently in an organization whose products and services are in an industry that is changing rapidly. In this situation, planning might be carried out once or even twice a year and done in a very comprehensive and detailed fashion (that is, with attention to mission, vision, values, environmental scan, issues, goals, strategies, objectives, responsibilities, time lines, budgets, etc). On the other hand, if the organization has been around for many years and is in a fairly stable marketplace, then planning might be carried out once a year and only certain parts of the planning process, for example, action planning (objectives, responsibilities, time lines, budgets, etc) are updated each year. Consider the following guidelines:

• Strategic planning should be done when an organization is just getting started. (The strategic plan is usually part of an overall business plan, along with a marketing plan, financial plan and operational/management plan.)

• Strategic planning should also be done in preparation for a new major venture, for example, developing a new department, division, major new product or line of products, etc.

• Strategic planning should also be conducted at least once a year in order to be ready for the coming fiscal year (the financial management of an organization is usually based on a year-to-year, or fiscal year, basis). In this case, strategic planning should be conducted in time to identify the organizational goals to be achieved at least over the coming fiscal year, resources needed to achieve those goals, and funded needed to obtain the resources. These funds are included in budget planning for the coming fiscal year. However, not all phases of strategic planning need be fully completed each year. The full strategic planning process should be conducted at least once every three years. As noted above,
these activities should be conducted every year if the organization is experiencing tremendous change.

- Each year, action plans should be updated.
- Note that, during implementation of the plan, the progress of the implementation should be reviewed at least on a quarterly basis by the board. Again, the frequency of review depends on the extent of the rate of change in and around the organization.

Guidelines to Keep Perspective During Planning

Many managers spend most of their time "fighting fires" in the workplace. -- their time is spent realizing and reacting to problems. For these managers -- and probably for many of us -- it can be very difficult to stand back and take a hard look at what we want to accomplish and how we want to accomplish it. We're too busy doing what we think is making progress. However, one of the major differences between new and experienced managers is the skill to see the broad perspective, to take the long view on what we want to do and how we're going to do it. One of the best ways to develop this skill is through ongoing experience in strategic planning. The following guidelines may help you to get the most out of your strategic planning experience.

- The real benefit of the strategic planning process is the process, not the plan document.
- There is no "perfect" plan. There's doing your best at strategic thinking and implementation, and learning from what you're doing to enhance what you're doing the next time around.
- The strategic planning process is usually not an "aha!" experience. It's like the management process itself -- it's a series of small moves that together keep the organization doing things right as it heads in the right direction.
- In planning, things usually aren't as bad as you fear nor as good as you'd like.
- Start simple, but start!

Need Consultant or Facilitator to Help You With Planning?

You may want to consider using a facilitator from outside of your organization if:

- Your organization has not conducted strategic planning before.
- For a variety of reasons, previous strategic planning was not deemed to be successful.
- There appears to be a wide range of ideas and/or concerns among organization members about strategic planning and current organizational issues to be addressed in the plan.
- There is no one in the organization who members feel has sufficient facilitation skills.
- No one in the organization feels committed to facilitating strategic planning for the organization.
- Leaders believe that an inside facilitator will either inhibit participation from others or will not have the opportunity to fully participate in planning themselves.
- Leaders want an objective voice, i.e., someone who is not likely to have strong predispositions about the organization's strategic issues and ideas.

Resource:
Strategic Plan

July 2008 - June 2013
## Priority: Outstanding Programs

Goal: Provide highest quality programs and excellent customer service.

<table>
<thead>
<tr>
<th>Strategies</th>
<th>Year To Address</th>
<th>Responsible Parties</th>
<th>Define Success</th>
<th>Board Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategy 1:</strong> Improve communication and accessibility to the community.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team</td>
<td>90% Satisfaction from community stakeholders regarding communication and accessibility.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 2:</strong> Promote a unified organizational culture that guides decision making.</td>
<td>Complete in Year 1</td>
<td>Mike Keller, Kate Blair, Jennie Miller</td>
<td>Written Philosophy created and shared.</td>
<td></td>
</tr>
<tr>
<td>- Improve communication within Independence Center.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team</td>
<td>90% Satisfaction on employee and participant surveys regarding communication.</td>
<td></td>
</tr>
<tr>
<td>- Include participants in organizational decision-making.</td>
<td>Begin Year 1 and completed by end of Year 2</td>
<td>Executive Director; Board of Directors President and Committee Chairs</td>
<td>Participant representation on all Board and committee meetings</td>
<td>Board Objective or Strategy Needed</td>
</tr>
<tr>
<td><strong>Strategy 3:</strong> Create a culture where every participant believes employment and education is possible.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Orientation, Employment and Education Teams</td>
<td>Everyone believes that they can work or go to school</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 4:</strong> Offer meaningful activities for participants to achieve goals.</td>
<td>An area of focus all years</td>
<td>Management Team; Program Staff</td>
<td>Participant retention</td>
<td></td>
</tr>
<tr>
<td>- Increase the number and variety of employment opportunities for participants with a focus on career advancement.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Program Staff; Board of Directors Employment Council</td>
<td>A job opportunity exists for everyone expressing a desire to work.</td>
<td>Board Objective or Strategy Needed</td>
</tr>
<tr>
<td>- Expand health and wellness programming for participants and staff.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Program Staff</td>
<td>All programs offer health and wellness opportunities.</td>
<td></td>
</tr>
<tr>
<td>- Offer varied activities to expand the EWH program.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Program Director</td>
<td>Evening attendance reflects daytime attendance.</td>
<td></td>
</tr>
<tr>
<td>- Enhance the Clubhouse Shop so that it is a dynamic and welcoming community store.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Program Director</td>
<td>Increased inventory, donors, sales, visibility and member involvement.</td>
<td></td>
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</tbody>
</table>
## Priority: Growth and Innovation

Goal: Respond to the changing needs of participants by creating innovative programs.

<table>
<thead>
<tr>
<th>Strategies</th>
<th>Year To Address</th>
<th>Responsible Parties</th>
<th>Define Success</th>
<th>Board Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategy 1</strong>: Attract and retain younger adults.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team</td>
<td>25% of Independence Center participants are under 30 years of age.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 2</strong>: Identify and meet the changing needs of older participants.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Older Adult Committee (Chair: Mary Alice Scherrer)</td>
<td>Older adult plan updated and implemented.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 3</strong>: Expand educational services offered to participants.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Education Committee (Chair: Paul Schoenig)</td>
<td>A focus on education is integrated into the daily fabric of Independence Center programs as much as employment.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 4</strong>: Enhance substance abuse programs and services.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Substance Abuse Committee (Chair: Sue Onnen)</td>
<td>Substance Abuse plan updated and implemented.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 5</strong>: Explore opportunities to create a niche in colleague training.</td>
<td>Begin Year 2 and then ongoing.</td>
<td>Management Team; Colleague Training Team</td>
<td>Identified niche’s with clubhouse, wellness, students, and program training.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 6</strong>: Investigate the feasibility of building additional housing facilities for members.</td>
<td>Year 1 through Year 2.</td>
<td>Angie Griffard; Mike Keller; Beth Brown; Mary Alice Scherrer</td>
<td>Feasibility determined by the end of year 2.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 7</strong>: Implement environmentally conscious practices throughout Independence Center's programs.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team</td>
<td>Environmental plan developed and implemented</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 8</strong>: Expand current technology resources to meet the changing needs of staff and participants.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; IT Team; Peter Engel</td>
<td>Technology current with industry standards.</td>
<td></td>
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</table>
## Priority: Exceptional People

**Goal:** Attract and retain the best people.

<table>
<thead>
<tr>
<th>Strategies</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategy 1:</strong> Create career path opportunities for staff.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; HR Specialist</td>
<td>New career paths identified and positions filled.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 2:</strong> Recognize exemplary staff at all levels of the organization.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; HR Specialist</td>
<td>90% employee satisfaction with staff recognition.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 3:</strong> Attract individuals with talent, experience and diverse backgrounds.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; HR Specialist; Board of Directors</td>
<td>Balanced representation meets organization needs.</td>
<td>Board Objective or Strategy Needed</td>
</tr>
<tr>
<td>&lt; Increase staff diversity to reflect the demographics of participants served.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; HR Specialist</td>
<td>Staff diversity percentages match participants.</td>
<td></td>
</tr>
<tr>
<td>&lt; Recruit board members who will contribute their time, talent and treasure.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Board of Directors Nominating Committee</td>
<td>Balanced representation meets Board of Directors needs.</td>
<td>Board Objective or Strategy Needed</td>
</tr>
<tr>
<td><strong>Strategy 4:</strong> Provide competency-based and customer service training opportunities.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Training Committee (Chair: Kara Daumuelle-Morrell)</td>
<td>Curriculum determined and training attended</td>
<td></td>
</tr>
</tbody>
</table>
**Priority: Community Connection**

Goal: Become valuable contributors to the Mental Health Community.

<table>
<thead>
<tr>
<th>Strategies</th>
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<th>Define Success</th>
<th>Board Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategy 1:</strong> Collaborate with the Department of Mental Health in order to meet the needs of the community.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team</td>
<td>Understanding of DMH's needs and capitalizing on opportunities.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 2:</strong> Increase Independence Center visibility as a rehabilitation expert.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Board of Directors</td>
<td>Independence Center is recognized as a rehabilitation expert.</td>
<td>Board Objective or Strategy Needed</td>
</tr>
<tr>
<td>&lt; Create a strategic marketing plan that includes a PR component.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Development Team; Board of Directors PR Committee</td>
<td>Marketing Plan is developed and implemented.</td>
<td>Board Objective or Strategy Needed</td>
</tr>
<tr>
<td>&lt; Contribute articles to health, mental health, and service organization publications.</td>
<td>Begin Year 2 and then ongoing.</td>
<td>Management Team</td>
<td>At least 2 publications per year.</td>
<td></td>
</tr>
<tr>
<td>&lt; Increase active participation in the ICCD, MOAPRS, USPRA and the Missouri Coalition.</td>
<td>Years 1-5.</td>
<td>Management Team</td>
<td>Regularly attend and participate at all meetings. Give presentations at representative conferences.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 3:</strong> Increase advocacy activities for persons with mental illness.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team; Advocacy Committee (Chair: Kathy Mandel)</td>
<td>Advocacy Plan developed and implemented.</td>
<td></td>
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</tbody>
</table>
## Priority: Financial Health

Goal: Generate revenue to achieve and sustain future growth through diversified funding streams.

<table>
<thead>
<tr>
<th>Strategies</th>
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<th>Define Success</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategy 1:</strong> Obtain grants that address existing needs and provide new opportunities for growth.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Development; Kate Blair; Donna Reid</td>
<td>Program needs met</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 2:</strong> Meet or exceed annual development goals.</td>
<td>Year 1 and then ongoing.</td>
<td>Mike Keller; Beth Brown; Lynn Huelsmann; Board of Directors; Board of Directors Capital Campaign Committee</td>
<td>10% annual growth in Annual Fund and $5.5M raised for Capital Campaign</td>
<td>Board Objective or Strategy Needed</td>
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<tr>
<td><strong>Strategy 3:</strong> Maximize allocations or revenues from individual revenue sources.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Management Team</td>
<td>DMH allocation of at least $900K annually and a bottom line annual reserve of $250K.</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 4:</strong> Develop a strategic plan to expand and increase the donor base.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Mike Keller; Lynn Huelsmann</td>
<td>Active development plan updated annually</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 5:</strong> Establish and grow an Endowment through planned giving cultivation and solicitation.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Mike Keller</td>
<td>Endowment created and grown</td>
<td></td>
</tr>
<tr>
<td><strong>Strategy 6:</strong> Dramatically increase Clubhouse Shop revenue.</td>
<td>Begin Year 1 and then ongoing.</td>
<td>Beth Brown; Jennifer Higginbotham</td>
<td>$300K annual revenue</td>
<td></td>
</tr>
</tbody>
</table>
Planning a Retreat?

A board retreat can be extremely helpful in:

- Celebrating the previous year’s accomplishments
- Putting a strategic plan in motion
- Setting action steps for the Clubhouse’s goals
- Team building
- Providing a break in routine
- Reconnecting the board to the mission, values and purpose of the Clubhouse

How to get started? It is important to do some planning such as:

- Do a complete evaluation of the program including individual board members, the executive director, full board, program, etc…
- Decide what the major issues are facing the Clubhouse that need to be addressed
- Decide on a date, time, place that all board members agree on
- Set and agree on an agenda
- What are the objectives of the retreat?
- Will the retreat need a facilitator?

What are some sample agenda topics?

- Accomplishments and challenges for the Clubhouse
- Strengths and gaps in the governing practices of the board
- Develop, create and/or review action plans for board development
- Review the strategic plan
- How effective is the committee structure (if applicable)
- Team building exercise
- Create or update a board operations calendar (a schedule of planned meetings, dates to begin certain yearly projects of the board such as evaluations, approving the budget, nominating new board members, etc…) A sample list can be found online through the Free Management Library.

It is important to:

- Make the retreat fun
- Ensure that the work of the retreat is something that cannot be accomplished at one of the regular board meetings.
- Provide an annotated agenda to help guide the retreat
- Leave room for plenty of strategic and generative discussion
- Be flexible with the time allotted for discussion

Resource:

Board Member Recruitment

The recruitment of new board members must also be a strategic move made by the Clubhouse and the current board of directors. The goal is to find a good match for the individual and the Clubhouse so that both party’s needs are being met. One way to find that sought after board member is to know what you are looking for. What are the strengths and gaps in the current board? Do not limit yourself to the hard skills that people can contribute such as knowledge in law, finances, real estate, and medicine but be sure to focus in on some of the soft skills such as team oriented, thoughtful, diverse, respectful, sense of humor, and positive. It would be a good idea for the board to create a matrix of what they have and what they want. This will help guide the board in finding the right person.

Enlisting the help of the right people - Standard #32
The Clubhouse has an independent board of directors, or if it is affiliated with a sponsoring agency, has a separate advisory board comprised of individuals uniquely positioned to provide fiscal, legal, legislative, employment development, consumer and community support and advocacy for the Clubhouse.

Individuals .......
- That are personally motivated to work with an ICCD Clubhouse (Family members, people with a mental illness, professionals)
- That understand how public mental health funding works
- From the legislative/political arena
- From the business community (preferably high visibility)
- Than can help with introductions and access to people and organizations
- (foundations and businesses) that can provide private funding
- That are willing and able to help

What should you have in place prior to recruiting members to the board?
- A well thought out process
- Orientation procedure/process
- Know the strengths and gaps in the current board
- Expectations and a job description of the available position on the board
- Board governing policies
- Know what the board needs and wants so it can find a good match

Additional Resources:

Board Membering, by Karl Mathiesen, III at www.managementassistance.org

Recruiting and Vetting Nonprofit Board Members, by The Bridgespan Group, Inc. at: http://www.bridgestar.org/Library/RecruitingBoardMembers.aspx
Finding the Right Members for Your Board
By Liz Shear, M.A., USD faculty, Director of Nonprofit Governance Symposium, Consultant

Board recruitment and selection is absolutely critical to a nonprofit’s effectiveness and functionality, yet far too often the process is left up to chance. The right board member depends on your nonprofit board’s style, governance model, characteristics, current needs, and place in the organizational life cycle. This seminar will help you create your ideal board by identifying and integrating each factor into a meaningful recruitment process.

What kinds of people make good board members?
- Committed
- Common sense and good judgment
- Respect for group process
- Secure
- Open to new ideas
- Optimistic and realistic
- Sense of humor

You might avoid these:
- Johnny one notes
- Overboarded
- Devil’s advocates
- Authority figures
- Off the wall artists
- Uncompromising
- Solo operators

Recruitment
- Starts with asking what kind of board do we need to move toward mission fulfillment
- Is present and future oriented
- Takes organizational stage and style into account
- Adds perspectives via diversification
- Is relational and personal
- Sets stage for engagement at many levels
- Needs to be systematic, thorough, clear and honest
- Is slow enough to give people time to see if match
- Is truly selective—don’t settle
- Includes executive staff
- Is managed by committee, but includes full board and others (staff, volunteers, etc.)

Recruitment System
- Profiling current board
- Identifying needs
- Prospecting with full board
- Creating fine materials
- Building relationships with potential candidates
Having opportunities to volunteer in other ways
Having a timeline through to seating, orientation and education

Recruiting Process
- Starts with good materials
- Involves writing an honest letter that asks for appointment and is signed by someone they know
- Is followed up by personal phone call and appointment
- Tells candidate why you want them
- Has other involvement options available
- Is quickly followed up

Nominating and Seating
- Committee brings slate to board where election takes place
- Candidates are notified - tour, materials, orientation date and seating date
- Full board ceremony occurs to seat candidates
- Orientation is scheduled
- Board development begins
### Sample Board Matrix

**Alliance House Board Matrix and Committee's**

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- Joanne Bloom
- Dee Ek
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- Shirley Pedler
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- Jeremy Christensen
- Karen Wildfoerster
- Sue Hanson
- Katie Lora
- Brooke Baltazar
- Amber Weber
Section 9
The Generative Work of the Board

Questions to Ask Yourself

How can thinking generatively impact Clubhouses and the board of directors?

What is a culture of inquiry?

How can the board find the right question?

What is generative governance?
Generative Thinking and Governance

It has become common practice amongst nonprofit boards that little attention is paid to generative work. Boards tend to focus more on fiduciary issues (i.e. safe-guarding assets) and strategic problems (i.e. planning, management and the big picture) facing the board because it gets stuck. According to the book, Governance as Leadership, Chait, Ryan and Taylor use the following quotation to help us understand the importance of generative thinking:

“When individuals produce a new sense of things through generative thinking, others admire their ‘wisdom,’ ‘insight,’ or ‘creativity.’ When an entire field or profession gains a new perspective, we recognize it as a ‘paradigm shift.’ After the shift nothing looks the same.”

Generative thinking requires that people engage in collaborative brainstorming using creativity and innovation to gain a deeper level of understanding that will lead to ideas resting outside of the box.

Being generative is something that most people do on a regular basis outside of the board room, so creating a shift to this type of thinking at the board level is most certainly possible. Here are some tips for incorporating a more generative approach to board meetings.

- Create time for it by:
  - Initiating a consent agenda.
  - Sending out committee reports in advance so that precious board time isn’t spent reporting unless there is an issue that needs to be discussed.
  - Putting the more pressing agenda items toward the beginning of the meeting
- Use the past as a way of explaining a present situation
- Cultivate a culture of inquiry
- Have a development plan in place for continued learning
- Bring diversity onto the board to get different perspectives
- Understand that the quick fix isn’t always the best fix for the Clubhouse
- Encourage debates on tough subjects
- Continue to question “why are we doing this?”
- Ensure that the work of the board is meaningful and challenging
- Spend time toward the end of the meeting for people to ask any unasked questions
- Debrief and evaluate how the meeting went
- A good tool for debriefing is using the acronym O.R.I.D.
  - O – Observation (ex: what stood out to you? What happened tonight? What did we do?)
  - R – Reflection (ex: What did you like about the meeting? Did you find anything confusing?)
  - I – Interpretation (ex: what did you think about ____?)
  - D – Decision (ex: What are you going to do with this information? What commitment has been made by individuals?)
- Find ways of revitalizing the board that will contribute to generative thinking. A board does not have to be all business all the time. Find ways to bring in people’s personalities and unique characteristics.
According to the book, *Governance as Leadership*, by Chait, Ryan and Taylor here some instances where the board should be involved in generative work.

- Ambiguity – there are, or could be, multiple interpretations of what is really going on and what requires attention and resolution
- Saliency – The issue, however defined, means a great deal to a great many, especially influential people or important constituencies.
- Stakes – The stakes are high because the discussion does or could invoke questions of core values and organizational identity.
- Strife – The prospects for confusion and conflict and the desire for consensus are high.
- Irreversibility – The decision or action cannot be easily revised or reversed, due as much or more to psychological than financial commitments.

In order for the board to increase its efficiency and effectiveness it should include time and space for generative governance.
The Source:
Twelve Principles of Governance That Power Exceptional Boards

Exceptional boards add significant value to their organizations, making a discernible difference in their advance on mission. Good governance requires the board to balance its role as an oversight body with its role as a force supporting the organization. The difference between responsible and exceptional boards lies in thoughtfulness and intentionality, action and engagement, knowledge and communication. The following twelve principles offer chief executives a description of an empowered board that is a strategic asset to be leveraged. They provide board members with a vision of what is possible and a way to add lasting value to the organization they lead.

CONSTRUCTIVE PARTNERSHIP
Exceptional boards govern in constructive partnership with the chief executive, recognizing that the effectiveness of the board and chief executive are interdependent. They build this partnership through trust, candor, respect, and honest communication.

MISSION DRIVEN
Exceptional boards shape and uphold the mission, articulate a compelling vision, and ensure the congruence between decisions and core values. They treat questions of mission, vision, and core values not as exercises to be done once, but as statements of crucial importance to be drilled down and folded into deliberations.

STRATEGIC THINKING
Exceptional boards allocate time to what matters most and continuously engage in strategic thinking to hone the organization’s direction. They not only align agendas and goals with strategic priorities, but also use them for assessing the chief executive, driving meeting agendas, and shaping board recruitment.

CULTURE OF INQUIRY
Exceptional boards institutionalize a culture of inquiry, mutual respect, and constructive debate that leads to sound and shared decision making. They seek more information, question assumptions, and challenge conclusions so that they may advocate for solutions based on analysis.

INDEPENDENT-MINDEDNESS
Exceptional boards are independent-minded. They apply rigorous conflict-of-interest procedures, and their board members put the interests of the organization above all else when making decisions. They do not allow their votes to be unduly influenced by loyalty to the chief executive or by seniority, position, or reputation of fellow board members, staff, or donors.
ETHOS OF TRANSPARENCY
Exceptional boards promote an ethos of transparency by ensuring that donors, stakeholders, and interested members of the public have access to appropriate and accurate information regarding finances, operations, and results. They also extend transparency internally, ensuring that every board member has equal access to relevant materials when making decisions.

COMPLIANCE WITH INTEGRITY
Exceptional boards promote strong ethical values and disciplined compliance by establishing appropriate mechanisms for active oversight. They use these mechanisms, such as independent audits, to ensure accountability and sufficient controls; to deepen their understanding of the organization; and to reduce the risk of waste, fraud, and abuse.

SUSTAINING RESOURCES
Exceptional boards link bold visions and ambitious plans to financial support, expertise, and networks of influence. Linking budgeting to strategic planning, they approve activities that can be realistically financed with existing or attainable resources, while ensuring that the organization has the infrastructure and internal capacity it needs.

RESULTS-ORIENTED
Exceptional boards are results-oriented. They measure the organization’s progress towards mission and evaluate the performance of major programs and services. They gauge efficiency, effectiveness, and impact, while simultaneously assessing the quality of service delivery, integrating benchmarks against peers, and calculating return on investment.

INTENTIONAL BOARD PRACTICES
Exceptional boards purposefully structure themselves to fulfill essential governance duties and to support organizational priorities. Making governance intentional, not incidental, exceptional boards invest in structures and practices that can be thoughtfully adapted to changing circumstances.

CONTINUOUS LEARNING
Exceptional boards embrace the qualities of a continuous learning organization, evaluating their own performance and assessing the value they add to the organization. They embed learning opportunities into routine governance work and in activities outside of the boardroom.

REVITALIZATION
Exceptional boards energize themselves through planned turnover, thoughtful recruitment, and inclusiveness. They see the correlation between mission, strategy, and board composition, and they understand the importance of fresh perspectives and the risks of closed groups. They revitalize themselves through diversity of experience and through continuous recruitment.

Excerpted from The Source: Twelve Principles of Governance That Power Exceptional Boards.
For more information or to order a copy of the complete book, please visit www.boardsource.org or call 800-883-6262.
Generative Thinking

Activity #8

The objective of this Board of Directors Leadership Track is to strengthen ICCD Clubhouses by ensuring a collaborative, effective and efficient tone at the top. Ultimately, this will lead to changes throughout the Clubhouse. To enact this change it is important that the entire Clubhouse community be involved.

Analyze how this will affect your Clubhouse. How will the changes affect the individuals and the organization through a personal and community context? Think of a kaleidoscope and view how the change will affect the Clubhouse through as many lenses as possible. How will the Board be affected, the members, the staff, the director, the community, etc…By asking the right questions for your Clubhouse you will help create lasting changes that will make a positive impact.
STRONG BOARDS AS CLUBHOUSE CORNERSTONES
My name is Anne Mai and I am proud to have been a part of this movement for 12 years. I am on the Board of Directors of Fountain House in NY and served for several years as its Chairman. It was one of the great privileges and pleasures of my life. As of last Spring, I am also on the board of the ICCD. There are many challenges we face in spreading this essential work that we all do across the world so that the comfort, community and employment that Clubhouse provides can be available to people who need it everywhere. After 20 years of the existence of the Standards and 15 years of the ICCD, we have learned a few things that were not necessarily evident at the beginning. It was always known and recognized that it is essential to have wonderful Clubhouse directors and dedicated staff.

Now we know for certain that the strongest Clubhouses have strong boards of directors to complement and support the work of directors and staff. They are the Clubhouses that are most likely to thrive and most likely to survive crises of management, changes of directors and financial difficulties. Why that is so and how to achieve and nurture a strong board is what I am here to talk about.

It is good to think of boards of directors as one of the three legs of the Clubhouse stool – equal with members and staff. Members, staff and board work together to create a vision for their Clubhouse, and the board becomes the long term keeper of the vision as members may move on to other parts of their lives and staff go to other jobs. Not that the board itself remains static, but the philosophy inherent in the mission statement and governance structures created by the board (and carried out in its committees) can endure well past any individual involvement and ensure the sustainability of the Clubhouse.

The term “board of directors” has different meaning to different Clubhouses. In independent Clubhouses the boards have more legally-required governance and oversight duties than in advisory boards. But strong, participatory advisory boards are as essential as good independent Clubhouse boards. They provide the connective tissue that binds the Clubhouse to the community, helping the staff, director and members navigate that community – allowing them to understand its funding streams and power structures and act as ambassadors of the Clubhouse as well as advocates for the welfare of its members. In each type of board the level of commitment
and willingness to provide a bridge to and from the community can make all the difference in the quality and success of their Clubhouse program.

What are the responsibilities of a Clubhouse Board? As keepers of the Clubhouse vision, they are responsible for setting Clubhouse policy, long range planning and the financial health of the Club-house. They are also responsible for hiring, overseeing and yes, sometimes unfortunately, letting Clubhouse directors go.

But a good board does far more than that.

Let’s look at several important elements that are essential to get right in order to have a truly effective board.

1) BOARD COMPOSITION
The composition of the board is critical. Who are the community members you need to recruit for your boards? Think what your needs are and find people who are available and able to fill those needs. Depending on your size you need at least one lawyer to help you construct sound legal structures—possibly a realtor to help with building issues (and maybe housing for members) and business people to provide access to employment. You also need people who are familiar with and know how to tap into the political and philanthropic circles of your community.

The more successful you are in recruiting the real leaders in your communities—whether in business, social services, politics or civic life, the better success you will have in making the connections that your Clubhouse needs to flourish. It is well worth investing time in recruiting community leaders who will have the biggest positive impact.

I can’t stress this last point enough! It is tempting to stay within your comfort zone and approach only people you know well—say mostly people in the field of social work, which is after all the world most connected to Clubhouse. You also need to approach business leaders, corporate leaders if there are any in your town, who can lend their networks for developing Clubhouse relationships—and the all-important fundraising.

The old adage that counsels “If you want something done ask the busiest person you know” has some truth to it—but in my experience it is also true that you need some people who do have time—because board work can be time-consuming—especially if you have a particularly demanding issue to deal with.

The week I took over as chairman of the Fountain House Board, we discovered that we had a fairly major financial problem that had not been foreseen. I don’t know what I would have done without a recently retired board member who must have spent hundreds of hours that year working out what had happened and plotting how to get us back into the black. His financial acumen was astonishing and he actually had the time—for the first time in his professional life—to pour himself into something unconnected to his work but still using his vast financial experience. Within two years we had reached our recovery goals and were once again in good shape.
It was another board member, also recently retired, who tackled our governance issues, whipping us into impeccable shape, dotting every governance i and crossing every t, putting us in compliance with the strictest possible non-profit governance recommendations.

This past summer, when our board chairman had to resign abruptly because of illness, thanks to this same board member we had a provision in our by-laws for a smooth transition. We were saved weeks of confusion as a rudderless board searched for someone to take over. The transitional board chair stepped right in. A suggestion: If you approach a captain of industry and he is not available, try researching his wife. If one of them is interesting and interested she might be able to parlay her husband’s relationships into relationships for your Clubhouse. It was certainly my husband who was wanted for the board of Fountain House. Luckily I only discovered that fact years later and I was too hooked to be insulted! My husband was overcommitted and, knowing of my interest in mental illness, referred them to me. They had little choice but to approach me – probably reluctantly. That was a moment in my life when my time had opened up and I plunged into the joyful work of Fountain House with energy, enthusiasm – and TIME. And I brought my husband’s network as well as my own to the job.

2) BOARD MEMBERS MUST UNDERSTAND THE MODEL
There is one attribute board members should all have in common – and you may have to work on making sure they develop it. It is an understanding of the remarkable nature of Clubhouse and how it is transformational in the lives of those it touches. If you can find leaders who have a family or friendship connection with mental illness, you have a good head start. They will easily understand how wonderfully radical it is to be part of a community that is above all about “getting a life.”

Help them “fall in love” with your Clubhouse. The best way to do that is to take them into the Clubhouse and have them experience the beauty, the love and the depth of relationships that rarely leave observers unmoved. At Fountain House we often say that the hardest part of involving someone in the house is getting that person in the front door. After that the Clubhouse usually just sells itself. That is exactly what happened with me. I walked through the door, saw an amazing atmosphere of respect and affirmation and knew that’s where I wanted to put my time and energy.

For some board members the “falling in love” process takes a little longer. So, remember, the better informed your board is about every aspect of the Clubhouse, the more committed they are likely to be. Having a plan for board training and development is really important. The ICCD has a well-formulated program in board training. Use it!

3) RELATIONSHIPS
Relationships more than any other factor are what Clubhouses are most about. Strong boards are also all about relationships: relationships with the members, staff and director of a Clubhouse, relationships between the Clubhouse and the community and working relationships with each other. If any one of these elements is missing, the board is unable to do its job optimally and the Clubhouse suffers. The relationship between the board and the director needs to be a strong and collegial one. A good board/director relationship gives a director wings – the freedom to do his job with the knowledge that the board is helping to provide the underpinnings for Clubhouse security and the outreach for its growth. Although the board is responsible for overseeing the
director, a wise board knows that it is the director who is running the program, giving him the support he needs without undue interference. The relationship between the board chair and the Clubhouse director is, of course, the most important one of all and should be nurtured with great care.

Earlier I said that the board of directors provides the connective tissue between the Clubhouse and the community. Willingness to share their network of relationships and to tap into their friends’ networks as well is a key aspect of a stellar board member. There are many ways in which a web of community relationships is critical – cases in point are in securing employment opportunities from local businesses and organizations, dealing with stigma if it arises against the Clubhouse or against any individual Clubhouse members and of course in (the all-important) fundraising.

Let me give some examples of how board members have used their relationships to help Fountain House.

One of our Fountain House board members, an artist herself, understood the need of the many artist members of Fountain House to have a place to show their work and support each other collegially. Using her art-world skills and network, she was instrumental in getting our Fountain Gallery underway. It has been a success both for our member artists and also, to our surprise, in creating great public relations for us in our community. Thanks to a strong volunteer network, the gallery raises almost enough funds each year to be self-sufficient financially.

Our wellness initiative, developed in alarm over premature deaths of too many of our members – and with concern over the high rates of diabetes and high blood pressure in our community—was developed in a Fountain House member and board partnership that has been highly successful. Board members raised money for the initiative and worked side-by-side with members in developing the program which has now become a unit. We are already seeing many health success stories and are awaiting the completion of the space which will house it.

4) FINANCES
A critical responsibility for the board is to ensure that the Clubhouse is financially sound and has access to funding that will enable it to grow in the future. This means two things. First that the board oversees the annual budget with diligence and then exercises proper oversight to ensure that the actual expenditures are within the budget. A second critical dimension of the board that is ongoing and longer-term in nature is to raise funds for the Clubhouse enabling it not only to fund current programs but also to provide resources for expansion.

The main responsibility for this will rest with the business and corporate leaders on the board who should feel committed to introducing the Clubhouse to their networks and to people who have the financial resources and philanthropic tendencies to make annual commitments to the Clubhouse.

Having business and financial leaders on the board is absolutely fundamental to achieving long-term grown and expansion of services. Indeed, without this expertise Clubhouses will not have access to the resources they need to grow. Moreover, once a culture of community outreach is
achieved, fundraising becomes easier and easier, helping Clubhouse boards and staff to plan their long-term growth with more confidence and conviction.

Don’t overlook the social leaders who are willing to introduce friends and raise money. I don’t want to seem crass, but you need to find people who can afford to be generous – with friends who can also afford to be generous. A Fountain House board member-- a woman with great charm, a huge social network and tenacious dedication was the organizing force behind a luncheon/seminar which has over the past few years turned into a stunning financial and public relations success for Fountain House – and an outstanding educational event.

I hope I have convinced you of the invaluable nature of Clubhouse boards in establishing and nurturing the connection between Clubhouses and their communities and in ensuring their sustainability. Boards should be viewed as essential partners with staff and members of any Clubhouse. A strong and engaged board will provide a better foundation from which to expand the quality of services and the financial security of your Clubhouse. Next to my family it is the Clubhouse community that I proudest to be a part of. Thank you, members of the Clubhouse community I love so much, for being such a wonderful audience!
Section 10

Resources, References and Bibliography
**Resources, References and Bibliography**
(for articles not produced through the ICCD or Clubhouses affiliated with the ICCD)


**Websites for continued learning:**

**www.boardsource.org** - BoardSource is dedicated to advancing the public good by building exceptional nonprofit boards and inspiring board service. BoardSource strives to support and promote excellence in board service, is the premier source of cutting-edge thinking and resources related to nonprofit boards, and engages and develops the next generation of board leaders.

**www.blueavocado.org** – practical, provocative and fun food-for-thought for nonprofits

**www.managementhelp.org** - The Library provides free, easy-to-access, online articles to develop yourself, other individuals, groups and organizations (whether the organization is for-profit or nonprofit). Over the past 15 years, the Library has grown to be one of the world’s largest well-organized collections of these types of articles and resources.

**www.fieldstonealliance.org** - Fieldstone Alliance provides user-friendly publications that help nonprofit, community, funders, government, and business leaders improve their communities.


**www.theworldcafe.com** - Through both our research and the decade of practice that followed its emergence, we have come to view the World Café as a *conversational process* based on a set of *integrated design principles* that reveal a deeper *living network pattern* through which we co-evolve our collective future.