ABOVE BOARD: COMPLIANCE, LEGAL, AND FINANCIAL BEST PRACTICES AGENDA

DAY 1 | Tuesday, December 10th | 8:00 am to 4:30 pm	
TIME	**TOPIC**
8:00 – 8:30 am	*Breakfast and Registration*
8:30 – 9:30 am	**Module 1 – Course Overview** Welcome, Introductions, Expectations
9:30 – 10:30 am	**Module 2 – The Fundamentals of Compliance** ● What is compliance? ● Why is an effective compliance program essential for small nonprofits? ● What are the common subject areas of compliance for nonprofits?
10:45 – 11:00am	*Break*
11:00 – 11:30am	**Module 3 – What a Culture of Compliance Looks Like in Your CDFI.** ● Developing a Culture of Compliance
11:30 – Noon	**Module 4 – Developing a Compliance Program for Your CDFI** ● Review the key elements of a corporate compliance program; ● Identify the five main functions of a compliance officer; and ● Review the process to create a successful corporate compliance program.
Noon	*Lunch*
1 pm	*Icebreaker*
1:15 – 2:30 pm	**Module 5 – Staying Above Board: Compliance Training** ● The purpose of compliance training. ● Topics covered in compliance training. ● Benefits of a best practice compliance training program. ● Discussion: examples of compliance training in your organization.
2:30 – 2:45 pm	*Break*

2:45 – 4:00 pm	**Module 6 – Strategies to Improve Your Compliance Program**
	● **"New Ideas" Competition**
	   ➢ Teams compete to come up with new ideas or improvements to their current compliance program **or**
	● **"Debatable Dilemmas"**
	   ➢ Breakout groups will receive a short, easy-to-read, and debatable compliance dilemma, and share their recommendations with the group.

4:00 – 4:30 pm	**Wrap-up, Reflections, Handouts**

TIME	TOPIC
DAY 2 | Wednesday, December 11th | 8:00 am to 4:30 pm	
8:00 – 8:30 am	*Breakfast*
8:30 – 9:00 am	**Welcome Back, Recap, Preview**
9:00 – 10:30 am	**Module 7 – Developing Internal Controls for CDFIs** ● **Discussion:** Internal controls - what comes to mind? ● Review the definition of internal controls, the areas they address, and examples of basic internal controls. ● Define the main principles of internal control policies. ● Define the three categories of control objectives. ● Address the five interrelated components of internal control, including: establishing an appropriate control environment, assessing risk, implementing control activities, communicating information, and monitoring. ● How internal controls can help set the cultural tone and establish a shared commitment to mitigating risks to the organization's sustainability.
10:30 – 10:45am	*Break*
10:45 – Noon	**Module 8 – Risk Management for Nonprofits** ● Definition of risk (broadly defined). ● **Breakout:** Identify the critical risks facing CDFIs. ● Describe the purpose and goals of a risk assessment. ● How to conduct a risk assessment. ● Suggested steps to mitigate and control risks.
Noon	*Lunch*
1 pm	*Icebreaker*

1:15 – 2:30 pm	**Module 9 – Implementation of Internal Controls**
	● Discuss how control activities occur throughout the organization, at all levels and in all functions.
	   o Approvals
	   o Authorizations
	   o Verifications
	   o Reconciliations
	   o Reviews of operating performance,
	   o Security of assets and segregation of duties.
	● **Quiz** – which one of these is not an internal control?

2:30 – 2:45 pm	*Break*
2:45 – 4:00 pm	**Module 10 – Communication and Monitoring** ● Discuss how effective internal control activities depend upon effective information and communication systems. ● The role of defined 'feedback' loops – the process to monitor the effectiveness of controls and to correct identified problems. ● The fundamental components of communication and monitoring functions. ● **Breakout:** Do Native American beliefs and culture influence how Native CDFIs practice and communicate compliance?
4:00 – 4:30 pm	**Wrap-up, Reflections**

DAY 3	Thursday, December 12, 2019	8:00 am to 1:30 pm	
TIME	**TOPIC**
8:00 – 8:30 am	*Breakfast*
8:30 – 9:00 am	**Welcome Back, Recap, Preview**
9:00 – 10:30 am	**Module 10 – Developing an Effective Grants Management System** ● Why CDFIs need grant management ● What is a grant management system? ● The three phases in the grant process ● Keys to successful grant management ● How to identify your strengths and opportunities for improvement. ● Using software and technology
10:30 – 10: 45 am	*Break*
10:45 – Noon	**Module 11 – Best Practices in Meeting the Compliance Requirements for CDFI Fund Awards and Certification** ● Identify the cycle of grant reporting for your Annual Certification Report (ACR) and CDFI Fund NACA FA/TA awards. ● Review what constitutes non-compliance and how to address it with the CDFI Fund. ● Steps to ensure you maintain compliance. ● Discuss effective practices in meeting compliance and reporting requirements.
Noon – 1:00 pm	*Lunch*
1:00 – 1:30 pm	**Wrap-up, Course Evaluation**
1:30 – 4:00 pm	**Individual Technical Assistance**