

**Standards/Documentation to be reviewed April 1<sup>st</sup> with Application:**

*For standards 1.2, 3.1, 3.2, 3.3, 3.4, 4.2 – submit you most recent needs assessment with any additional documentation and we will review and give feedback on if you met the standard or partially met the standards and how to improve. If we have your most recent no need to resubmit, just provide anything additional that is needed.*

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

- Community Assessment with Appendices
- Community Forum Summaries
- Interview Transcripts
- Back up documentation/data summaries

**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.

- Community Assessment with Appendices
- Backup documentation of involvement: surveys, interview transcripts, community or organizational meetings
- Board/Committee Minutes

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

- Dated Community Assessment (some proof of publication of assessment/report)

**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).

- Community Assessment with Appendices
- Backup Information including Census and other demographic data

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

- Community Assessment with Appendices
- Broader Community Assessment
- Committee/Team member minutes reflecting analysis
- Other data collection process on Poverty

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

- Key findings section in Community Assessment

- Committee /Team member munities reflecting analysis
- Other data collection process on poverty

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

- CAP Plan
- Logic Models
- Community Assessment

**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.

- Bylaws
- Board roster
- Board Minutes
- related policies and procedures

**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.

- Board policies and procedures
- Board minutes
- Bylaws

**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.

- Bylaws, Board roster
- Board Minutes
- related policies and procedures

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

- Evaluation Process/Policy
- Personnel Policies and Procedures

**Standard 8.13-** The organization has a written policy in place for record retention and destruction.

- Documentation Retention and Destruction Policy (*should be in financial policies*)

## Standards/Documentation to be reviewed beginning July 1<sup>st</sup>

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

- Advisory Group Minutes
- Activity Participation Lists
- Volunteer Rosters
- Board Minutes -pre-meeting and packet information

*Note: On July 1 we expect a sampling of how this was done in the past (specific documentation from the meetings/ advertisements, etc.) and a brief narrative of efforts. Throughout the year we expect you to upload further documentation of how you are currently meeting the standard.*

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

- Consumer Satisfaction Policy/Procedures
- Board Committee Minutes
- Consumer Satisfaction Surveys/Data collection tool and schedule
- Consumer Satisfaction Report of results to CAA Leadership, Board, and/Broader Community

*July 1 - Narrative description of the system used to collect and a sample of what they gave the board to show analysis. Also provide a sample of your tool.*

*Throughout the year we will need the additional minutes and reports to verify the analysis is happening by the Board.*

**Standard 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.

- Partnership Documentation-Agreements; MOU; e-mails (on site review of actual contracts and agreements, or as requested)
- Sub-contracts with delegate or partner agencies
- Strategic Plan Update/Report demonstrating partnerships
- Coalition Member Lists

*July 1- Fill out the spreadsheet OVCS provides that will list: partners, type of partnership (is it an MOU or Contract?) and date signed.*

*Throughout the year continual update the spreadsheet.*

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

- Annual Report
- Media Files of Stories Published

- Community Event Information
- Website/Facebook/ Twitter Accounts with regular updates
- News releases
- Communication Plan

July 1- OVCS will review Organization website and if anything additional is needed OVCS will ask you to upload

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

- Data on number of volunteers and hours provided
- Board Minutes *(if needed)*
- Documentation of tracking system(s)

No documentation needed to submit- this will be found in quarterly reports

**Standard 3.5-** The governing board formally accepts the completed community assessment.

- Community Assessment
- Board Minutes-pre-board packet information

**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.

- Board minutes
- Strategic Plan
- Mission statement

Note: Board minutes should include the same elements from the standard above.

**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.

- Certified ROMA trainer in the organization
- Agreement with certified trainer not within the organization to provide ROMA services
- Strategic plan (including appendices) *(submit July 1 – most recent strategic plan)*
- The community action plan (including appendices) *(reviewed during application cycle)*
- Meeting summaries of ROMA trainer participation

Note- a form will be developed for ROMA trainers/Implementers to fill out as documentation

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

- Community action plan update/report
- Board or Committee minutes
- Board or Committee agenda pre-meeting packet

Note – board minutes should compare Community Action Plan to program report

**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.

- Succession plan/policy
- Short term succession plan
- Board minutes

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

- Risk assessment policy and/or procedures
- Board minutes
- Completed risk assessment tool
- Risk assessment reports

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

- Bylaws
- Board minutes
- attorney statement/invoice (will be reviewed at an onsite visit)

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

- Board pre-meeting materials/packet
- Bylaws
- Board minutes
- List of signatures acknowledging receipt (onsite review)

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

- Conflict of interest policy/procedures (onsite review)
- Signed policies/signature list

- Board Minutes

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

- Board policy/procedures
- Board training materials (submit a sampling on July 1)
- Board member acknowledgement/signature (*this will be reviewed at an onsite monitoring visit*)

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

- Training agendas
- training material/handouts
- attendee list (on site)
- board minutes
- documentation of training received at conferences/events/webinars

**July 1- Upload training sign in sheets; upload a sampling of training materials**

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

- Board pre-meeting materials/packet
- Programmatic reports
- Board minutes

**July 1- Upload at least 2 packets containing programming**

**Beyond July 1 - upload 1 board packet a quarter**

**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.

- Strategic plan
- Board minutes
- Developed checklist of strategic plan elements

**July 1- If completed in past 5 years upload the Board minutes with language of approving plan , if not completed in past 5 years submit the minutes when this occurs.**

**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.

- Strategic plan
- developed checklist of strategic plan elements

July 1- upload most recent Strategic plan.

**Standard 6.3-** The approved strategic plan contains family, agency, and/or community goals.

- Strategic plan

July 1- upload most recent Strategic plan.

**Standard 6.4-** Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.

- Strategic plan including appendices
- Notes from strategic planning process
- Customer satisfaction data/reports
- Customer input data/reports

July 1- upload most recent Strategic plan

**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.

- Strategic plan
- Plan updates/reports
- Board pre-meeting materials/packet
- Board minutes

July 1- upload Minutes with specific language showing the progress was discussed

**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.

- Personnel Policies (we receive in April)
- Board Pre-meeting Materials/Packet
- Board Minutes
- Statement/Invoice/Inkind Donation from Attorney Reflecting review (this will be reviewed onsite)

July 1- upload board minutes with language showing the attorney reviewed the policies.

**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.

- Employee Handbook/Personnel Policies
- Documentation of Location and Availability of Handbook/Policies (this will be reviewed onsite)
- Identified Process for Notifying Staff of Updates (may be included in the Handbook/Policy)

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

- Organization Chart/Staff List
- Job Descriptions
- Board or Committee Minutes (noting documents have been updated)

July 1 – if complete- upload, if not completed outline a plan to submit to OVCS

**Standard 7.4-** The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.

- Board Minutes

July 1- Board minutes from past year with this information

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

- Board Minutes
- Executive Director/CEO Contract (if applicable)

July 1- Board minutes from past year with this information

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

- whistleblower Policy (will be reviewed April 1 in policy manual)
- board Minutes
- Board Pre-Meeting Materials/Packet

July 1- Board minutes to show board approved it

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

- Personnel Policies/Employee Handbook
- Orientation Materials (on site)
- Sampling of HR/Personnel Files for Documentation of Attendance (this will be reviewed on-site)

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

- Training Plans
- HR/Personnel Files
- Documentation of Trainings: Presentations, Evaluations, Attendee Lists



- Documentation of Attendance at Off-site Training Events/Conferences (what type of training should be offered and used)

This standard will be reviewed on-site

**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.

- Completed Audit (*this will be submitted within 9 months of the end of your fiscal year*)

**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.

- Completed Audit
- Management Responses to the Audit
- Board Minutes

**Standard 8.3-** The organization's auditor presents the audit to the governing board.

- Completed Audit
- Board Minutes
- Board Pre-Meeting Materials/Packet

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

- Completed Audit
- Board Minutes

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

- CAA Procurement Policy (*should be in financial policies which was reviewed on April 1*)
- Board Pre-meeting Materials/Packet
- Documentation of Bid Process including RFP/RFQ, Lists of Vendors Receiving Notice (*will be reviewed on-site*)
- Proof of any Publication of the Process

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

- Board Minutes
- Board Pre-Meeting Materials/Packet
- Documentation of 990 Distribution to the Board (Mail/E-mail/Link) form 990 is completed annually and made available to the governing board for review.

July 1- upload board minutes from 2016's 990.

**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.
  - Financial Reports
  - Board Minutes
  - Board pre-Meeting Materials/Packet

July 1- submit board minutes and moving forward quarterly board packets.

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

- Payroll Tax Documentation/Filings
- Retirement Accounts Documentation
- Insurance Documents (Health, Disability, Flex Accounts)
- Record of Payments to State, Federal, Insurance and Retirement Accounts

*The documentation for 8.8 will be reviewed onsite we will just need a certification statement that this is happening for the desk audit.*

**Standard 8.9-** The governing board annually approves an organization-wide budget.

- Agency Wide Budget (April 1)
- Board Minutes
- Board Pre-Meeting Materials/Packet

**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.

- Fiscal Policies/Procedures Manual (receive April 1)
- Board Minutes/Committee Minutes
- Board Pre-Meeting Materials/Packets

Upload minutes as policies are reviewed.

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

- Procurement Policy
- Board Minutes
- Board Pre-Meeting Materials/Packet

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

- Cost Allocation Plan
- Approved Indirect Cost Rate

*We need to know which one you are using by July (narrative only needed)*

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

- Data System Documentation and/or Direct Observation?
- Reports as Used by Staff, Leadership, Board or Cognizant Funder

*July 1 narrative – verify onsite sample reports as needed*

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

- Data System Documentation and/or Direct Observation?
- Reports as Used by Staff, Leadership, Board or Cognizant Funder
- NPI Report
- Narrative describing data system

*July 1 narrative – verify onsite sample reports at needed*

**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.

- Strategic Plan (*submit your most recent copy*)
- National Performance Indicator Reports
- Board Minutes
- Board Pre-Meeting Materials/Packets
- Staff Meetings Minutes

Board packet and minutes where the outcomes were discussed and analyzed.

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

- IS Data Report (*will be submitted Oct/Nov 4<sup>th</sup>, quarter report*)
- Other Data System Reports