



**Northeast Institute for Quality Community Action  
Self-Assessment Document Checklist.**

**\_ Peer Review Team Only (1 Copy to Each Team Member):**

- **Completed Agency Self-Assessment.**
- **Agency Annual Report**
- **Organization Chart.**

**A. Planning and Community Investment.**

- \_ Copy of Agency Mission Statement – Date of Last Review.**
- \_ Copy of the Agency’s Strategic Plan.**
- \_ Documentation of Last Updated Community Needs Assessment (e.g., Dated Summary/Abstract or Reference to Strategic Plan).**
- \_ Agency Marketing and Communication Plan and/or Methods.**
- \_ Fundraising/Development Plan**
- List of Current Year Fundraising Goals and Planned Activities.**
- \_ Gross/Net Income Generated by Agency Fundraising Activities During the Past 2 Years.**

**B. Operational Management and Organizational Structure.**

- \_ List of Agency Programs with Identification of Programs Which Do Not Have Written Operating Policies/Procedures by an asterisk (\*)**
- \_ Evidence of Agency Formal and Informal Strategic Alliances  
Provide 2 Sample Signed agreements plus a List of all Formal and Informal relationships maintained by the agency. ID Formal Agreements with a asterisk (\*).**
- \_ Provide Examples of ROMA Program Performance Report(s)  
For: Program Manager; Funder and Board/Committee.**
- \_ Customer Satisfaction Survey Form – Results Summary Report**
- \_ Customer Confidentiality and Complaint Policies.**
- \_ Risk Management and Disaster Recovery/Business Continuity Plans/Policies/Procedures.**

**C. Governance.**

- Bylaws**
- Board Meeting Minutes and Agendas (6 Meetings Within Past 12 Months plus Minutes of 1 Meeting Prior 24 Months and One Meeting Prior 36 Months).**
- Documentation of Board Manual/Handbook (e.g., Table of Contents).**
- Documentation of Board Approval of an Agency Budget, and Strategic Plan (e.g., Board Meeting Minutes).**
- Documentation of Board Orientation and Training Meetings.**
- Conflict-of-Interest and Code of Ethics Policies/Forms.**
- Documentation of Executive Director Performance Evaluation (e.g., Copy of Board Minutes Where Action on the Evaluation was Documented) and Copy of Tool Used to Conduct Evaluation.**
- Listing of Board Committees and # of Meetings Held for each Committee during the Past 12 Months.**
- Copy of Executive Leadership Succession Plan.**
- NIQCA Board Chart (attached).**

**D. Information Technology**

- IT Policy Manual/Handbook – Policies and Procedures.**
- Evidence of IT Hardware and Software Inventory(s)**
- IT Security Plan - Policies and Procedures.\***
- IT Training Needs Assessment, Training Agendas, etc.**
- Evidence of IT Client and Program Reporting in Compliance with ROMA Requirements. Evidence of Integration of Client and Program Data for Reporting to Users/Funders.**
- IT User Support Policies and Procedures\***
- Telecommunications Inventory – Plan.**

**E. Human Resources**

- Agency Wage and Salary Administration Plan**
- Employee Benefits Summary Description**
- Hiring Policies and Procedures\***
- Evidence of Employee Recognition Program.**
- Employee Satisfaction Survey – Results**
- Diversity Plan – Policies.**
- NIQCA Staffing Chart (attached)**

- HR Policies and Procedures Manual.**
- 5 Agency Job Descriptions (including ED/CEO).**
- Employee Performance Appraisal Policies, Procedures and Appraisal Form.**
- Documentation of New Employee Orientation Program.**
- Staff Development and Training Plan/Evidence of Trainings Provided to Staff During the Past 12 Months.**
- Copy of Whistleblower Protection Policy.\***
- Copy of Employee Payroll Time Recording Form/Procedure.**

***F. Finance and Budget.***

- Agency Audit for Past Fiscal Year.**
  - Current Agency Budget – Summary Budgets for the Past 3 Years.**
  - Capital Asset Management Plan and Budget.**
  - Finance Manual/Handbook.**
  - Copy of Agency Financial Controls Policies and Procedures\***
  - Examples of Financial and Budget Reports Prepared for Board and Program Managers.**
  - Copies of Corrective Action Plans Developed in Response to Audit or Program Compliance Reviews (e.g., Head Start) During the Past 24 Months.**
  - Agency Finance Plan**
  - Documentation of Training on Finance Topics for Staff or Board During Past 12 Months**
  - Agency Purchasing/Procurement Policies and Procedures.\***
- \*No need to make separate copies of these documents if policies are included in requested functional IT, HR and Finance policy manuals.**

**For Peer Review Site Visits the Agency Should Make a Complete Copy of All Documentation for each Section for the Peer Team Leader. Based on Information from the Team Leader Copies of Documentation for each Section Should be Sent to the Peer Reviewer Assigned to that Section. *Documentation Must be Mailed to the Peer Review Team So That It Arrives Not Less Than 2 Weeks Before the Scheduled Visit. Questions Regarding Documentation for Either the Self-Assessment or the Peer Review Visit Should be Directed to Bill Hunter ([whunter@MASSCAP.org](mailto:whunter@MASSCAP.org) or 508-380-1398.***



**Northeast Institute for Quality Community Action QCAS  
Agency Staffing Chart**

**Agency Name:**

Classification	Total # Actual	Total #		Total # Budgeted	Diversity*							
		PT	FT		M	F	W	AA	H/L	A	O	NK
Executive												
Senior Managers												
Directors												
Supervisors												
Direct Service Professional												
Direct Service Para Prof.												
Technical												
Admin/ Clerical												
Maint/Security												
<b>Total #</b>												

\*Diversity: M (Male) F (Female) W (White); AA (African American); H/L (Hispanic/Latino); A (Asian); O (Other Race/Ethnicity, NK (Not Known).

**Comments:**

