STANDARDS

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COE DEVELOPED CSBG ORGANIZATIONAL STANDARDS

State Assessment Template

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CSBG Organizational Standards

State Assessment Template

Issued in January 2015, IM 138 addressed the implementation of the CSBG Organizational Standards across the CSBG Network. Implementation will impact State CSBG Lead Agencies, CSBG Eligible Entities/Community Action Agencies (CAAs), Federal Office of Community Services, State Associations, and National CSBG Partners. This tool addressed the needs of the State CSBG Lead Agencies for ongoing assessment

As part of CSBG Organizational Standards implementation, State CSBG Lead Agencies will need to:

- Project how many CAAs will meet the CSBG Organizational Standards each year as part of their CSBG State Plan;
- Assess all CAAs against the Organizational Standards each year;
- Ensure Technical Assistance Plans (TAP) are in place for CAAs not meeting Organizational Standards;
- Ensure Quality Improvement Plans (QIP) are in place for CAAs with serious issues as described in IM 116: and
- Report on the percentage of CAAs meeting 100% of the Standards each year in the Annual Report.

For states that currently monitor annually, an annual assessment of the Organizational Standards will align with the existing monitoring calendar. For others, assessing CAAs in the years without onsite monitoring may pose unique challenges. IM 138 recognizes this and provides states flexibility in how they assess CAAs along the CSBG Organizational Standards. Some potential options for states include:

- CAA Self-assessments with 3rd party verification such as a consultant;
- CAA Self-assessment with State Association verification; and
- CAA Self-assessment with State CSBG Lead Agency desk audit verification.

While the block grant nature of CSBG allow for State CSBG Lead Agencies, CAAs, and Community Action State Associations work together to define what is meant in each State by meeting each of the Organizational Standards, the requirement for annual assessment remains.

The following guidance and template is provided as an option for State CSBG Lead Agencies to consider in developing their assessment strategy.

Assessment Cover Letter Template (for years where onsite State monitoring is NOT Planned)

Dear CAA:

As you are aware, through the _____ State Plan our state adopted the COE-Developed CSBG Organizational Standards, which establish a set of 58 individual standards for private CAAs and 50 standards for public CAAs in nine categories focused on Maximum Feasible Participation, Vision and Leadership, and Operations and Accountability. Each CSBG Eligible Entity (CAA) is required to be assessed annually to ensure that all Standards are met.

This year, your CAA is not scheduled to receive an on-site state monitoring visit. In order to assess your CAA in light of the CSG Organizational Standards, we will be asking you to complete an agency self-assessment and

Please complete the CSBG Organizational Standards Self-Assessment Tool and return it to _____ no later than _____.

Please send/upload the Document Packet or any updates to the Document Packet on file to _____ no later than _____.

The completed self-assessment will then be sent to _____ for verification

…OR… The completed self-assessment will be verified by _____

For any unmet Standards, please complete a Technical Assistance Plan (TAP) and send it to _____ no later than _____.

CCSBG Eligible Entity needs to complete this assessment by _____ and email it to their State CSBG Office primary contact.

For each standard, check the box stating the standard is Met or Not Met. Note the page number of the Documentation Packet submitted along with the assessment form for those standards that are noted as "met."

For the *Documentation Packet*, please order the attachments, number the pages, and submit along with a Table of Contents. Note that some documents may be used to demonstrate the meeting of multiple standards.

For those standards that are not met, please include a Technical Assistance Plan based on the template provided by your State CSBG Office or found here (link to TAP). Upon receipt, the State CSBG Office will send a confirmation email that the assessment has been received.

If preferred, State CSBG offices may schedule a conference call or web meeting with the CAA to review the Assessment Tool and Documentation Packet in addition to the online submission.

The State CSBG Office will have review the self-assessment and proposed TAP for standards not met. CSBG Eligible Entities may implement the proposed TAP while awaiting state approval or wait until the plan is approved.

(use this as a cover form?)

Agency Name: _____

Name of Individual Authorized to Submit Form: _____

☐ By checking this box, the person named above acknowledges that they have the authority to submit this Standards Assessment form and accompanying documentation.

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Date of Assessment _____ Agency Name_____

Section 1: CSBG Organizational Standards Which Need to Be Documented as Met Annually

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
1.1	The organization demonstrates low-income individuals' participation in its activities.	Consumer Input and Involvement					
1.3	The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.	Consumer Input and Involvement					
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.	Community Engagement					
2.3	The organization communicates its activities and its results to the community.	Community Engagement					
2.4	The organization documents the number of volunteers and hours mobilized in support of its activities.	Community Engagement					
4.2	The organization's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.	Leadership					

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
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.	Leadership					
4.4	The governing board receives an annual update on the success of specific strategies included in the Community Action plan.	Leadership					
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. With one-third local elected officials (or their representatives); and 3. The remaining membership from major groups and interests in the community.	Governance					

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
5.5	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.	Governance					
5.9	The organization's governing board receives programmatic reports at each regular board meeting.	Governance					
6.5	The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.	Governance					
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.	Human Resources					
7.4	The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.	Human Resources					
7.5	The governing board reviews and approves CEO/executive director compensation within every calendar year.	Human Resources					
7.8	All staff participate in a new employee orientation within 60 days of hire.	Human Resources					

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
7.9	The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.	Human Resources					
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 Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.	Financial Management					
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.	Financial Management					
8.3	The organization's auditor presents the audit to the governing board.	Financial Management					
8.4	The governing board formally receives and accepts the audit.	Financial Management					
8.6	The IRS Form 990 is completed annually and made available to the governing board for review.	Financial Management					

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
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. 8.8 All required filings and payments related to payroll withholdings are completed on time.	Financial Management					
8.9	The governing board annually approves an organization-wide budget.	Financial Management					
9.1	The organization has a system or systems in place to track and report client demographics and services customers receive.	Data and Analysis					
9.2	The organization has a system or systems in place to track family, agency, and/or community outcomes.	Data and Analysis					

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
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.	Data and Analysis					
9.4	The organization submits its annual CSBG Information Survey data report and it reflects client demographics and organization-wide outcomes.	Data and Analysis					

Section 2: CSBG Organizational Standards Which Need to Be Documented as Met Every 2 years

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
4.5	The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.	Leadership					
4.6	An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.	Leadership					
5.6	Each governing board member has signed a conflict of interest policy within the past 2 years.	Governance					
5.8	Governing board members have been provided with training on their duties and responsibilities within the past 2 years.	Governance					
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.	Financial Management					

Section 3: CSBG Organizational Standards Which Need to Be Documented as Met Every 3 years.

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
1.2	The organization analyzes information collected directly from low-income individuals as part of the community assessment.	Consumer Input and Involvement					
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.	Community Engagement					
3.1	The organization conducted a community assessment and issued a report within the past 3 years.	Community Assessment					

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
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).	Community Assessment					
3.3	The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.	Community Assessment					
3.4	The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.	Community Assessment					
3.5	The governing board formally accepts the completed community assessment.	Community Assessment					

Section 4: CSBG Organizational Standards Which Need to Be Documented as Met Every Five Years

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
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.	Leadership					
5.3	The organization's bylaws have been reviewed by an attorney within the past 5 years.	Governance					
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.	Strategic Planning					
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.	Strategic Planning					
6.3	The approved strategic plan contains family, agency, and/or community goals.	Strategic Planning					

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
6.4	Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.	Strategic Planning					
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.	Human Resources					
7.3	The organization has written job descriptions for all positions, which have been updated within the past 5 years.	Human Resources					
8.5	The organization has solicited bids for its audit within the past 5 years.	Financial Management					
8.11	A written procurement policy is in place and has been reviewed by the governing board within the past 5 years	Financial Management					

Section 5: CSBG Organizational Standards Which Need to Be Documented as Met & Kept on File

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
4.5	The organization has a written succession plan in place for the CEO/executive director, 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.	Leadership					
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.	Governance					
5.7	The organization has a process to provide a structured orientation for governing board members within 6 months of being seated.	Governance					
7.6	The organization has a policy in place for regular written evaluation of employees by their supervisors.	Human Resources					
7.7	The organization has a whistleblower policy that has been approved by the governing board.	Human Resources					

Standard Number	Standard	Standard Category	CAA Assessment Met ☑	CAA Assessment Not Met ☑	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
8.12	The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.	Financial Management					
8.13	The organization has a written policy in place for record retention and destruction.	Financial Management					

CSBG Organizational Standards-Self Assessment

Sample Documentation Packet

The Documentation Packet is compiled by local CAAs as they collect information annually to demonstrate they meet the CSBG Organizational Standards. For many CAAs, the assessment of Organizational Standards will occur as part of regular monitoring by the State CSBG Lead Agency and occur on site annually. For others, the State CSBG lead Agency conducts on site monitoring less frequently, biannually or triennially. A challenge for States and CAAs that do not conduct annual monitoring is the requirement for CAAs to demonstrate they meet the Standards annually and for the State CSBG Office to annually report the number of CAAs meeting Standards.

To meet this challenge, CAAs and State CSBG Lead Agencies will develop a process that meets the needs in that State. Tools and resources are available from the Organizational Standards Center of Excellence (OSCOE) to assist CAAs and States to meet this challenge in ways that are not overly burdensome. This tool focuses on capturing and filing the documentation necessary to demonstrate how a CAA meets each Standards. This tool and others can be found at www.communityactionpartnership.com.

CAAs will need to demonstrate they meet all Standards annually. Many individual Standards require action on an annual basis, while others do so on a biannual, triennial, or even five year span. There will be materials local CAAs will need to collect that may not change over a five year period (e.g. bylaws, strategic plan). In addition, there will be documents that will need to be collected that may be created monthly (e.g. board minutes). There are certain documents that will be used to demonstrate the CAA meets multiple Standards. This tool is provided to be a guide to help CAAs and State CSBG Lead Agencies think about how to collect, store, and report needed materials over time, limiting duplication of effort. It frames the collection of materials under the title of "Documentation Packet".

A CAA's Documentation Packet may be:

- **Hard copy or electronic (or a blend)**. Some CAAs may prefer to have a binder, file folder, banker's box, or other hard copy system for collecting and storing the documents. Others may prefer electronic documents. In some cases, CAAs may use a mix of both options.
- **Stored at the CAA, State CSBG Lead Agency, in the "cloud", on in some other document sharing environment**; Depending on the system established, the Documentation Packet may be stored at the CAA for access during onsite monitoring, at the State Office for desk audits, or in an online file sharing/storage system accessible to both and even perhaps third parties.
- **Formally updated periodically or as part of the annual assessment process**. Some CAAs may choose to update the Documentation Packet monthly as new materials are developed or may choose to select a single time each year they update the packet.
- **Spread across multiple years**. Some documents may be submitted in the initial Documentation Packet and may not need to be updated for two to four years. CAAs and

States may agree that once a document is submitted as a prior year's Documentation Packet item, it does not need to be re-submitted until it needs to be updated.

In years when the State CSBG Lead Agency conducts on site monitoring, the Documentation Packet may be used on during those meetings in combination with other monitoring tools, such as interviews, to determine if Standards are met. In years where the state CSBG office is not scheduled to conduct onsite monitoring, CAAs may need to conduct a Self-Assessment and the Documentation Packet may be used to assist the State CSBG Lead Agency or other third party to verify if Standards were met. In this scenario, the State CSBG Lead Agency or other third party conduct a "***desk audit***" of the Standards. The sample Documentation Packet is designed to assist the CAA and State CSBG Office with compiling documentation.

Directions for Creating the Documentation Packet

1. Identify the documents used to demonstrate meeting each Standards as the Self-Assessment is completed.
2. Note on the documents the portion(s) to be referenced. Consider using notes, highlighting, post it notes, etc. to make it easy to see which elements are being referred to.
3. Identify those documents that are used to demonstrate meeting more than one Standard.
4. Identify those documents that will not change prior to the following year's Self-Assessment or on-site monitoring.
5. Organize and number the pages of the Documentation Packet. If developing an electronic Documentation Packet, establish a consistent and easy to understand naming convention for documents.
6. Create a detailed Table of Contents.

Directions for Using the Documentation Packet

1. Complete the Self-Assessment noting the page number from the Documentation Packet that has the document necessary to demonstrate that each Standard is "Met".
2. For years following the initial compilation, assess the tools that are currently on file in previous Documentation Packets, and reference previously submitted Packets as needed and as approved by the State CSBG Lead Agency.
3. Submit Self-Assessment and Documentation Packet through the process determined by the State CSBG Led Agency.

SAMPLE Table of Contents (EACH CAA's TABLE OF CONTENTS WILL VARY)

A. Check Off List of items on File with State CSBG Office	#
B. Relevant Portions of Board Approved Strategic Plan	#
C. Additional Strategic Planning Documents	#
a. Committee Meeting Minutes/Notes	#
b. Summaries of Focus Groups/Surveys	#
D. Relevant Portions of Community Needs Assessment	#
a. Additional Community Needs Assessment Documents	#
E. Relevant Board Minutes/Sections	#

a. January 2014	#
b. June 2014	#
F. Relevant Board Agendas	#
G. Relevant Board Sign Off Lists	#
a. Bylaws Receipt	#
b. Conflict of Interest Receipt	#
H. Board Orientation Agenda and Schedule	#
I. Relevant Written Procedures	#
J. Relevant Partnership Agreements	#
K. Relevant Communication Materials	#
a. Annual Report	#
b. Sample Social Media Posts	#
c. Website screen shots	#
L. Relevant Portions of the Community Action Plan	#
M. Relevant Portions of the Bylaws	#
N. Relevant Staff Meeting/Committee Summaries	#
O. Relevant Staff receipt/Sign Off Lists	#
a. Orientation Sign In Sheets	#
b. Copy of email sent to staff with changes to Personnel Policies	#
P. Job Descriptions Updates Since Last Monitoring	#
Q. Relevant Portions of the Personnel Policies/Employee Handbook	#
R. Relevant Portions of Other Policies	#
S. Schedule of Available Staff Training for the past year	#
T. Audit Bid Letter	#
U. Summary of System(s) used to track customer demographics, services, and outcomes	#
V. Summary of Customer Engagement in Activities during the past year	#
W. Other	#

Sample List of Documents that May be on File with Previous Documentation Packets for Years Follow the Initial Compilation

A. Whistleblower Policy
B. Relevant Portions of Community Needs Assessment Completed in the Past 3 Years Previously Assessed
C. Relevant Portions of the Strategic Plan and accompanying documents Completed in the Past 5 years previously assessed
D. Committee Meeting minutes/notes
E. Summaries of Focus Groups/Surveys
F. Relevant Portions of Community Needs Assessment
G. Additional Community Needs Assessment Documents
H. Relevant Board Minutes/Sections
I. Relevant Board Agendas
J. Relevant Board Sign Off Lists
K. Bylaws Receipt Sign Off List