



Organizational Standards “Quick Guide” Tool

Category 1: Consumer Input and Involvement		TA Guide 1
Purpose of this Category: <ul style="list-style-type: none"> Reflect on current recruitment and engagement efforts of low-income individuals in agency activities Ensure that the voice of low-income people is heard, and their opinions are included in the larger review of community needs and resources Improve strategies for seeking, collecting, analyzing, and utilizing customer feedback in agency activities and work with their boards 		
O.S. 1.1- The organization demonstrates low-income individuals’ participation in its activities.		
How to Meet this Standard: Documentation must demonstrate the CAA’s focus on maximum feasible participation by utilizing the participation of low-income individuals in organizational activities.	Example Documentation: <ul style="list-style-type: none"> Participation lists, group documents, and minutes from advisory bodies. Volunteer recruitment materials, and tracking/sign-in documents Board recruitment documents, including solicitation materials, and board roster Board minutes documenting conversations about recruitment and the involvement of low-income individuals in activities 	Review annually. Best Practice: CAA should upload more than just board rosters to meet this Standard. Documents showing low-income individuals’ participation, like volunteer logs or committees with low-income individuals will be requested in the future.
O.S. 1.2- The organization analyzes information collected directly from low-income individuals as part of the community assessment.		
How to Meet this Standard: Documentation must demonstrate (1) low-income individuals were consulted directly, (2) this was a part of the community assessment process, AND (3) the agency analyzed the collected information.	Example Documentation: <ul style="list-style-type: none"> Interview transcripts with low-income during CNA process Notes from community forums or focus groups that included low-income individuals Methodology section of CNA that details low-income participation in data collection Key findings or recommendations of CNA Board minutes discussing analysis of data collected from low-income individuals 	Review every 3 years. Helpful Resource: BCAEO CNA Resource Library Best Practice: CAA should collect data from the broader low-income communities served, not just their clients.
O.S. 1.3- The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.		
How to Meet this Standard: Documentation must demonstrate (1) there is a system and strategy in place, (2) the data is collected and analyzed, AND (3) the data is reported to the governing board.	Example Documentation: <ul style="list-style-type: none"> CAA’s customer satisfaction policy and/or procedures Schedule for customer satisfaction data collection Customer satisfaction report with data to be shared with the organization’s leadership, the board, or the community Board minutes where the customer satisfaction report was shared and discussed 	Review annually. Sample Documentation: (1) 5CAP Survey Procedure (2) WMCAA Survey Report (3) HDC Survey Presentation Best Practice: CAA should have a written demonstrated system or strategy in place of how customer satisfaction data is collected and analyzed annually.

Purpose of this Category:

- Awareness of available resources in the community
- Opportunity to strengthen community resource coordination and to decrease service duplication
- Preparation for the next needs assessment
- Increased opportunity for the entire community to “own a stake” in its growth/development
- More leveraging opportunities and increased return on investment (ROI)

O.S. 2.1- The organization has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.

<p>How to Meet this Standard: Documentation must provide (1) a list of the CAA’s primary partnerships, (2) the purpose of each of those partnerships, AND (3) proof of partnerships with other anti-poverty organizations.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • MOUs, contracts, agreements, documented outcomes, coalition membership, etc. • Partnerships with other anti-poverty organizations in the area. • Partnerships across the community • Annual Report showing partnerships along with documentation showing what the partnerships will entail or achieve 	<p>Review annually.</p> <hr/> <p>Best Practice: CAA should review their list of partnerships to ensure they accurately reflect activities across the entirety of their service area.</p>
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O.S. 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.

<p>How to Meet this Standard: Documentation must demonstrate the CAA (1) gathered information during the CNA or at other times from, at minimum, community-based, faith-based, private, public, and educational sectors AND (2) used the information to assess needs and resources.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • List of stakeholders organized by sector used in data collection process of CNA • List of stakeholders organized by sector used in data collection process of Strategic Plan • Examples of data collection methodology and how data was used to assess needs and resources 	<p>Review every 3 years.</p> <hr/> <p>Helpful Resource: BCAEO CNA Resource Library</p> <hr/> <p>Best Practice: CAA should ensure information was gathered from at least the five sectors mentioned.</p>
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O.S. 2.3- The organization communicates its activities and its results to the community.

<p>How to Meet this Standard: Documentation must demonstrate the CAA communicates both its activities and results to the community.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • CAA annual impact report • Documentation of social media activity (Facebook page, Twitter account, etc.) • Media files of stories published • News release copies • Community event information • Communication plan 	<p>Review annually.</p> <hr/> <p>Sample Documentation: MMCAA Communications Plan</p> <hr/> <p>Best Practice: CAA should use a variety of methods to communicate with different audiences.</p>
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O.S. 2.4- The organization documents the number of volunteers and hours mobilized in support of its activities.

<p>How to Meet this Standard: Documentation must show (1) the number of volunteers AND (2) the number of hours those volunteers provided in support of its activities.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Volunteer sign-up sheets • Database records tracking volunteers • Agendas, minutes, schedules, and logs from activities and events to estimate volunteer hours involved 	<p>Review annually.</p> <hr/> <p>Best Practice: If CAA tracks the number of volunteers but not the hours donated, then CAA should consider sampling a subset of volunteers across activities to estimate overall number of hours donated.</p>
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Purpose of this Category:

- Preparation for the next needs assessment
- Support for updating needs assessment results and activities related to their use
- Building staff capacity to design, conduct, and use the needs assessment
- Integration of the ROMA cycle into the needs assessment process

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

How to Meet this Standard:

Documentation must (1) confirm a CAA has completed a CNA in the last three years AND (2) confirm it has issued a report.

Example Documentation:

- Community Needs Assessment report
- Confirmation of date CNA was completed
- CNA’s executive summary stating issuance
- Board minutes on CNA report’s release
- Confirmation of date CNA was issued

Review every 3 years.

Helpful Resources:

- [BCAEO CNA 101](#)
- [BCAEO Data Hub](#)
- [BCAEO CNA Resource Library](#)

O.S. 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).

How to Meet this Standard:

Documentation must (1) confirm collection of poverty data regarding gender, age, and race/ethnicity (2) confirm the included data is current, AND (3) confirm the collected data is representative of the service area.

Example Documentation:

- Headers in CNA denoting poverty among different genders, ages, and race/ethnicities
- Footnote/in-text citations noting where stats or quotes came from and what year
- Data shown on maps
- Tables showing poverty demographic stats by county

Review every 3 years.

Best Practice: CNA should compare demographic data for a CAA’s current customers with data from the broader service area.

O.S. 3.3- The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.

How to Meet this Standard:

Documentation must show (1) data collection procedures, (2) data analysis procedures, (3) quantitative and qualitative data, AND (4) coverage of the service area.

Example Documentation:

- List of all data collection methods used in CNA
- Descriptions of processes used to analyze data
- CNA report
- List of data sources covering entire service area

Review every 3 years.

Best Practice: Developing a specific section within the CNA on methodology of data collection and analysis is ideal.

O.S. 3.4- The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.

How to Meet this Standard:

Documentation must ensure the CNA includes both a description of the conditions of poverty in the CAA’s service area and an analysis of its underlying causes.

Example Documentation:

- Section in the final CNA report titled “key findings” that outlines prioritized needs as analyzed in the report, level of need (family/agency/community), and causes associated with the needs
- CNA committee or team minutes reflecting discussion and analysis of poverty statistics and conditions

Review every 3 years.

Best Practice: Developing a specific section within the CNA on key findings of the community’s needs is ideal.

O.S. 3.5- The governing board formally accepts the completed community assessment.

How to Meet this Standard:

Documentation must confirm formal acceptance of the board review, analysis, and use of the CNA as part of the ROMA cycle.

Example Documentation:

- Board minutes showing action and approval of the CNA
- CNA report with date issued confirming timeframe

Review every 3 years.

Best Practice: The board uses the CNA as foundation for a variety of other work, so it is essential members discuss its findings and how they affect the CAA.

This category includes several different processes that do not fit neatly into another category. Overall, the **Purpose of this Category** is to ensure CAAs have leadership and management processes in place to meet the current and future needs of the organization.

O.S. 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 CAA’s programs and services are in alignment with the mission.

<p>How to Meet this Standard: Documentation must show the board has reviewed the mission statement (1) within the past 5 years, (2) assured the mission addresses poverty, AND (3) services offered are in alignment with the mission.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Board minutes showing review of mission statement and that the Standard’s requirements were met • Strategic Plan that includes the mission statement, the process of review, and other comments • The mission statement itself with Board review date noted 	<p>Review every 5 years.</p>
		<p>Helpful Resource: CAPLAW Mission Possible</p>
		<p>Sample Documentation: Macomb Mission Update SMCAA Mission Update</p>
		<p>Best Practice: Written policies and procedures will formalize the mission review process and make it easier to plan for and document the review.</p>

O.S. 4.2- The CAA’s Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.

<p>How to Meet this Standard: Documentation must show the Community Action Plan is (1) outcome-based, (2) anti-poverty focused, AND (3) tied to the CNA.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Community Action Plan (BCAEO template) • Logic Models associated with CSBG programs • Section of CNA discussing how it connects to the Community Action Plan 	<p>Review annually.</p>
		<p>Sample Documentation: BCAEO CAP Plan Template</p>

O.S. 4.3- The CAA’s Community Action plan and strategic plan document the continuous use of the full ROMA cycle. In addition, the CAA documents having used the services of a ROMA certified trainer or equivalent to assist in implementation.

<p>How to Meet this Standard: Documentation must demonstrate all elements of the ROMA cycle (assessment, planning, implementation, achievement of results, and evaluation) are complete at time of review.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • BCAEO O.S. 4.3 Form • Documentation of ROMA NCRP on staff that is involved in the Strategic Plan and/or Community Action Plan • Documentation if discussions with ROMA NCRP outside the agency • Strategic planning documenting ROMA cycle 	<p>Review annually.</p>
		<p>Sample Documentation: BCAEO Fillable OS 4.3 Form <i>* ROMA NCRP will reach out to the CAA if a desire is identified on this form.</i></p>

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

<p>How to Meet this Standard: Documentation must show receipt by the board of an update on success of strategies for the current FY’s Community Action Plan.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Board packet or minutes documenting update on strategies in the CSBG Community Action Plan • Community Action Plan report or update document 	<p>Review annually.</p>
		<p>Sample Documentation: BHK Mid-Year Outcome Update BWCA ROMA Dashboard Kent Performance Presentation</p>
		<p>Best Practice: Develop a scorecard that compiles key outputs and outcomes across programs to track progress of the Community Action Plan.</p>

<p>O.S. 4.5- The CAA has a written succession plan in place for the CEO/ED, approved by the governing board, which contains procedures for covering an emergency or unplanned, short-term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.</p>		
<p>Public: The department adheres to its local government’s policies and procedures around interim appointments and processes for filling a permanent vacancy.</p>		
<p>How to Meet this Standard: Documentation must show the succession plan (1) covers the CEO/ED position, (2) is approved by the governing board, (3) covers an unplanned short absence, AND (4) includes a process for filling a permanent vacancy.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Succession plan documenting all required elements • Board minutes showing approval 	<p>Maintain Review.</p>
		<p>Sample Documentation: Allegan Executive Director Succession Plan DICSA Key Staff Succession Plan</p>
		<p>Best Practice: Develop a succession plan with language directly from the TA Guide on Standard 4.5.</p>
<p>O.S. 4.6- An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.</p>		
<p>Public: The department complies with its local government’s risk assessment policies and procedures.</p>		
<p>Private CAA How to Meet this Standard: Documentation must show (1) that an agency-wide and comprehensive risk assessment be conducted within the prescribed time frame AND (2) that it has been reported to the board.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Risk assessment and report • Board minutes on report and discussion • (Public) Local government policies and procedures on risk assessment and/or management • (Public) Narrative on how CAA adheres to local policies along with necessary documentation (i.e. results of a risk assessment process) 	<p>Review every 2 years.</p>
		<p>Helpful Resource: NCAP and the Nonprofit Risk Management Center have a customized tool with risk assessment questions that automates a risk report: My Risk Assessment Tool.</p>
<p>Public CAA How to Meet this Standard: Documentation must show (1) local government policies and procedures AND (2) evidence that it complies with them.</p>		<p>Sample Documentation: HDC Risk Assessment Checklist OLHSA Risk Management Log SMCAA Report to Board</p>

As a condition of designation, the CSBG Act of 1998 requires private and public entities to administer their CSBG program through tripartite boards. The **Purpose of this Category** is these tripartite boards “fully participate in the development, planning, implementation, and evaluation of the program to serve low-income communities.”

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

How to Meet this Standard: Documentation must show the board structure complies with the CSBG Act.	Example Documentation: <ul style="list-style-type: none"> • Board member roster showing sectors • Bylaws showing board structure • Board meeting minutes 	Maintain Review.
		Helpful Resource: CAPLAW Bylaws Toolkit CAPLAW Making Board Meetings Matter
		Best Practice: Develop a board structure section in the bylaws that uses direct language from IM 82.

O.S. 5.2- The CAA’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.

How to Meet this Standard: Documentation must show a written procedure of a democratic selection process for low-income board members.	Example Documentation: <ul style="list-style-type: none"> • Written policy, manual, or bylaws that document the democratic selection process • Board roster • Board minutes discussing democratic selection process 	Maintain Review.
		Best Practice: Keep this process straightforward and not too complex. TA Guide 5.2 offers good examples of such procedures.

O.S. 5.3- The organization’s bylaws have been reviewed by an attorney within the past 5 years.

How to Meet this Standard: Documentation must show the bylaws have been reviewed by an attorney within the past 5 years.	Example Documentation: <ul style="list-style-type: none"> • A copy of the invoice for review services • A letter from the attorney stating a review was completed • A copy of the review from the attorney • Board minutes documenting the board’s discussion of the review 	Review every 5 years. Not applicable to public agencies.
		Best Practice: Though the Standard does not specify the type of attorney, one with experience with nonprofits and board governance is recommended.

O.S. 5.4- The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.

How to Meet this Standard: Documentation must show every seated board member has received a copy of the bylaws within the past 2 years.	Example Documentation: <ul style="list-style-type: none"> • Board minutes documenting bylaw distribution • Board receipt of bylaws such as a sign in list at meeting where bylaws were distributed or email receipt confirmations • Excel file with date of receipt 	Review every 2 years.
		Sample Documentation: BCAEO Board Tracker Template
		Best Practice: Create an Excel spreadsheet with all board members’ names and the dates of their receipt of bylaws.

O.S. 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.		
How to Meet this Standard: Documentation must show the board (1) met the number of meetings with (2) quorum AND (3) filled vacancies as set in the CAA’s bylaws.	Example Documentation: <ul style="list-style-type: none"> • Bylaws showing language • Board meeting schedule/calendar • Board rosters 	Review annually.
O.S. 5.6- Each governing board member has signed a conflict of interest (COI) policy within the past 2 years.		
How to Meet this Standard: Documentation must show every seated board member has signed a COI within the past 2 years.	Example Documentation: <ul style="list-style-type: none"> • Board minutes documenting COI distribution • Board receipt of COI form • Excel file with date of board signatures 	Review every 2 years.
		Helpful Resources: CAPLAW Dealing with COI CAPLAW Resource Library
		Sample Documentation: BCAEO Board Tracker Template MDS Conflict of Interest Form
		Best Practice: Create an Excel spreadsheet with all board members’ names and the dates of their COI signatures.
O.S. 5.7- The organization has a process to provide a structured orientation for governing board members within 6 months of being seated.		
How to Meet this Standard: Documentation must show a structured orientation is provided to each board member within 6 months of being seated.	Example Documentation: <ul style="list-style-type: none"> • Documentation of process for board orientation (board policy or procedure manual) • Sign in sheet for orientation • Excel sheet showing date of orientation 	Review annually.
		Sample Documentation: AMCAB Board Member Guide BCAEO Board Tracker Template GCCARD Orientation Invitation
		Best Practice: Create an Excel spreadsheet with all board members’ names and the dates of their term start and orientation dates.
O.S. 5.8- Governing board members have been provided with training on their duties and responsibilities within the past 2 years.		
How to Meet this Standard: Documentation must show board training on members’ duties and responsibilities was provided within the past 2 years.	Example Documentation: <ul style="list-style-type: none"> • Sign in sheet and curriculum used for training • Board minutes documenting training occurred and names of those attending • Registration and training materials from a conference board members attended • Links to recorded trainings board viewed with an email from each member stating they viewed the presentation 	Review every 2 years.
		Helpful Resources: CAPLAW Resource Library
		Sample Documentation: BCAEO Board Tracker Template HDC Board Training Attendance
		Best Practice: Create an Excel spreadsheet with all board members’ names, dates of trainings, and title/information of training content.
O.S. 5.9- The organization’s governing board receives programmatic reports at each regular board meeting.		
How to Meet this Standard: Documentation must show the board receives programmatic reports at every regular meeting.	Example Documentation: <ul style="list-style-type: none"> • Board minutes reflecting the reports have been provided • Program Report template • Statement from agency on how program reports are shared 	Review annually.
		Sample Documentation: CACS Programmatic Report SMCAA Programmatic Report

Purpose of this Category:

- Improve the agency’s implementation of the ROMA framework
- Better connect existing and future strategic plans with the CNA and CAP
- Strengthen the monitoring and evaluation process for the current strategic plan
- Identify ways to better integrate the current strategic plan into the routine management and operational processes of the agency

O.S. 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.

<p>How to Meet this Standard: Documentation must demonstrate (1) completion of an agency-wide strategic plan within the past five years, AND (2) that the full board has formally approved the strategic plan.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Strategic Plan • Board minutes documenting approval of the plan 	<p>Review every 5 years.</p> <p>Helpful Resources: NCAP Strategic Plan Toolkit NCAP Strategic Plan Video</p>
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O.S. 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

<p>How to Meet this Standard: Documentation must include any illustration of how the CAA’s strategic plan addresses the three (3) elements stated.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Strategic plan showing at least one objective in the standard • A short section in the strategic plan or a similar summary statement that clearly explains how one or more of the strategic plan goals directly addresses one or more of the three objectives 	<p>Review every 5 years.</p> <p>Best Practice: Develop a theory of change, which articulates how a CAA believes its work should ideally result in improved outcomes for the community served.</p>
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O.S. 6.3- The approved strategic plan contains family, agency, and/or community goals.

<p>How to Meet this Standard: Documentation must explicitly point to a family, agency, or community goal.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • A copy of any strategic plan objective that explicitly includes a family, agency, or community goal 	<p>Review every 5 years.</p> <p>Best Practice: Explicitly label each strategic plan objective as a family, agency, and/or community goal.</p>
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O.S. 6.4- Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.

<p>How to Meet this Standard: Documentation must include (1) evidence that customer satisfaction and input is gathered as part of the CNA, AND (2) illustration of how it is included in the strategic planning process.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • The appropriate section from the needs assessment that includes customer feedback data • A section of the strategic plan (e.g., a process description) or summary that describes how the customer feedback data was used 	<p>Review every 5 years.</p> <p>Best Practice: CAA may add annual client satisfaction survey data and/or reports as appendices to its strategic plan.</p>
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O.S. 6.5- The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.

<p>How to Meet this Standard: Documentation must include (1) the update to the board within the past year, AND (2) confirmation that progress on all strategic plan goals was received by the board.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Board minutes indicating the update was provided within the last year • Items addressed by the update that show progress towards the strategic plan goals was provided 	<p>Review annually.</p> <p>Sample Documentation: GCCARD Strategic Scorecard MDS Narrative Update SMCAA Strategic Scorecard</p> <p>Best Practice: Develop a scorecard on the goals of the strategic plan and update it each year to be presented.</p>
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Purpose of this Category:

Preparation for succession, promotions, hiring, and planned or unplanned staff turnover; Support for changing employment law and regulatory updates; Building governance, leadership, and supervisor capacity to effectively plan and manage HR policy and procedures; and Integration of the ROMA cycle into organization-wide training and development

O.S. 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.

<p>How to Meet this Standard: Documentation must include (1) written personnel policies, (2) review of policies by an attorney, AND (3) approval by the board all within the past 5 years.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Written personnel policies that include review/edit dates and approval dates from an attorney and the governing board, respectively • A statement or invoice from the attorney reflecting the review • Minutes confirming the board formally considered and approved the personnel policies 	<p>Review every 5 years. Not applicable to public agencies.</p> <hr/> <p>Helpful Resources: CAPLAW Working with Attorneys</p>
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O.S. 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.

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 all changes.

<p>Private CAA How to Meet this Standard: Documentation must include (1) personnel policies, (2) a process for notifying staff of updates, AND (3) the location and availability of such policies.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Written personnel policies that include a signatory page • Process or procedure document for staff communication (may be included with the handbook/policies) • Documentation of location and availability of policies • Samples of agency communication of policy change notification to staff 	<p>Maintain Review.</p> <hr/> <p>Sample Documentation: NEMCSA Policy Update Email to Staff</p>
<p>Public CAA How to Meet this Standard: Documentation must show (1) copy of policy from parent agency on the communication of personnel policies and updates AND (2) the CAA follows that policy.</p>		<p>Best Practice: All staff, at levels in all part of the CAA, need to receive a written or electronic copy of the personnel policies and any updates as they occur.</p>

O.S. 7.3- The organization has written job descriptions for all positions, which have been updated within the past 5 years.

<p>How to Meet this Standard: Documentation must ensure direction and accountability of all staff through standardized and up to date (within the past 5 years) written job descriptions.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Organizational chart(s) with role titles • Standard job description template • Dated board minutes noting documents have been updated • Excel list with all job descriptions listed as well as the date last updated 	<p>Review every 5 years.</p>
		<p>Sample Documentation: DICSA Position Update List</p>
		<p>Best Practice: Create an Excel spreadsheet with all role titles and dates of last update.</p>

O.S. 7.4- The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.		
Public: The department follows local governmental procedures for performance appraisal of the department head.		
Private CAA How to Meet this Standard: Documentation must show action by board on performance appraisal of CEO/ED such as a motion noted in minutes.	Example Documentation: <ul style="list-style-type: none"> • Policy/procedure pertaining to performance appraisal of the CEO/executive director • Performance appraisal sign-off • Blank appraisal forms • Board minutes or resolutions • Official board communication to the executive or to the agency • Executive employment contract 	Review annually.
Public CAA How to Meet this Standard: Documentation must include (1) a policy/procedure is in place by the parent agency or municipality AND (2) that the department followed that procedure.		Best Practice: Board minutes should explicitly state a performance appraisal has been conducted on the CEO/executive director within the monitored FY.
O.S. 7.5- The governing board reviews and approves CEO/executive director compensation within every calendar year.		
Public: The compensation of the department head is made available according to local government procedure.		
Private CAA How to Meet this Standard: Documentation must show action by board on compensation of CEO/ED such as a motion noted in minutes.	Example Documentation: <ul style="list-style-type: none"> • Policy/procedure pertaining to CEO/executive director compensation • Where salary information is posted • Board minutes or resolutions • Official board communication to the executive or to the agency • Executive employment contract • Raw market data collected for compensation comparison 	Review annually.
Public CAA How to Meet this Standard: Documentation must include (1) a policy/procedure is in place by the parent agency or municipality AND (2) that the department followed that procedure.		Best Practice: Board minutes should explicitly state that compensation has been reviewed for the CEO/executive director within the monitored FY.
O.S. 7.6- The organization has a policy in place for regular written evaluation of employees by their supervisors.		
Public: The department follows local governmental policies for regular written evaluation of employees by their supervisors.		
How to Meet this Standard: Documentation must show evaluation policy.	Example Documentation: <ul style="list-style-type: none"> • Evaluation Policy (may be part of a larger personnel policy) • (Public) Local procedure and evidence CAA follows it 	Maintain Review.
		Best Practice: Include an evaluation policy within personnel polices that explicitly state each employee receives regular written performance evaluation by their supervisors.
O.S. 7.7- The organization has a whistleblower policy that has been approved by the governing board.		
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.		
Private CAA How to Meet this Standard: Documentation must include (1) the policy with anti-retaliation language AND (2) approval by the governing board.	Example Documentation: <ul style="list-style-type: none"> • Whistleblower policy • Board minutes • Board pre-meeting materials/packet 	Maintain Review.
Public CAA How to Meet this Standard: Documentation must show (1) the tripartite board or advisory body was provided a copy of an existing policy AND (2) receipt occurs during the orientation process.		Helpful Resource: CAPLAW Adopting a Whistleblower Policy

O.S. 7.8- All staff participate in a new employee orientation within 60 days of hire.

<p>How to Meet this Standard: Documentation must be (1) a policy related to orientation; and (2) dated documentation in HR files noting attendance.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Personnel Policies or Employee Handbook • Orientation checklist(s) • Orientation presentation or materials • Sampling of HR/personnel files for documentation of attendance 	<p>Maintain Review.</p>
		<p>Sample Documentation: (1) CAASCM New Employee Orientation Process (2) SCAP Orientation Checklist (2) OLHSA New Hire Acknowledgement Form</p>
		<p>Best Practice: Create a narrative stating the CAA's orientation process and that it occurs within 60 days of hire.</p>

O.S. 7.9- The organization conducts or makes available staff development or training (including ROMA) on an ongoing basis.

<p>How to Meet this Standard: Documentation must show training was conducted or made available and the offerings included ROMA.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Training plan(s) • Documentation of trainings: presentations, evaluations, attendee lists • Documentation of attendance at offsite training/events/conferences 	<p>Review annually.</p>
		<p>Sample Documentation: NMCAA Training and Professional Development Policy</p>

This category focuses on the financial management of a CAA in a prudent manner. Overall, the **Purpose of this Category** is to set the standard that sound financial management of an agency is required to appropriately steward the use of public resources. Meeting this category’s standards means an agency is saying, “The wise use of financial resources today helps sustain financial resources into the future.” *Please note there are no Sample Documents found in Category 8.*

O.S. 8.1- The Organization’s annual audit (or audited financial statements) is completed by a CPA 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.

Public: This may be included in the municipal entity’s full audit.

<p>How to Meet this Standard: Documentation must (1) confirm CAA has completed an audit, AND (2) has filed the report in a timely manner.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Audit report and related information • Electronic “receipt” from the Federal Clearinghouse showing date audit report was submitted was within 9-month deadline • Letter or correspondence from state agency acknowledging receipt of audit within 9-month deadline 	<p>Review annually.</p>
		<p>Required as of FY22: Screenshot or electronic receipt from the Federal Audit Clearinghouse showing date of audit report.</p>

O.S. 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.

Public: The department follows local government procedures in addressing any audit findings related to CSBG funding.

<p>How to Meet this Standard: (A) Documentation confirms the annual audit had “no findings”. OR (B) Documentation must (1) confirm CAA has assessed audit findings AND (2) reviewed its corrective action plan with the governing board.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Documentation of “no findings” • A physical or electronic copy of the corrective action plan(s) that have been prepared in response to any audit findings • Board minutes indicating the response by management to the audit findings and indicating the board’s acceptance of its corrective action plan(s) 	<p>Review annually.</p>
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O.S. 8.3- The organization’s auditor presents the audit to the governing board.

<p>How to Meet this Standard: Documentation must demonstrate the auditor’s presentation of the audit to the board.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Board Minutes with highlights of the discussion. • Printed or electronic copy of a PowerPoint or similar type presentation presented to the Board 	<p>Review annually.</p>
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O.S. 8.4- The governing board formally receives and accepts the audit.

Public: The department’s tripartite board/advisory body is notified of any findings related to CSBG findings.

<p>How to Meet this Standard: Documentation must show the board’s receipt and acceptance of audit.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Board minutes indicating receipt and acceptance of the audit 	<p>Review annually.</p>
		<p>Helpful Resource: CAPLAW Improving a CAA’s Financial Capacity</p>

O.S. 8.5- The organization has solicited bids for its audit within the past 5 years.

<p>How to Meet this Standard: Documentation must show (1) the request for proposals for audit services, (2) responses from CPA firms to the request, AND (3) scoring grid or evaluation sheet to document review of the proposals.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • A copy of the RFP prepared by agency and submitted to potential providers of audit services • Responses from the replying CPA firms to the RFP • Scoring grid or evaluation sheet by the entity’s personnel responsible for review of the proposals 	<p>Review every 5 years. Not applicable to public agencies.</p>
		<p>Best Practice: It is important for documentation to show all three (3) requirements to meet this Standard.</p>

O.S. 8.6- The IRS Form 990 is completed annually and made available to the governing board for review.		
How to Meet this Standard: Documentation must (1) confirm CAA has prepared Form 990 AND (2) made the form available for board review.	Example Documentation: <ul style="list-style-type: none"> • Form 990 for FY being monitored • Board minutes documenting review of Form 990 	Review annually. Not applicable to public agencies.
O.S. 8.7- The governing board receives financial reports at each regular meeting that include (1) agency-wide report on revenue and expenditures that compares budget to actual, categorized by programs; and (2) balance sheet/statement of financial position.		
Public: The tripartite board/advisory body receives financial reports at each regular meeting for those programs the body advises as allowed by local government procedure.		
How to Meet this Standard: Documentation must show financial reports with stated elements are provided to board at every meeting.	Example Documentation: <ul style="list-style-type: none"> • Board minutes reflecting the reports have been provided • Financial Report template that fulfills Standard's requirements • Statement from agency on how financial reports are shared 	Review annually. Helpful Resource: CAPLAW Financial Statements
O.S. 8.8- All required filings and payments related to payroll withholdings are completed on time.		
How to Meet this Standard: Documentation must demonstrate all required forms and remittances are submitted for Standard to be in full compliance.	Example Documentation: <ul style="list-style-type: none"> • Payroll tax returns • Copies of checks or other documentation showing that amounts due were paid • Retirement plan documentations • Submittal forms to the retirement plan • Flexible health spending or other similar plan documents • Required flexible health spending or other similar plan document submittal forms 	Review annually. Not applicable to public agencies. Best Practice: This Standard requires full compliance to meet. Develop a list of all required forms and samples that each is met on time. Form 941s are good documents to fulfill this Standard.
O.S. 8.9- The governing board annually approves an organization-wide budget.		
Private CAA How to Meet this Standard: Documentation must include (1) the agency-wide budget, and (2) evidence that the board has approved the agency-wide budget.	Example Documentation: <ul style="list-style-type: none"> • A copy of agency-wide budget • Minutes of board meeting with approval action • (Public) A copy of the local procedures for tripartite board participation in CSBG budget process • (Public) Recommendations submitted to the local government from tripartite board/advisory body • (Public) Budget meetings attended • (Public) Minutes from board meetings 	Review annually.
Public CAA How to Meet this Standard: Documentation must include (1) the local gov. procedure for tripartite board/advisory body participation in the CSBG budget process, AND (2) evidence that the tripartite board/advisory body participated to the extent allowed.		Helpful Resource: CAPLAW Creating the Annual Operating Budget

O.S. 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.		
How to Meet this Standard: Documentation must (1) confirm CAA has fiscal policies, (2) staff has reviewed the policies within the past 2 years, AND (3) the board has approved the updates and changes.	Example Documentation: <ul style="list-style-type: none"> • A copy of the fiscal policies • Minutes from the staff committee charged with reviewing the policies • Policies document with suggested changes and red lines throughout • Policy manual with review date indicated on the cover • Board minutes showing approval 	Review every 2 years. Not applicable to public agencies.
O.S. 8.11- A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.		
How to Meet this Standard: Documentation must (1) confirm CAA has a procurement policy, AND (2) the board has reviewed the policy.	Example Documentation: <ul style="list-style-type: none"> • A copy of the procurement policy • Board minutes documenting review 	Review every 5 years. Not applicable to public agencies.
O.S. 8.12- The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.		
How to Meet this Standard: Documentation depends on the methodology chosen by the CAA to charge indirect expenses. Refer to TA Guide 8 for more information.	Example Documentation: <ul style="list-style-type: none"> • If negotiated Federal cost rate, then current approval letter from cognizant agency. • If cost allocation, then updated cost allocation policy documenting methodology for accounting of indirect costs. • If de minimus indirect cost rate, then grant forms received from funding agencies indicating as such. 	Maintain Review. Not applicable to public agencies.
O.S. 8.13- The organization has a written policy in place for record retention and destruction.		
<u>Public:</u> The department follows local governmental policies for document retention and destruction.		
Private CAA How to Meet this Standard: Documentation must include policy for record retention and destruction.	Example Documentation: <ul style="list-style-type: none"> • A method of record destruction • Policy must include both paper and electronic records • (Public) Record of compliance provided by parent agency (e.g. certification by compliance staff) • (Public) Records demonstrating compliance (e.g. records demonstrating consistent destruction of documents) 	Maintain Review.
Public CAA How to Meet this Standard: Documentation must include (1) the local gov. policy on document retention and destruction, and (2) evidence that demonstrates compliance with the policy.		

The **Purpose of this Category** is to assist agencies in understanding how they are to establish policies, processes, and procedures so that the information they need for decision making and storytelling is available from the data that they collect and analyze.

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

<p>How to Meet this Standard: Documentation must demonstrate (1) data collection and reporting system or systems; (2) client demographics; and (3) services customers receive.</p>	<p>Example Documentation: The CSBG Annual Report already requires the reporting of client demographics. No additional data collection is required.</p>	<p>Review in empowOR.</p>
		<p>Best Practice: Direct the OS monitor to review empowOR’s CSBG Annual Report for the FY being monitored.</p>

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

<p>How to Meet this Standard: Documentation must show that CAA has a comprehensive data collection system in place and in use that identifies outcomes and progress towards outcomes.</p>	<p>Example Documentation: The CSBG Annual Report already requires the reporting of org-wide outcomes. No additional data collection is required.</p>	<p>Review in empowOR.</p>
		<p>Best Practice: Direct the OS monitor to review empowOR’s CSBG Annual Report for the FY being monitored.</p>

O.S. 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.

<p>How to Meet this Standard: Documentation must show (1) the CAA analyzes its data for the purpose of making suggestions for improvement, AND (2) presents this analysis to the board for review within the past 12 months.</p>	<p>Example Documentation:</p> <ul style="list-style-type: none"> • Copy of analysis report submitted to the board • Board pre-meeting materials/packet • Email exchanges with board • Documentation in board minutes of the review done of the report and the suggestions for action discussed and approved • CSBG Annual Report review documented in board minutes. • Dashboards or reports shared with board showing outcomes versus goals. 	<p>Review annually.</p>
		<p>Sample Documentation: BHK Mid-Year Outcome Update HDC Board Presentation</p>
		<p>Best Practice: Present logic models to the board with suggestions to adjust and/or improve each program’s outcomes.</p>

O.S. 9.4- The organization submits its annual CSBG Annual Report, and it reflects client demographics and organization-wide outcomes.

<p>How to Meet this Standard: Documentation must show that CAA has submitted the CSBG Annual Report and that it contains the required elements.</p>	<p>Example Documentation: The CSBG Annual Report already requires the reporting of client demographics and org-wide outcomes. No additional data collection is required.</p>	<p>Review in empowOR.</p>
		<p>Best Practice: Direct the OS monitor to review empowOR’s CSBG Annual Report for the FY being monitored.</p>