Organizational Assessment Tool for Public CAA's

Virginia CSBG

Office on Volunteerism and Community Service

Virginia Department of Social Services

Maximum Feasible Participation – Category 1: Consumer Input and Involvement

Standard 1.1	The Department demonstrates low-income participation in its activities.

Guidance
- This is broader than the Board membership.
- Can include advisory bodies to the Board.
- Can include activities such as Head Start Policy Council, tenant or neighborhood councils, volunteering, etc.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Advisory Group Documents
☐ Advisory Group Minutes
☐ Activity Participation Lists
☐ Board/Advisory Body Minutes
☐ Board/Advisory Body Pre-Meeting Materials/Packet
☐ Volunteer Lists and Documents

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Maximum Feasible Participation – Category 1: Consumer Input and Involvement

Standard 1.2	**The Department analyzes information collected directly from low-income individuals as part of the Community Assessment.**

Guidance:
- Reflects the need for CAAs to talk directly with low-income individuals.
- This can include focus groups, interviews, community forums, customer surveys, etc.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Community Assessment (Including Appendices)
☐ Backup Documentation/Data Summaries
☐ Community Forum Summaries
☐ Interview Transcripts

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Maximum Feasible Participation – Category 1: Consumer Input and Involvement

Standard 1.3	The Department has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the tripartite/advisory board, which may be met through broader local government processes.

Guidance:
- This reflects the need for any business to gather information regarding customer satisfaction.
- This does not imply that a specific customer satisfaction level needs to be achieved.
- Documentation is needed to demonstrate all three components in order to meet the Standard: 1) collection, 2) analysis and 3) reporting of data

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Department Policies and Procedures
☐ Customer Satisfaction Instruments, e.g., Surveys, Data Collection Tools and Schedule
☐ Customer Satisfaction Reports To Department Leadership, Board and/or Broader Community
☐ Tripartite Board/Advisory Body Minutes
☐ Public Hearing/Public Comment Process or Findings

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Maximum Feasible Participation – Category 2: Community Engagement

Standard 2.1	The Department has documented or demonstrated partnerships across the community, specifically including other anti-poverty organizations in the area.

Guidance:
- Partnerships are considered to be mutually beneficial arrangements wherein each entity contributes and/or receives: time, effort, expertise and/or resources.
- This could be documented through MOUs, contracts, agreements, documented outcomes, etc.
- This does not require that all partnerships are documented.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Partnership Documentation: Agreements, Emails, MOU/MOAs
☐ Sub-Contracts With Delegate/Partner Agencies
☐ Coalition Membership Lists
☐ Strategic Plan Update/Report If It Demonstrates Partnerships

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Maximum Feasible Participation – Category 2: Community Engagement

Standard 2.2	The Department utilizes information gathered from key sectors of the community in assessing needs and resources. This would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.

Guidance:
- Engagement may include focus groups, key informant interview, staff participation in other community groups/advisory bodies, community-wide processes, etc.
- Documentation is necessary to demonstrate that all five sectors have been engaged: 1) community-based organizations, 2) faith-based organizations, 3) private sector, 4) public sector, and 5) educational institutions.
- If one or more of these sectors are not present in the community, or refuses to participate, the CAA needs to demonstrate the gap, or a good faith effort to engage the sector(s).

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Community Assessment (Including Appendices)
☐ Backup Documentation of Involvement: Surveys, Interview Documentation, Community Meeting Minutes, Board/Committee Minutes, etc.

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Maximum Feasible Participation – Category 2: Community Engagement

Standard 2.3	The Department communicates its activities and its results to the community.

Guidance:

- This may be met through a CAA's annual report, social media activity, traditional news media, community outreach activities, etc.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Annual Report
☐ Website, Facebook Page, Twitter Account, etc. (Regularly Updated)
☐ Media Files of Stories Published
☐ News Release Copies
☐ Community Event Information
☐ Communication Plan
☐ Public Hearing
☐ Reports to Municipal Governing Body

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Maximum Feasible Participation – Category 2: Community Engagement

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

Guidance:
- There is no requirement to utilize volunteers, only to document their number and hours if utilized.
- This information should already be collected as part of reporting the NPIs.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Data on Number of Volunteers And Hours Provided
☐ Board/Advisory Body Minutes
☐ Documentation of Tracking System(s)

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Maximum Feasible Participation – Category 3: Community Assessment

Standard 3.1	The Department conducted or was engaged in a Community Assessment and issued a report within the past 3 years, if no other report exists.

Guidance:
- This Standard refers to what is sometimes called a Community Needs Assessment, and requires that CAAs assess both needs and resources in the community.
- This may require State CSBG Lead Offices to adjust time frames for required submission.
- The report may be electronic or print, and may be circulated as the CAA deems appropriate.
- It may be helpful for CAAs to document the report release date such as April 2013 or December 2015.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Dated Community Assessment Report
☐ Board/Advisory Body Minutes

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Maximum Feasible Participation – Category 3: Community Assessment

Standard 3.2	As part of the Community Assessment, the Department collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).

Guidance:
- Documentation is needed for all four categories in order to meet the Standard: 1) gender, 2) age, 3) race and 4) ethnicity.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Community Assessment Document (Including Appendices)
☐ Broader Municipality-Wide Assessment
☐ Other Data Collection Process On Poverty

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Maximum Feasible Participation – Category 3: Community Assessment

Standard 3.3	The Department collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the Community Assessment.

Guidance:
- Documentation is needed to demonstrate that both types of data are collected in order to meet the Standard:
  - Qualitative: this includes focus groups, interviews, community forums, etc.
  - Quantitative: this is numeric information, e.g., census data, demographic information and other statistical sources.
- Documentation on data analysis is also required in order to meet the Standard.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Community Assessment (Including Appendices)
☐ Backup Documentation
☐ Broader Municipality-Wide Assessment
☐ Other Data Collection Process On Poverty
☐ Committee/Team Minutes Reflecting Analysis

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Maximum Feasible Participation – Category 3: Community Assessment

Standard 3.4	The tripartite board/advisory body formally accepts the completed Community Assessment.

Guidance:
- This would be met through the Board voting on a motion to accept the Assessment at a regular Board meeting, and documenting this in the minutes.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Community Assessment Document
☐ Board/Advisory Body Minutes
☐ Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 4: Organizational Leadership

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

Guidance:
- "Addresses poverty" does not require using the specific word poverty in a Department's mission.
- Language such as, but not limited to, low-income, self-sufficiency, economic security, etc. is acceptable.
- It is the tripartite board/advisory body that determines if the Department's programs and services are in alignment with the mission.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Strategic Plan
☐ Mission Statement

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 4: Organizational Leadership

Standard 4.2	The Department's Community Action Plan is outcome-based, anti-poverty focused, and ties directly to the Community Assessment.

Guidance:
- State CSBG Lead Agency is responsible for determining the Plan's format, and needs to ensure that the three components are readily identifiable.
- The Plan needs to focus on outcomes, i.e., changes in status (such as hunger alleviation vs number of food baskets).

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ CAP Plan*
☐ Logic Model
☐ Community Assessment

*Sometimes called the CSBG Plan or CSBG Workplan

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Vision and Direction – Category 4: Organizational Leadership

Standard 4.3	**The Department's Community Action Plan and Strategic Plan document the continuous use of the full ROMA cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the Department documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.**

Guidance:
- There is no requirement to have a Certified ROMA trainer on the Department's staff.
- While a ROMA trainer or equivalent must be involved, it is up to the Department to determine the manner in which this individual is utilized. Examples include: involving the trainer in strategic planning meetings, consultation on implementation, etc.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Certified ROMA Trainer in the Department
☐ Agreement with Certified Trainer Not Within the Department
☐ Strategic Plan (including Appendices)
☐ Community Action Plan (including Appendices)
☐ Meeting Summaries of ROMA Trainer Participation

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 4: Organizational Leadership

Standard 4.4	The Department adheres to its local government's policies and procedures around interim appointments and processes for filling a permanent vacancy.

Guidance:
- This will vary by local government. Please reference local policies and procedures.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Succession Plan/Policy
☐ Short Term Succession Plan

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 4: Organizational Leadership

Standard 4.5	The Department complies with its local government's risk assessment policies and procedures.

Guidance:
- This will vary by local government. Please reference local policies and procedures.
- The Department may be part of a broader municipality-based/county-based risk assessment, this would be considered meeting the Standard.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Completed Risk Assessment
☐ Risk Assessment Policy/Procedures

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 5: Board Governance

Standard 5.1	**The Department's tripartite board/advisory body is structured in compliance with the CSBG Act, by either:** **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.** *OR another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.*

Guidance:
- This Standard is based on the CSBG Act and addresses the composition structure of the tripartite board/advisory body only.
- See the CSBG Act and IM 82 for comprehensive guidance.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Board Roster
☐ Bylaws

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 5: Board Governance

Standard 5.2	**The Department's tripartite board/advisory body either 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.** **• OR another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.** *Please note under IM 82 for Public Entities the law also requires that a minimum of 1/3 of tripartite board membership be comprised of representatives of low-income individuals and families who reside in areas served.*

Guidance:
- See the CSBG Act and IM 82 for comprehensive guidance.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Policies And Procedures
☐ Board/Advisory Body Minutes
☐ Bylaws

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

```
┌──────────────────────────────────────────────────────────────────────────┐
│                                                                            │
│                                                                            │
│                                                                            │
│                                                                            │
│                                                                            │
└──────────────────────────────────────────────────────────────────────────┘
```

Vision and Direction – Category 5: Board Governance

Standard 5.3	The Department documents that each tripartite board/advisory body member has received a copy of the governing documents, within the past two years.

Guidance:
- This may be accomplished through electronic or hard copy distribution.
- A signed and dated acknowledgement of receipt, or email acknowledgement is sufficient to meet the Standard.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Bylaws/Governing Documents
☐ Local Government's Policies and Practices
☐ Board/Advisory Body Minutes
☐ Copies of Acknowledgements

Any other documentation utilized to demonstrate the Standard?

```
┌──────────────────────────────────────────────────────────────────────────┐
│                                                                            │
│                                                                            │
│                                                                            │
│                                                                            │
└──────────────────────────────────────────────────────────────────────────┘
```

Notes:

```
┌──────────────────────────────────────────────────────────────────────────┐
│                                                                            │
│                                                                            │
│                                                                            │
│                                                                            │
└──────────────────────────────────────────────────────────────────────────┘
```

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 5: Board Governance

Standard 5.4	The Department documents that each tripartite board/advisory body member has received a copy of the governing documents, within the past two years.

Guidance:
- **Please disregard this Standard; it is a repetition of the previous Standard.**
- This may be accomplished through electronic or hard copy distribution.
- A signed and dated acknowledgement of receipt, or email acknowledgement is sufficient to meet the Standard.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Board/Advisory Body Meeting Materials
☐ Bylaws/Governing Documents
☐ List of Signatures of Those Receiving The Document

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Vision and Direction – Category 5: Board Governance

Standard 5.5	The Department's tripartite board/advisory body meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its governing documents.

Guidance:
- There are no requirements on the meeting frequency or quorum; only that the Department abide by its governing documents.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Board Roster
☐ Bylaws/Governing Documents

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 5: Board Governance

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

Guidance:
- There is no requirement to use a specific conflict of interest policy, only that the Department utilizes one that meets its needs.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Conflict of Interest Policy/Procedures
☐ Signed Policies/Signature List
☐ Attendance List/Sign In List For Ethics Training

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Vision and Direction – Category 5: Board Governance

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

Guidance:
- Orientation may be done by board and/or staff members, and there is no specific curricula requirement.
- The department must have documentation of its process (including content), as well as documentation that each Board member has received such orientation.
- Please note that to meet the Standard, the organization must only document the process.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Policy/Procedures
☐ Board Orientation Materials
☐ Board/Advisory Body Member Acknowledgement/Signature

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Vision and Direction – Category 5: Board Governance

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

Guidance:
- There is no specific curricula requirement, or training methodology required.
- Training may be delivered at board meetings, special sessions, at conferences or through electronic media.
- The organization must have documentation of its training, including content, as well as documentation that each Board member has been provided with training opportunities.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Training Agendas
☐ Attendee List
☐ Board Minutes
☐ Documentation of Board Attendance At Out of Office Training Conferences/Events/Webinars, Etc.

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Vision and Direction – Category 5: Board Governance

Standard 5.9	The Department's tripartite board/advisory body receives programmatic reports at each regular board/advisory meeting.

Guidance:

- This Standard does not require a report on each program at every board meeting; however it does call for some level of programmatic reporting at every board meeting. Departments determine their own process to report programs to the board. For example, some departments may cycle through their programs semi-annually, others may do so on a quarterly basis, and yet others may do a brief summary at every board meeting.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Board Materials/Packet
☐ Programmatic Reports

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Vision and Direction – Category 6: Strategic Planning

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

Guidance:
- This is intended to be a Department-wide document, not a list of individual program goals.
- Board approval would occur by a vote at a regular meeting, and documented in the minutes.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Strategic Plan/Comparable Planning Document
☐ Board/Advisory Body Minutes

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 6: Strategic Planning

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

Guidance:
- These are the purposes of CSBG, as laid out in the Act. These specific terms are not required, but the Plan needs to include one or more of these themes.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Strategic Plan

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Vision and Direction – Category 6: Strategic Planning

Standard 6.3	The approved Strategic Plan, or comparable planning document, contains Family, Agency, and/or Community goals.

Guidance:
- These goals are set out as part of ROMA, referenced in IM 49, and provide the framework for the National Performance Indicators.
- These specific terms are not required, but the plan needs to address one or more of these dimensions.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Strategic Plan

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Vision and Direction – Category 6: Strategic Planning

Standard 6.4	**Customer satisfaction data and customer input, collected as part of the Community Assessment, is included in the strategic planning process, or comparable planning process.**

Guidance:
- This Standard links the Community Assessment with strategic planning. There is no requirement to do additional data collection.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Strategic Plan Including Appendices
☐ Notes From Strategic Planning Process
☐ Customer Input Data/Reports
☐ Customer Satisfaction Data/Reports
☐ Public Comment/Hearing Summaries

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Vision and Direction – Category 6: Strategic Planning

Standard 6.5	The tripartite board/advisory body has received an update(s) on meeting the goals of the Strategic Plan/Comparable Planning Document within the past 12 months.

Guidance:
- The CSBG Act requires that Boards be involved with assessment, planning, implementation and evaluation of programs; this Standard supports meeting that requirement.
- The Standard would be met by an update provided at a regular Board meeting, or a planning session, and documented in the minutes.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Strategic Plan Update/Report
☐ Board/Advisory Body Minutes
☐ Board Materials/Packet

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Operations and Accountability – Category 7: Human Resource Management

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

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 7: Human Resource Management

Standard 7.2	The Department follows local governmental policies in making available the Employee Handbook (or personnel policies in cases without a Handbook) to all staff and in notifying staff of any changes.

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Accessible Employee Handbook/Personnel Policies
☐ Documentation And Location And Availability of Handbook/Policies
☐ Process For Notifying Staff of Changes

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Operations and Accountability – Category 7: Human Resource Management

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

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Organizational Chart/Staff List
☐ Job Descriptions With Dates Noted
☐ Local Government Policies/Procedures Regarding Job Descriptions
☐ N/A

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 7: Human Resource Management

Standard 7.4	The Department follows local government procedures for performance appraisal of the Department Head.

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Department Performance Appraisal Procedures
☐ Documentation That Performance Appraisal Has Taken Place In Line With the Procedure

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 7: Human Resource Management

Standard 7.5	The compensation of the Department head is made available according to local government procedure.

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Online Link To Publically Available Information
☐ Policy Regarding Compensation Disclosure/Transparency
☐ N/A-Must Document That Disclosure Is Not Allowed

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 7: Human Resource Management

Standard 7.6	The Department follows local governmental policies for regular written evaluation of employees by their supervisors.

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Evaluation Policy
☐ Documentation of Fulfilling Governmental Policies

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 7: Human Resource Management

Standard 7.7	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.

Guidance:
- Each local government will have its own process; see local documentation.
- This would be met through documentation of orientation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Whistleblower Policy
☐ Board/Advisory Body Minutes
☐ Board Materials/Packet
☐ N/A (With Documentation That Such A Policy Does Not Exist)

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 7: Human Resource Management

Standard 7.8	The Department follows local governmental policies for new employee orientation.

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Policies For New Employee Orientation
☐ Orientation Materials
☐ Sampling of HR/Personnel Files For Documentation of Attendance

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Operations and Accountability – Category 7: Human Resource Management

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

Guidance:
- There are no specific requirements for training topics, with the exception of ROMA.
- This Standard may be met through in-house, community-based, conference, online, and other training modalities.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Training Plan(s)
☐ Documentation of Trainings: Presentation, Evaluations, Attendee Lists, Sign In Sheets
☐ Documentation of Attendance At Off-Site Training Events/Conferences

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.1	The Department's annual audit is completed through the local governmental process in accordance with OMB A-133 (if applicable) and/or State audit threshold requirements. This may be included in the municipal entity's full audit.

Guidance:
- Each local government will have its own process; see local documentation.
- It is important to note that there may be cases where the Department's audit information is subsumed within a broader division of government and may not be specifically mentioned by name in the local government's audit.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Completed Audit

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

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

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Department's Response To The Audit

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.3	The Department's tripartite board/advisory body is notified of the availability of the local government audit.

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Board Materials/Packet
☐ Notice of Public Hearing On The Audit

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.4	The Department's tripartite board/advisory body is notified of any findings related to CSBG funding.

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Completed Audit
☐ Board/Advisory Body Minutes

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Operations and Accountability – Category 8: Financial Operations and Oversight

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

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.6	The federal tax reporting process for local governments is outside of the purview of tripartite board/advisory body therefore this standard does not apply to public entities.

Operations and Accountability – Category 8: Financial Operations and Oversight

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

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Board Materials/Packet
☐ Financial Reports Provided To The Board/Advisory Body

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.8	The payroll withholding process for local governments is outside of the purview of the Department, therefore this standard does not apply to public entities.

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

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

Guidance:
- Each local government will have its own process; see local documentation.
- If no input is allowed, this could be met through documentation of either a tripartite board/advisory body discussion or Departmental procedures noting such.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board/Advisory Body Minutes
☐ Department Budget
☐ Policy Regarding Input Into CSBG Budget
☐ Board Materials/Packet
☐ N/A

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.10	**The Fiscal Policies for local governments are outside of the purview of the Department and the tripartite board/advisory body, therefore this standard does not apply to public entities.**

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

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

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

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

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.13	The Department follows local governmental policies for document retention and destruction.

Guidance:
- Each local government will have its own process; see local documentation.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Document Retention And Destruction Policy
☐ CSBG Department Document Retention And Destruction Procedure

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 9: Data and Analysis

Standard 9.1	The Department has a system or systems in place to track and report direct services customers receive.

Guidance:
- Some funders require their own systems be used; the Department may or may not have an Department-wide system in place. As long as all services are tracked, the Standard would be met.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Data System Documentation and/or Direct Observation
☐ Reports As Used By Staff, Leadership, Board or Cognizant Funder

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Operations and Accountability – Category 9: Data and Analysis

Standard 9.2	The Department has a system or systems in place to track Family, Agency, and/or Community outcomes.

Guidance:
- Some funders require their own systems be used; the Department may or may not have an Department-wide system in place. As long as all outcomes are tracked, the Standard would be met.
- This may or may not be the same system(s) as referenced in Standard 9.1.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Data System Documentation and/or Direct Observation
☐ Reports As Used By Staff, Leadership, Board or Cognizant Funder

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs

Operations and Accountability – Category 9: Data and Analysis

Standard 9.3	The Department has analyzed its outcomes within the past 12 months.

Guidance:
-         This Standard could be met through Board or staff discussions, as long as the analysis and discussion are documented.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Strategic Plan Update/Report
☐ Other Outcome Report
☐ Staff Meeting Minutes
☐ Board/Advisory Body Minutes
☐ Board/Advisory Body Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Operations and Accountability – Category 9: Data and Analysis

Standard 9.4	The Department submits its annual CSBG Information Survey Data Report and it reflects CSBG-funded outcomes.

Guidance:
- See State CSBG Lead Agency for specifics.

Department Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ IS Data Report
☐ Email or Upload Documentation Reflecting Submission

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:

Organizational Standards Assessment Tool – Self Evaluation for Public CAAs