A Tennessee Waltz Through the Toolkits for Organizational Standards

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Tennessee Association of Community Action
November 3, 2015
Questions on the Organizational Standards

• Questions?
• TA Guides
• Other Resources
• Resources you want
Tips for Assessing the Organizational Standards

• Read the standards “in context and as a whole”
• Always clarify questions about the definition, intent, and documentation of organizational standards with State CSBG Office
• Integrate your assessment activities into existing processes
  --Community needs assessments
  --Strategic planning
  --Community action plan
Tips for Assessing the Organizational Standards

• Use a central filing system (e.g. iPad or filing cabinet) to track and manage documents
• Choose one or two categories a year to conduct deeper evaluations
• Use a team-based approach to build organizational capacity
• Benchmark your performance across all the standards
  --Keep score
  --Make recommendations
Tips for Assessing the Organizational Standards

- Document your process
- Use the assessment to leverage resources from technical assistance to funding
Overview of TA Guide Structure

Purpose is to:

• Assist with definition, intent, and documentation of the Standards
  --Section A covers definition and intent
  --Section B covers interpretation and documentation

• Provide resources to go “beyond compliance”
  --Section C provides diagnostic questions
  --Section D provides resources
Assessing the Standards

Considerations for the review process

• How is the review connected to processes to document the other standards?
• Are there opportunities to connect the review into existing agency processes?
• Who should participate?
• How will staff determine if Standards are met?
• How will the staff document compliance?
• How will the staff manage recommendations?
• How will the staff archive results?
Going Beyond Compliance

Options for going “beyond compliance”:

• Short discussion of strengths and opportunities for improvement

• Review of resource materials (e.g. guides, examples of other community assessments)

• Interviews/focus group with key staff

• Interviews/focus group with outside partners and experts
Standard 3.1
The organization conducted a community assessment and issued a report within the past 3 years.
Standard 3.1

A. Guidance on Definition and Intent of the Standard

• Ensures uniformity across states for the maximum time period between CNAs
• Establishes minimum requirements for the format and content of the CNA
Standard 3.1

B. Guidance on Compliance and Documentation

• “In process” CNAs that begin three years after the previous assessment.

• Differences in State requirements for the frequency of conducting a CNA.

• Counting an update to the previous CNA as complying with Standard 3.1.

• What qualifies as “issued” and “report”
Standard 3.1

B. Guidance on Compliance and Documentation

• Documentation that the CAA has conducted a CNA within the past three years

• Documentation that confirms the CAA issued a report
Standard 3.1

C. Beyond Compliance

• Do the results of the CNA guide development of the CAA’s strategic plan and community action plan?

• Do the CAA’s strategies, programs, and services address key needs identified in the CNA?

• Are results from the CNA updated and used to routinely guide decisions about the CAA’s service delivery strategies and programs?

• Does the CNA focus on the causes and conditions of poverty?

• Does the CAA use the CNA to engage key community stakeholders and build consensus on a shared policy agenda?
Standard 3.1

D. Resources


D. Resources
CSBG Organizational Standards

• IM 138
• 58 Private CAAs
• 50 Public CAAs
Tools to Help Assess

- Assessment Tool
- Separate Tools for States and CAAs
- Separate Tools for Private and Public CAAs
- Updated February 2015
- Includes Final COE-Developed Standards Language
- Additional Guidance
Vision and Direction – Category 4: Organizational Leadership

Standard 4.4 The governing board receives an annual update on the success of specific strategies included in the Community Action plan.

Guidance
- The CSBG Act requires that boards be involved with assessment, planning, implementation, and evaluation of the programs; this standard supports meeting that requirement.
- This standard is met by an update being provided at a regular board meeting, and documented in the minutes.
- The update provided to the board may be written or verbal.
- The update provided to the board should include specific strategies outlined in the Community Action plan and any progress made over the course of the last year, or by another period of time as determined by the board that is less than one year.

State Assessment of Organization:
- Met-The CEE has met the requirements of the Standard as written.
- Not Met –The CEE has not met the requirements.

Documentation used: (Check all that apply) Other Documentation:
- Community Action Plan update/report
- Board minutes
- Board pre-meeting materials/packet

If not met, progress to date on meeting the Standard:

Action steps to be taken to meet the Standard:
Tools to Help Assess

Glossary of Terms

This glossary is provided as guidance by the Organizational Standards Center of Excellence (OSCOE). It is intended to provide some clarity as to the intent of the CSBG Working Group in the development of the Standards. Please note that this is not official guidance and CAAs and State CSBG Offices are encouraged to work together to come to agreement on definitions and to refer to the CSBG Act and Office of Community Services’ Information Memoranda when needed.
Glossary

- Updated February 2015
- Incorporated new definitions as needed by the IM 138
- More detail to come on broader IM 138 Issues
Boards of Directors/Advisory Boards

- Handouts
- Videos

Community Action Agency Boards of Directors and the CSBG Organizational Standards

The Boards of Directors plays a unique and important role in the life of a Community Action Agency. While staff members transition, founding directors retire, and programs change, the board offers consistency in purpose, intent, and responsibility. The governing board acts as a body, not as individuals, and its members are bound by the Duties of Care, Loyalty, and Obedience, bearing legal liability for their individual actions as well as those of the corporation.
Community Action Partnership

YouTube Channel - Board Videos

COE-developed CSBG Organizational Standards - What Do Boards Need To Know?

by Community Action Partnership • 10 videos • Updated yesterday

This series of 10 videos are designed to introduce governing boards of Private (nonprofit) Community Action Agencies to the COE-developed CSBG Organizational Standards. For more information on the Organizational Standards please visit bit.ly/3u... more

1. Standards for Boards Introduction
   by Community Action Partnership
   11:36

2. Standards for Boards - Consumer Input and Involvement
   by Community Action Partnership
   3:56

3. Standards for Boards - Community Engagement
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   7:04

4. Standards for Boards - Community Assessment
   by Community Action Partnership
   6:26

5. Standards for Boards - Organizational Leadership
   by Community Action Partnership
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Calendar of Required Actions

- Annually
- Every 2 Years
- Every 3 Years
- Every 5 Years
- Documentation
Every 2 Years

- 4.6 An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.
- 5.4 The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.
- 5.6 Each governing board member has signed a conflict of interest policy within the past 2 years.
- 5.8 Governing board members have been provided with training on their duties and responsibilities within the past 2 years.
- 8.10 The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.

Every 3 Years

- 1.2 The organization analyzes information collected directly from low-income individuals as part of the community assessment.
- 2.2 The organization utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.
- 3.1 The organization conducted a community assessment and issued a report within the past 3 years.
- 3.2 As part of the community assessment, the organization collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).
- 3.3 The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.
- 3.4 The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.
- 3.5 The governing board formally accepts the completed community assessment.
Standard 4.3 Document Use of Certified ROMA Trainer

- Intent: Nationally Certified ROMA Trainer
- Use of “Equivalent” intended for States that have selected a performance management system other than ROMA
Documenting Standard 4.3

A Certified ROMA Trainer is to be accessed by each Eligible Entity during the course of the ROMA Cycle. This can be done through a conference call, in person consultation or training, etc. at some point during the cycle. Again, this is not meant to be burdensome, but a brief narrative describing the type of interaction with the Certified ROMA Trainer.

<table>
<thead>
<tr>
<th>Name of Certified ROMA Trainer</th>
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<tr>
<td>Relationship of Trainer to CAA (On staff, consultant, State Association, Other)</td>
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<tr>
<td>Type of Interaction (in person or by phone/web meeting)</td>
</tr>
<tr>
<td>Date(s) of Interaction</td>
</tr>
<tr>
<td>Brief Description of Interaction</td>
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<table>
<thead>
<tr>
<th>Community Assessment</th>
<th>Strategic Plan</th>
</tr>
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<tbody>
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<td>Assessment</td>
<td></td>
</tr>
<tr>
<td>Planning</td>
<td></td>
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<tr>
<td>Implementation</td>
<td></td>
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<tr>
<td>Achievement of</td>
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</table>
Partnership Tools – Needs Assessment

communitycommons.org
Child Poverty Rate (ACS) Ages 0-17

Population and poverty estimates for children age 0-17 are shown for the report area. According to the American Community Survey 5 year data, an average of 31.2 percent of children lived in a state of poverty during the survey calendar year. The poverty rate for children living in the report area is greater than the national average of 21.6 percent.

<table>
<thead>
<tr>
<th>Report Area</th>
<th>Ages 0-17 Total Population</th>
<th>Ages 0-17 In Poverty</th>
<th>Ages 0-17 Poverty Rate</th>
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<tr>
<td>Report Area</td>
<td>28,937</td>
<td>9,038</td>
<td>31.2</td>
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<tr>
<td>Campbell County, TN</td>
<td>8,492</td>
<td>2,571</td>
<td>30.3</td>
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<tr>
<td>Claiborne County, TN</td>
<td>6,413</td>
<td>1,934</td>
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<td>Morgan County, TN</td>
<td>4,398</td>
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<td>Scott County, TN</td>
<td>5,247</td>
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<td>Union County, TN</td>
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<td>Tennessee</td>
<td>1,468,513</td>
<td>372,139</td>
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<td>United States:</td>
<td>72,788,516</td>
<td>15,701,799</td>
<td>21.6</td>
</tr>
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</table>

Note: This indicator is compared with the state average. Data breakout by demographic groups are not available.

NASCSP Tools

National Association for State Community Services Programs

*A Community Action Guide to Comprehensive Community Needs Assessments*

www.nascsp.org
Community Action Online
Risk Assessment Tool

• www.communityactionpartnership.com

ONLINE TOOLS . . . . .

Click to access information and resources

Click on the logo above to be taken to the National Training Center’s Affiliates Page with the Nonprofit Risk Management Center. This will be your entry page to the various affiliate benefits provided to you through the NRMC and the Community Action Partnership’s National Training Center.

Affiliates have access to various discounted risk management resources as well as a customized risk management tool designed specifically for CSBG eligible entities. The tool may be accessed directly free of charge. The additional resources may be purchased at a discounted rate.

Need help accessing the Affiliate page? Contact us at TTAsupport@communityactionpartnership.com

Get RISK eNews!
Welcome to the Community Action Partnership
Risk Management Portal

POLICIES
My Risk Management Policies
Not Logged In

ASSESSMENT
My Risk Assessment
Not Logged In

We welcome your feedback! Please send us your ideas to improve the functionality or enhance the content of any of these new resources. We are able to add new assessment material, new policy templates, and more, upon request. Reach us at (202) 785-3881 or info@nonprofitrisk.org.
### My Assessment

Each module of your risk assessment is listed below along with its current status. Click on the link corresponding to the module.

You may view your Risk Assessment Report at any time during the assessment process by clicking on the View Report button.

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<th>Risk Assessment Module</th>
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<td>Governance</td>
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<td>Financial Management</td>
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<td>Review</td>
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<tr>
<td>Communication Risks</td>
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<td>Restart</td>
<td>Review</td>
</tr>
<tr>
<td>Service Delivery Risks</td>
<td>Completed</td>
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<td>Review</td>
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<tr>
<td>Protecting Vulnerable Populations</td>
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<td>Restart</td>
<td>Review</td>
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<td>Transportation</td>
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<tr>
<td>Property</td>
<td>Completed</td>
<td>Restart</td>
<td>Review</td>
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### Library

- **6 Tips for Making Risk Management Stick**
- **Getting and Giving References... Safely**
Each paragraph from the Terms of Use template is listed below. Check the box adjacent to the paragraphs you wish to include in your new policy.

Once you save your new policy you may edit it to modify the text and add or remove paragraphs.

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<td>Please Read the Following Terms of Use Carefully:</td>
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<td></td>
<td>{our organization name} respects the privacy of our members and other visitors to this site.</td>
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<td>We want you to know how we handle the information you may provide on this website.</td>
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Community Action Partnership Tools

*Batter Up! Building Your Leadership Bench*

- Community Action Partnership
- Brown, Buckley, Tucker
- Webinar recordings posted

[www.communityactionpartnership.com](http://www.communityactionpartnership.com)

- Resources/Toolkits and Webinars
- National Training Center/Toolkits and Webinars

[www.csbgta.org](http://www.csbgta.org)

- Resource Bank
ELITE

- *Emerging Leaders Institute for Training and Excellence*
- Cohort training model for Emerging Leaders to get some exposure to topic areas
  - Intro and professional development (Levels of Leadership)
  - Public Administration; Financial Management; Human Resource Management; Strategic Planning; Advocacy; Cultural Competency; Performance Management
- Materials online Partnership’s Homepage > Programs > Leadership Development
Community Action Partnership Tools

Audit Essentials: What Every Board Member Needs to Know

Community Action Partnership

- Kevin Myren, CPA
- Webinar recordings posted

www.communityactionpartnership.com

- Resources/Toolkits and Webinars
- National Training Center/Toolkits and Webinars

www.csbgtta.org

- Resource Bank
Community Action Partnership Tools

• **Preparing for Your Community Action Agency’s Future: Sustainability, Succession & Transition**
  
  – Part 1: Organizational Sustainability Planning
  – Part 2: Executive Succession Planning Guide
  – Part 3: Executive Transition Management Guide
  – Community Action Partnership and Transition Guides
  – Webinar recordings posted

• [www.communityactionpartnership.com](http://www.communityactionpartnership.com)
  • Resources/Toolkits and Webinars
  • National Training Center/Toolkits and Webinars

• [www.csbgta.org](http://www.csbgta.org)
  • Resource Bank
Tools Included

Preparing for Your Community Action Agency’s Future

- Organizational Sustainability Mini-Assessment
- **Emergency Backup Succession Plan Template**
- Emergency Backup Plan Detail
- **CEO Succession Policy Template**
- Sample Transition Timeline
- Interim Chief Executive Sample Agreement & Work Plan
- Chief Executive’s Position Profile & Job Announcement Templates
- Nonprofit Job Posting Web Sites
Tools Included (continued)

Preparing for Your Community Action Agency’s Future

- Sample Resume Scoring Sheet
- Sample Phone Screening Questions
- Sample Interview Agenda & Questions
- Sample Interviewee Rating Criteria
- Sample Reference Checking Questions
- Sample Employment Offer Letter
- Sample Regrets Letters to Candidates
- Sample Chief Executive 90-Day Entry Plan
Leadership Development Cycle

*Batter Up! Building Your Leadership Bench*

Make Commitment to Leadership Continuity

Evaluate Individuals and the Program

Identify & Develop Individual Talent

Assess the Present Work and People Needs

Assess the Future Work and People Needs

Establish a Succession Planning Program
Assess Bench Strength By Organization

Batter Up! Developing Your Leadership Bench

Executive Director
- Candidate
  - Ready Now
  - Ready 1-2 YR
  - Ready 3+ YR

Program Manager/CFO/HR
- Candidate
  - Ready Now
  - Ready 1-2 YR
  - Ready 3+ YR

Middle Manager/Unique Skill Positions
- Candidate
  - Ready Now
  - Ready 1-2 YR
  - Ready 3+ YR
CSBG T/TA Resource Center

Let’s Go Online....

www.csbgtta.org
CSBG T/TA Resource Center

- www.csbgtta.org
- Many more toolkits, webinars, and print resources
- Consultant Bank
- Training Calendar
- Discussion Forum
- Shared Calendar
- Individual registrations for Board and Staff
The Excellence Program in Community Action uses the Malcolm Baldrige Criteria for Performance Excellence tailored to the language and operations of the CAA system.
What Are the Standards of Excellence?

- The *Community Action Standards of Excellence* represent 35 of the very best practices of the very best agencies.

- They represent real-world administrative and operational *benchmarks* that every agency can strive for.
The Standards of Excellence
- Seven Categories -

1. Organizational Leadership
2. Strategic Planning and Direction
3. Customer, Constituent, and Partner Focus
5. Human Resource Focus
6. Organizational Process Management
7. Organizational Results
Pathways to Excellence is a Capacity-Building Initiative

- Getting Started at Getting Better – the process starts where you are today
- Diagnostic process using 35 National CAA Standards in a guided Self-Study Process
- Feedback reports identify Strengths and Opportunities for Improvement
You’re Not in this Alone!

Your Pathways team (5-6 people) goes through a comprehensive 2-day training on the Self-Study process and the Standards of Excellence

It Starts With Training
The Pathways Process

- 2 day Self-Study training for your Pathways team
- 9 months to complete the Self-Study, with Partnership Technical Assistance monthly by Web Meeting
- 3 months for the expert peer review and Feedback Report process
CAPLAW Tools

www.caplaw.org

• Tools for Top Notch CAAs
• Exemplary Legal Practices and Policies Guidebook
• Bylaws Toolkit
• Legal Liability Audit
• Introduction to CSBG Training Module
CAPLAW TOOLS

Tools for Top-Notch CAAs: A Practical Approach to Governance and Financial Excellence

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EXEMPLARY LEGAL PRACTICES & POLICIES
GUIDEBOOK

How CAAs Can Cultivate a Culture of Compliance and High Ethical Standards

PART I: Do the Right Thing
SECTION III. HOW CAN CAA LEADERS CULTIVATE A CULTURE OF COMPLIANCE AND HIGH ETHICAL STANDARDS?

Following are 10 actions CAAs leaders can take to ensure compliance and ethical behavior throughout their organizations:

1. Set the “Tone at the Top”
2. Think Globally
3. Put It on Paper
4. Assign Responsibility and Require Accountability
5. Communicate
6. Work with an Attorney
7. Continuously Improve
8. Follow through Promptly and Effectively
9. Trust, but Verify
10. Get Up-to-Speed and Stay Up-to-Date

These actions – which need neither be expensive nor complicated – represent a continuous process that can and should be integrated into the organization’s existing operations. This toolkit describes each of these actions in further detail.
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Organizational Standards for Private and Public CSBG Eligible Entities
CATEGORY ONE: 
Consumer Input and Involvement

• **Standard 1.1** The organization demonstrates low-income individuals’ participation in its activities.

• **Standard 1.2** The organization analyzes information collected directly from low-income individuals as part of the community assessment.

• **Standard 1.3** The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.
Category 1-Public

- Standard 1.1 • public The department demonstrates low-income individuals’ participation in its activities.
- Standard 1.2 • public The department analyzes information collected directly from low income individuals as part of the community assessment.
- Standard 1.3 • public The department has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the tripartite board/advisory body, which may be met through broader local government processes.
CATEGORY TWO: Community Engagement

- **Standard 2.1** The organization has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other antipoverty organizations in the area.

- **Standard 2.2** The organization utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community based organizations, faith-based organizations, private sector, public sector, and educational institutions.

- **Standard 2.3** The organization communicates its activities and its results to the community.

- **Standard 2.4** The organization documents the number of volunteers and hours mobilized in support of its activities.
Category 2-Public

• Standard 2.1 • public The department has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.

• Standard 2.2 • public The department utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.

• Standard 2.3 • public The department communicates its activities and its results to the community.

• Standard 2.4 • public The department documents the number of volunteers and hours mobilized in support of its activities.
CATEGORY THREE: Community Assessment

- **Standard 3.1** The organization conducted a community assessment and issued a report within the past 3 years.

- **Standard 3.2** As part of the community assessment, the organization collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).

- **Standard 3.3** The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.
• **Standard 3.4** The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.

• **Standard 3.5** The governing board formally accepts the completed community assessment.
Category 3-Public

• Standard 3.1 • public The department conducted or was engaged in a community assessment and issued a report within the past 3 years, if no other report exists.

• Standard 3.2 • public As part of the community assessment, the department collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).

• Standard 3.3 • public The department collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.
Category 3-Public

- Standard 3.4 • public The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.

- Standard 3.5 • public The tripartite board/advisory body formally accepts the completed community assessment.
CATEGOR Y FOUR: Organizational Leadership

- **Standard 4.1** The governing board has reviewed the organization’s mission statement within the past 5 years and assured that: 1. The mission addresses poverty; and 2. The organization’s programs and services are in alignment with the mission.

- **Standard 4.2** The organization’s Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.

- **Standard 4.3** The organization’s Community Action plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.
• **Standard 4.4** The governing board receives an annual update on the success of specific strategies included in the Community Action plan.

• **Standard 4.5** The organization has a written succession plan in place for the CEO/ED, approved by the governing board, which contains procedures for covering an emergency/unplanned, short-term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.

• **Standard 4.6** An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.
Category 4-Public

• Standard 4.1 • public The tripartite board/advisory body has reviewed the department’s mission statement within the past 5 years and assured that: 1. The mission addresses poverty; and 2. The CSBG programs and services are in alignment with the mission.

• Standard 4.2 • public The department’s Community Action plan is outcome-based, antipoverty focused, and ties directly to the community assessment.

• Standard 4.3 • public The department’s Community Action plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the department documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.
Category 4-Public

- Standard 4.4 • public The tripartite board/advisory body receives an annual update on the success of specific strategies included in the Community Action plan.

- Standard 4.5 • public The department adheres to its local government’s policies and procedures around interim appointments and processes for filling a permanent vacancy.

- Standard 4.6 • public The department complies with its local government’s risk assessment policies and procedures.
CATEGORY FIVE: Board Governance

• **Standard 5.1** The organization’s governing board is structured in compliance with the CSBG Act: 1. At least one third democratically-selected representatives of the low-income community; 2. One-third local elected officials (or their representatives); and 3. The remaining membership from major groups and interests in the community.

• **Standard 5.2** The organization’s governing board has written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community.

• **Standard 5.3** The organization’s bylaws have been reviewed by an attorney within the past 5 years.

• **Standard 5.4** The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.
• **Standard 5.5** The organization’s governing board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.

• **Standard 5.6** Each governing board member has signed a conflict of interest policy within the past 2 years.

• **Standard 5.7** The organization has a process to provide a structured orientation for governing board members within 6 months of being seated.

• **Standard 5.8** Governing board members have been provided with training on their duties and responsibilities within the past 2 years.

• **Standard 5.9** The organization’s governing board receives programmatic reports at each regular board meeting.
Category 5-Public

- Standard 5.1 • public The department’s tripartite board/advisory body is structured in compliance with the CSBG Act, by either: 1. Selecting the board members as follows: • At least one third are democratically-selected representatives of the low-income community; • One-third are local elected officials (or their representatives); and • The remaining members are from major groups and interests in the community; or 2. Selecting the board through another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.

- Standard 5.2 • public The department’s tripartite board/advisory body either has: 1. Written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community, or 2. Another mechanism specified by the State to assure decision making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.
  
  - Please note under IM 82 for Public Entities the law also requires that a minimum of 1/3 of tripartite board membership be comprised of representatives of low-income individuals and families who reside in areas served.
Category 5-Public

- Standard 5.3 • public Not applicable: Review of bylaws by an attorney is outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.

- Standard 5.4 • public The department documents that each tripartite board/advisory body member has received a copy of the governing documents, within the past 2 years.

- Standard 5.5 • public The department’s tripartite board/advisory body meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its governing documents.
Category 5-Public

• Standard 5.6 • public Each tripartite board/advisory body member has signed a conflict of interest policy, or comparable local government document, within the past 2 years.

• Standard 5.7 • public The department has a process to provide a structured orientation for tripartite board/advisory body members within 6 months of being seated.

• Standard 5.8 • public Tripartite board/advisory body members have been provided with training on their duties and responsibilities within the past 2 years.

• Standard 5.9 • public The department’s tripartite board/advisory body receives programmatic reports at each regular board/advisory meeting.
CATEGORY SIX: Strategic Planning

- **Standard 6.1** The organization has an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years.

- **Standard 6.2** The approved strategic plan addresses reduction of poverty, revitalization of low income communities, and/or empowerment of people with low incomes to become more self-sufficient.

- **Standard 6.3** The approved strategic plan contains family, agency, and/or community goals.
• **Standard 6.4** Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.

• **Standard 6.5** The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.
Category 6-Public

• Standard 6.1 • public The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years. If the department does not have a plan, the tripartite board/advisory body will develop the plan.

• Standard 6.2 • public The approved strategic plan, or comparable planning document, addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.

• Standard 6.3 • public The approved strategic plan, or comparable planning document, contains family, agency, and/or community goals.
Category 6-Public

• Standard 6.4 • public Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process, or comparable planning process.

• Standard 6.5 • public The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.
CATEGOR Y SEVEN: 
Human Resource Management

• **Standard 7.1** The organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.

• **Standard 7.2** The organization makes available the employee handbook (or personnel policies in cases without a handbook) to all staff and notifies staff of any changes.

• **Standard 7.3** The organization has written job descriptions for all positions, which have been updated within the past 5 years.

• **Standard 7.4** The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.
Human Resource Management CONT.

• **Standard 7.5** The governing board reviews and approves CEO/executive director compensation within every calendar year.

• **Standard 7.6** The organization has a policy in place for regular written evaluation of employees by their supervisors.

• **Standard 7.7** The organization has a whistleblower policy that has been approved by the governing board.

• **Standard 7.8** All staff participate in a new employee orientation within 60 days of hire.

• **Standard 7.9** The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.
Category 7-Public

• Standard 7.1 • public Not applicable: Local governmental personnel policies are outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.

• Standard 7.2 • public The department follows local governmental policies in making available the employee handbook (or personnel policies in cases without a handbook) to all staff and in notifying staff of any changes.

• Standard 7.3 • public The department has written job descriptions for all positions. Updates may be outside of the purview of the department.

• Standard 7.4 • public The department follows local government procedures for performance appraisal of the department head.
Category 7-Public

- Standard 7.5 • public The compensation of the department head is made available according to local government procedure.

- Standard 7.6 • public The department follows local governmental policies for regular written evaluation of employees by their supervisors.

- Standard 7.7 • public The department provides a copy of any existing local government whistleblower policy to members of the tripartite board/advisory body at the time of orientation.

- Standard 7.8 • public The department follows local governmental policies for new employee orientation.

- Standard 7.9 • public The department conducts or makes available staff development/training (including ROMA training) on an ongoing basis.
• **Standard 8.1** The Organization’s annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with Title 2 of the Code of Federal Regulations, Uniform Administration Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.

• **Standard 8.2** All findings from the prior year’s annual audit have been assessed by the organization and addressed where the governing board has deemed it appropriate.

• **Standard 8.3** The organization’s auditor presents the audit to the governing board.

• **Standard 8.4** The governing board formally receives and accepts the audit.

• **Standard 8.5** The organization has solicited bids for its audit within the past 5 years.
Financial Operations and Oversight CONT.

• **Standard 8.6** The IRS Form 990 is completed annually and made available to the governing board for review.

• **Standard 8.7** The governing board receives financial reports at each regular meeting that include the following: 1. Organization-wide report on revenue and expenditures that compares budget to actual, categorized by program; and 2. Balance sheet/statement of financial position.

• **Standard 8.8** All required filings and payments related to payroll withholdings are completed on time.

• **Standard 8.9** The governing board annually approves an organization-wide budget.
Financial Operations and Oversight CONT.

- **Standard 8.10** The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.

- **Standard 8.11** A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.

- **Standard 8.12** The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.

- **Standard 8.13** The organization has a written policy in place for record retention and destruction.
• Standard 8.1 • public The department’s annual audit is completed through the local governmental process in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements. This may be included in the municipal entity’s full audit.

• Standard 8.2 • public The department follows local government procedures in addressing any audit findings related to CSBG funding.

• Standard 8.3 • public The department’s tripartite board/advisory body is notified of the availability of the local government audit.

• Standard 8.4 • public The department’s tripartite board/advisory body is notified of any findings related to CSBG funding.
Category 8-Public

- **Standard 8.5 • public** Not applicable: The audit bid process is outside of the purview of tripartite board/advisory body therefore this standard does not apply to public entities.

- **Standard 8.6 • public** Not applicable: The Federal tax reporting process for local governments is outside of the purview of tripartite board/advisory body therefore this standard does not apply to public entities.

- **Standard 8.7 • public** The tripartite board/advisory body receives financial reports at each regular meeting, for those program(s) the body advises, as allowed by local government procedure.

- **Standard 8.8 • public** Not applicable: The payroll withholding process for local governments is outside of the purview of the department, therefore this standard does not apply to public entities.
Category 8-Public

- Standard 8.9 • public The tripartite board/advisory body has input as allowed by local governmental procedure into the CSBG budget process.

- Standard 8.10 • public Not applicable: The fiscal policies for local governments are outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.

- Standard 8.11 • public Not applicable: Local governmental procurement policies are outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.

- Standard 8.12 • public Not applicable: A written cost allocation plan is outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.

- Standard 8.13 • public The department follows local governmental policies for document retention and destruction.
CATEGORY NINE: Data and Analysis

- **Standard 9.1** The organization has a system or systems in place to track and report client demographics and services customers receive.

- **Standard 9.2** The organization has a system or systems in place to track family, agency, and/or community outcomes.

- **Standard 9.3** The organization has presented to the governing board for review or action, at least within the past 12 months, an analysis of the agency’s outcomes and any operational or strategic program adjustments and improvements identified as necessary.

- **Standard 9.4** The organization submits its annual CSBG Information Survey data report and it reflects client demographics and organization-wide outcomes.
Category 9-Public

• Standard 9.1 • public The department has a system or systems in place to track and report client demographics and services customers receive.

• Standard 9.2 • public The department has a system or systems in place to track family, agency, and/or community outcomes.

• Standard 9.3 • public The department has presented to the tripartite board/advisory body for review or action, at least within the past 12 months, an analysis of the agency’s outcomes and any operational or strategic program adjustments and improvements identified as necessary.

• Standard 9.4 • public The department submits its annual CSBG Information Survey data report and it reflects client demographics and organization-wide outcomes.