GOVERNANCE/COMPLIANCE CHECKLIST AND ACTION ITEMS
February 2022

Items	Notes	Person Responsible	Due Date	Date
I. Mission				
A. Has the organization reviewed/amended its mission statement and, if so, has the mission been approved by the Board?	Yes	Board		6/2021
B. Does the mission statement conform to the mission in the organization's organizing documents, i.e., bylaws and articles of incorporation? If not, should those documents be revised and the changes recorded with applicable authorities?	Yes	Board/ Gov.Committee		6/2021
C. Is the mission statement reflective of the organization's values and current programs?	Yes/ Core Strategic Intention on website	Board/ Gov.Committee	6/2021	6/2021
II. Board of Directors				
A. Are board development policies and procedures in place to attract the best potential board members?	Yes Handbook	Board/ Gov. Committee	2/2022	
B. Is there a board member responsibilities policy? Is it used to acquaint potential board members with their duties as board members?	Yes	Board/ Gov. Committee	On going	On going

C. Are board members fully aware of their fiduciary responsibilities? To be added: Board statement to sign acknowledging fiduciary responsibility, conflict of interest disclosure and confidentiality	Yes	Board/ Gov. Committee	On going	On going
D. Does the board have a Governance Committee? Governance Policies and term limits? Are the other standing committees appropriate for the organization?	Yes	Board/Governance Committee	On going	On going
E. Does the board engage in annual self-assessment? Based on Board Responsibilitese Document	6/16/2021 Minutes	Board	Next evaluation 7/2022	
F. Are there training sessions for new board members, and are current board members encouraged to attend? Added: G. Create a Board Member vetting process and checklist	Yes/ Handbook	Board/ Gov. Committee	Monthly/ As required	On going
III. Organizing Documents				
A. Does the organization have copies of the articles of incorporation and bylaws on file?	Yes Handbook	Board/ Gov. Committee	On going	On going
B. Do the bylaws conform to Maine statutes registered with the Secretary of State?	Yes	Gov. Committee	2//2022	2/2022

C. Are the articles of incorporation and the bylaws internally consistent? Have any changes to the Articles of Incorporation been registered with the Secretary of State?	Yes	Board/ Gov. Committee	On going	On going
D. Have the bylaws been reviewed and/or amended, and, if so, has the board approved any changes?	Yes	Board/ Gov. Committee	On going	On going
IV. Licensing				
A. Annual corporate registration	Yes/ Clerk	Glen	Annual	2/2022
B. Charitable solicitations permit	NA			
C. Specialty licensing for professionals on staff or under contract, or for program components	NA			
D. If the organization bills or is reimbursed by third parties or governmental agencies, are all compliance and reporting requirements being followed?	NA			
E. If the organization has a multi-state presence, are licensing requirements of each state being followed?	NA			
V. Taxes	Yes	Helen	4/2022	

A. Are 990's and state returns current?	Yes	Helen	4/2022	
B. Are employee payroll tax reports and payments current?	Yes	Helen	4/2022	
C. Does organization comply with all policy questions on 990? (Ex., conflicts of interest, whistleblower, documents retention, etc.)	Yes	Helen	4/2022	
D. Are all of these policies being followed and is there documentation supporting such actions?	Yes	Helen	4/2022	
E. Does the organization pay real estate taxes or any payments in lieu of real estate taxes?	Yes	Helen	4/2022	
VI. Risk Management				
A. If the organization has real estate, is all real estate adequately insured for both liability and hazard coverages?	Yes/Insurance Policy	Helen	On going	On going
B. Does the organization have directors and officers coverage?	Yes/ Insurance Policy	Helen	On going	On going
C. Are there any current or threatened workers' compensation issues?	No	Gov. Committee		
D. Are there any current or threatened legal actions?	No	Gov. Committee		

E. Is there a disaster recovery plan in place?	No/ 7/23/2021 Agenda	Board/ Glen	7/23/2022	
VII. Budgeting				
A. Does the organization have a current budget and, if so, has it been approved by the board?	Yes	Helen/ Board	8/2021	9/2021
B. What is the process for developing an annual budget? Are staff and other stakeholders involved in the budgeting process?	Caapital Requirements/Yes	Helen/ Board	8/2021	9/2021
C. What is the organization's history in meeting past budgets and what steps have been employed to ensure that the budget is realistically tied to results?	Success/ Yes.	Helen/Board	8/2021	9/2021
D. Are the organization's expectations for future revenues from all sources realistic?	No/ Capital Improvement Plan	Helen/Glen/ Board	3/2022	
VIII. Fundraising				
A. What types of financial support does the organization regularly seek and receive?	Advancement/ Funding Consultant Trust	Helen	3/2022	
B. Does the organization have a current donor database and, if so, how is it maintained?	Yes/ List/ Membership	Helen	3/2022	

C. Does the organization have gift acceptance policies in place and, if so, are these policies followed?	Yes	Helen	On going	
D. What system does the organization use to record and track restricted gifts?	NA			
E. Which staff members are responsible for meeting the organization's annual development plan goals?	Advancement Plan	Helen/ Board	On going	
F. Are board members expected to provide financial support to the best of their abilities and to participate in fundraising events and solicitations?	Yes/ Self -Assesment	Board	3/2022	
G. Does the organization have a planned giving program in place?	Advancement Plan Completed 6/2021	Helen/ Board	Update 3/2022	
IX. Organizational Chart and Employee matters				
A. Does the org chart reflect the actual structure of the entity?	Yes/ Officers/ Committees	Board	On going	
B. Are job descriptions accurate and current? Are the right people in the right jobs?	Committee Descriptions	Glen	2/2022	2/2022
C. Have all employees received performance reviews within the last year?	Diane?	Helen/ Glen	3/2022	
D. Are any employees on probation or have any been made aware of any performance issues? Are there	NA			

plans in place to remedy any probation or performance issues?				
E. Is there an employee handbook/manual?	No	Board	On going	
F. Is there a plan in place for employee advancement and staff development?	No	Glen/ Board	unknown	
G. Is the employee handbook/manual comprehensive, reflective of actual practices/policies/procedures?	No	Board	On going	
H. What employee benefits exist and what are the costs of any benefits?	Helen	Helen	3/2022	
I. Is there a harassment policy? A whistleblower policy? A conflicts of interest policy? An ethics policy? Has there been adequate training with regard to employee policies?	Yes/ Handbook/ As required	Gov. Committee		2/2022
X. Documentation				
A. Are employee files complete and up to date?	Yes	Helen	3/2022	
B. Are files of minutes of board and committee meetings complete and up to date?	No	Betsy/ BOD	2/2022	
C. Are there job descriptions for Officers of the Board and Board Members	Yes/ Handbook	Gov. Committee Committee Chairs	2/2022	

D. Have all actions voted on in board meetings been followed?	No	Board	Review 3/2022	
E. For contractual relationships (such as bank agreements, load covenants, bond covenants, grants restrictions and reporting, awards, restricted funds, etc.), have all requirements in governing documents been followed, is all required reporting current, and is separate accounting in place for any restricted funds?	Written Agreement w/ Diane? Letitia Moore Trust Laura Fox	Glen/Helen	3/2022	
XI. Strategic Planning				
A. How recently has there been a strategic planning effort?	On going	Glen		10/2021
B. For any new strategic planning exercise:	On going	Glen		10/2022
a. Is the organization relevant?	Yes/ Continuance	Board	3/2022	
b. What other organization provides the same services?	Update	Maryse/Betsy/ Dede	3/2022	
c. Are there opportunities for merger, acquisition, combination of programs and services?	Update	Maryse/Dede/	3/2022	
d. Is expansion cost effective and efficient?	Update	Bldg. Committee/ Board		10/2022
e. Does the organization's current footprint fill the needs of the community?	Vision/Update	Board	3/2022	

f. Have future planning needs been incorporated into the organization's board development practices?	Vision/Advancement	Board	3/2022	
C. What qualities and expertise must the next chief executive officer bring to the organization?	Continuance	Board	3/2022	
a. ED Job Description	No	Board	3/2022	
b. Succession Plan	Date for Annual Meeting	Board	3/2022	
c. Emergency Succession Plan	No	Board	3/2022	
Additional Items Added:				
Business Plan	Advancement Plan	Helen/Board	3/2022	
Case Statement	No	Board	3/2022	