

CATEGORY 2: COMMUNITY ENGAGEMENT

STANDARD 2.2 The agency **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.

Guidance

- If gathered during the community assessment, it would be documented in the community assessment. If done during “other times” this may be reflected in reports, data analysis, or staff/board meeting minutes.
- Engagement may include: key informant interviews, staff participation in other community groups/advisory bodies, community-wide processes, etc.
- Documentation is needed to demonstrate that all five sectors have been engaged: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions. There is no requirement for how many individual organizations the agency must contact, or what data is collected.
- If one or more of these sectors are not present in the community or refuses to participate, then the agency needs to demonstrate the gap or a good faith effort to engage the sector(s).
- Demonstrating that you have “gathered” and “used” the information may be met in a variety of ways including, but not limited to: summarizing the data in the community assessment or its appendices; documentation of phone calls, surveys interviews, focus groups in agency files (hard copy or electronic); documentation in planning team minutes; summary reports on the data shared at board meetings or committee meetings; etc.

Glossary

- Utilizes information: Demonstrates that the governing board/staff have reviewed and considered data collected from sources as they make decisions. This may result in a change of activity or a conscious decision to maintain the status quo.
- Community: May include the geographic community the agency serves or a subset as determined by the agency.

| | MET

| | NOT MET

The Iowa Community Action Agencies Community (Stakeholders) Needs Assessment includes needs assessment data and information from key sectors of the community: community-based organizations, faith-based organizations, private sector organizations, public sector organizations, and educational institutions.

- | | The agency has documentation that confirms their agency collects assessment data and information from community-based organizations.
- | | The agency has documentation that confirms their agency collects assessment data and information from faith-based organizations.
- | | The agency has documentation that confirms their agency collects assessment data and information from private sector organizations.
- | | The agency has documentation that confirms their agency collects assessment data and information from public sector organizations.
- | | The agency has documentation that confirms their agency collects assessment data and information from educational institutions.
- | | The agency has documentation that confirms their agency utilizes data and information collected from key sectors of the community.

CATEGORY 3: COMMUNITY ASSESSMENT

STANDARD 3.1 The agency conducted a **community assessment** and **issued a report** within the past 3 years.

Guidance

- This standard refers to what is sometimes called a Community Needs Assessment, and requires that agencies assess both needs and resources in the community. The requirement for this community assessment is outlined in the CSBG Act.
- This may require State CSBG Offices to adjust timeframes for required submission.
- The report may be electronic or print, and may be circulated as the agency deems appropriate. This can include: websites, mail/email distribution, social media, press conference, etc.
- It may be helpful for agencies to document the report release date such as April 2014 or December 2015.

Glossary

- Community assessment: A comprehensive assessment of community needs and resources as defined in the CSBG Act.
- Issues a report: The report may be in electronic or print formats, and may be circulated, as the agency deems appropriate. This can include inclusion on website, distributed via email and/or regular mail, through public releases or press conferences, posted via social media, etc.

| | MET

| | NOT MET

The following assessments and resources have comprehensive community assessment data and information (qualitative and quantitative): Iowa Community Action Agencies Client Needs Assessment, Iowa Community Action Agencies Community (Stakeholders) Needs Assessment, and the online community needs assessment tool provided by the Community Action Partnership. The following resources have gender, age, race, and ethnicity data and information specific to poverty: the Community Action Partnership's online community needs assessment tool, and U.S. Census Bureau reports.

The CAA defines "issued a report" and "issue date" as:

- The day the community assessment report is formally accepted by the governing board.

The CAA defines "within the past 3 years" as:

- The issue date of the community assessment report is not older than 3 years and 2 months.
- The issue dates of the current and previous community assessment reports were within 3 years and 2 months of each

| | The agency has a community assessment report.

| | The agency's community assessment report was issued within the 3 year time frame requirement.

COMMENTS:

CATEGORY 3: COMMUNITY ASSESSMENT

STANDARD 3.3 The agency **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 is opinions, observations, and other descriptive information obtained from the community through surveys, focus groups, interviews, community forums, etc.
 - Quantitative: this is numeric information, e.g. U.S. Census data, program counts, demographic information, and other statistical sources.
- Documentation on data analysis is also required in order to meet the standard.

Glossary

- Collects and analyzes: Once the data is collected and documented, the agency reviews the data and notes trends, findings, and other information either in the community assessment or its appendices.
- Qualitative data: Qualitative data is usually collected from interviews, surveys, observations, and opinions. Quality has an “L” and can be thought of as data with “letters.” This is data that is collected directly from the “subjects.” It is often considered as “primary” data. Who do you ask? What kind of “in depth” responses do they give you that helps you assess the situation (the needs, the resources and later the outcomes) with greater understanding?
- Quantitative data: Quantitative data is usually aggregated from other sources, so it is often considered “secondary” -- meaning that all of the information collected directly from subjects is gathered together and a total of the responses are produced. Quantity has an “N” and can be thought of a data with “numbers.” How much or how many? What is the scope?
- Community assessment: A comprehensive assessment of community needs and resources as defined in the

|| MET

|| NOT MET

All Category 3: Community Assessment standards are assessed on the same 3 year time frame requirement. Therefore, if an agency is not meeting Standard 3.1, it is not meeting Standards 3.2, 3.3, 3.4, and 3.5.

- || The CAA assessed and confirmed the agency MET Standard 3.1.
- || The community assessment report* includes qualitative data for their agency's service area.
- || The community assessment report* includes quantitative data for their agency's service area.
- || The agency has documentation that confirms their agency analyzes the data and information in their community assessment report*.

*The community assessment report issued by the agency (Standard 3.1).

COMMENTS:

CATEGORY 3: COMMUNITY ASSESSMENT

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

Guidance

- There is no required way to reflect this information.
- The agency may choose to include a key findings section in the community assessment report and/or executive summary.
- Conditions of poverty may include items such as: numbers of homeless, free and reduced school lunch statistics, SNAP participation rates, etc.
- Causes of poverty may include items such as: lack of living wage jobs, lack of affordable housing, low education attainment rates, etc.

Glossary

- Community assessment: A comprehensive assessment of community needs and resources as defined in the CSBG Act.
- Key findings: A summary of the main issues identified in the community assessment on the causes and conditions of poverty. This may be found in an executive summary or in the full community assessment document.
- Causes and conditions of poverty: The community assessment should analyze the main sources of poverty and how it impacts the community. Conditions of poverty may include items such as: numbers of homeless, free and reduced school lunch statistics, SNAP participation rates, etc. Causes of poverty may include items such as: lack of living wage jobs, lack of affordable housing, low education attainment rates, etc.

|| MET

|| NOT MET

All Category 3: Community Assessment standards are assessed on the same 3 year time frame requirement. Therefore, if an agency is not meeting Standard 3.1, it is not meeting Standards 3.2, 3.3, 3.4, and 3.5.

- || The CAA assessed and confirmed the agency MET Standard 3.1.
- || The community assessment report* includes key findings on the causes of poverty** for their agency's service area.
- || The community assessment report* includes key findings on the conditions of poverty** for their agency's service area.
- || The community assessment report* includes the key finding on the needs of the communities in their agency's service area.

*The community assessment report issued by the agency (Standard 3.1).

**Low-income individual, family, and community needs are conditions of poverty. Why those conditions of poverty exist are the causes.

COMMENTS:

CATEGORY 4: ORGANIZATIONAL LEADERSHIP

STANDARD 4.3 The agency'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 agency 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 staff at the agency.
- While a ROMA trainer (or equivalent) must be involved, it is up to the agency to determine the manner in which this individual is utilized. Examples include: involving the trainer in strategic planning meetings, consultation on implementation, etc.
- This includes involving a ROMA trainer (or equivalent) in the course of ROMA cycle activities such as the community assessment, strategic planning data and analysis, and does not need to be a separate activity.

Glossary

- Community Action plan/CSBG work plan: The written document summarizing the work of the agency over the course of a contract year that is provided to the State CSBG Office.
- Strategic plan: ~~An agency-wide document, approved by the governing board, that includes the mission and vision of an agency along with goals and strategies it hopes to achieve over a set period of time, often 3-5 years. There is no singular strategic plan methodology or process an agency must use.~~ [FOR THIS STANDARD, THE CAA USES THE "AGENCY-WIDE STRATEGIC PLAN" DEFINITION IN CATEGORY 6.]
- Continuous use of the full ROMA cycle: Written documentation that the agency participates in all components of the ROMA cycle: conducted a community needs assessment, conducted planning based on the assessment, implemented services in alignment with the plan, data was collected documenting services provided and outcomes achieved, and analyzed the data provided.
- Comparable system: The CSBG Act allows for a comparable system to ROMA for performance management purposes; however, no states currently utilize a comparable system. All states currently use ROMA as their performance management system. The term "comparable system" is used to comply with current statute.

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The CAA requires agencies to submit an annual CSBG Community Action Plan and Application that follows the CSBG ROMA cycle of assessment, planning, implementation, achievement of results, and evaluation. The CSBG application also requires agencies to involve a ROMA-certified trainer or ROMA-certified implementer in the implementation of the application.

- | | The CAA confirmed (by desk audit) that the agency's CSBG Community Action Plan and Application was submitted (as directed) and accepted.
- | | The agency's strategic plan* documents the continuous use of the full ROMA cycle OR the agency's strategic planning documentation, with their strategic plan*, documents the continuous use of the full ROMA cycle.
- | | The agency has documentation that confirms their agency involved a ROMA-certified trainer or ROMA-certified implementer in the implementation** of their strategic plan*.

*The agency's strategic plan (Standard 6.1).

**Implement: to carry into effect; fulfill; accomplish

CATEGORY 4: ORGANIZATIONAL LEADERSHIP

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

Guidance

- Reporting to the governing board would most likely occur at a regular board meeting and should be reflected in the board minutes.
- It is important to note that to meet the standard the agency only has to complete the risk assessment and report to the governing board. The results of the risk assessment are internal to the agency and therefore private.
- There is no one mandatory tool for completing this task. This comprehensive assessment is more than the financial risk assessment contained in the audit and may also include such areas as insurance, transportation, facilities, staffing, property, etc. To meet the standard, the tool(s) used need to address agency-wide functions, not only individual program requirements.

Glossary

- Agency-wide risk assessment: This type of assessment goes beyond just fiscal, HR, transportation, etc., and is meant to capture a wide range of agency issues. Agencies can use a single tool to address this requirement, or use multiple tools in individual areas and work to combine/analyze the results comprehensively from an agency perspective.
- Comprehensive: The risk assessment should cover all pertinent aspects of the agency's operations, inclusive of topics such as governance, financial management, contracts and procurement, human resources, communication, service delivery, protecting vulnerable populations, transportation, and property.

|| MET

|| NOT MET

The CAA defines "within the past 2 years" as:

- The date of the completed risk assessment is not older than 2 years and 2 months.
- The dates of the current and previous completed risk assessments were within 2 years and 2 months of each other.

|| The agency has documentation that confirms their agency completed a comprehensive agency-wide risk assessment within the 2 year time frame requirement.

|| The agency's board minutes confirm that the agency reported to the governing board that an agency-wide risk assessment was completed by the agency.

COMMENTS:

CATEGORY 7: HUMAN RESOURCE MANAGEMENT

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

Guidance

- There is no requirement that the attorney be paid, but should be a currently practicing attorney.
- Final reviews by attorneys on the governing board or on staff are not recommended, but are not disallowed.

- Note that the review needs to have occurred at some point during in the past 5 calendar years.
- Agencies may work with human resource professionals (such as SHRM certified staff) and others (attorneys on staff or on the governing board) prior to the legal review to minimize cost.
- Note that not all attorneys are familiar with human resource issues and agencies are encouraged to use attorneys with this type of expertise.

Glossary

- **Policy:** An approved system of what is going to be done. A *procedure* is how the policy will be carried out. Policies are guidelines that regulate organizational affairs. They direct the conduct of people and the activities of the systems. Policies explain how the agency intends to operate.
- **Reviewed by an attorney:** A licensed attorney has reviewed and provided the governing board with assurances the document complies with applicable laws. There is no requirement that the attorney must be paid; they may be pro bono. While recommended that the attorney is not a board member, there is no prohibition of this in the standard. A written report from the attorney would document such a review.

- **Approved by governing board:** Reviewed at either a board committee or full board. If reviewed at the committee level, the committee would recommend approval to the governing board and the full board votes to approve and the vote is recorded in the board minutes.

|| MET

|| NOT MET

The CAA defines "within the past 5 years" as:

- The date of the governing board approval is not older than 5 years and 2 months.
- The dates of the current and previous governing board approvals were within 5 years and 2 months of each other.

|| The agency has written personnel policies.

|| The agency has an invoice/letter/statement or other documentation confirming that an attorney reviewed the personnel policies within the 5 year time frame requirement.

|| The agency's board minutes confirm that the governing board approved the personnel policies within the 5 year time frame requirement.

COMMENTS:

CATEGORY 7: HUMAN RESOURCE MANAGEMENT

STANDARD 7.5 The governing board reviews and approves CEO/Executive Director compensation within every calendar year.

Guidance

- The full board should review and approve the total compensation at a regular board meeting and have it reflected in the board minutes.
- This includes: salary, fringe, health and dental insurance, expense/travel account, vehicle, etc.
- As a point of reference, the IRS Form 990 asks: Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision? If so, describe the process.
- The compensation review and approval often happens in conjunction with the CEO/Executive Director performance appraisal.

Glossary

- Approved by governing board: Reviewed at either a board committee or full board. If reviewed at the committee level, the committee would recommend approval to the governing board and the full board votes to approve and the vote is recorded in the board minutes.
- CEO/Executive Director compensation: The salary, fringe, health/dental, retirement, vehicle, travel/expense account, raise, incentive compensation, deferred compensation, and any other item the CEO/Executive Director receives. This full package is shared with the full board each calendar year.
- Within every calendar year: ~~This is meant to convey that an activity would happen once each year, e.g. 2014, 2015, 2016. It is hoped that activities that have this notation would happen annually; however, it may be that an activity could fall in February 2015 and December 2016 and this would be compliant with "each calendar year".~~ [THE CAA WILL ASSESS THE AGENCY ACCORDING TO THE CAA'S "WITHIN EVERY CALENDAR YEAR" TIME FRAME DEFINITION.]

|| MET

|| NOT MET

The CAA defines "within every calendar year" as:

- The date of the governing board approval is not older than 1 year and 2 months.
- The dates of the current and previous governing board approvals were within 1 year and 2 months of each other.

- || The agency's board minutes (or appropriate board committee minutes) confirm that the governing board (or appropriate board committee) conducted an annual CEO/Executive Director compensation review.
- || The agency's board minutes confirm that the governing board approved the annual CEO/Executive Director compensation.
- || The annual compensation review of the CEO/Executive Director was conducted within the calendar year time frame requirement.

COMMENTS:

CATEGORY 9: DATA AND ANALYSIS

STANDARD 9.3 The agency 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.

Guidance

- This standard would be met through governing board or staff discussions as long as the analysis and discussions are documented.
- It is important to note that an agency is likely to have multiple programs with varying program years. This standard addresses an annual review of agency outcomes. Agencies are likely to make operations and strategic program adjustments throughout the year, making a single point in time analysis less effective than ongoing performance management.
- Agencies can meet this standard by having: an annual governing board discussion of agency outcomes, multiple conversations over the course of the year, or other process the agency deems appropriate as long as these discussions are reflected in the minutes, with any operational or program adjustments or improvements being noted.
- Agencies are not required to make adjustments in order to meet the standard, only to have conducted an analysis.

Glossary

- Operational or strategic program adjustments and improvements: Outcomes analysis may lead to operational or strategic program changes. Such changes may include but not limited to change in expected participation rates, service locations, project partners, service delivery strategies, performance measures, etc.

|| MET

|| NOT MET

The CAA defines "within the past 12 months" as:

- The date of the presentation is not older than 1 year and 2 months.
- The dates of the current and previous presentations were within 1 year and 2 months of each other.

|| The CAA assessed and confirmed the agency MET Standard 4.4.

|| The CAA assessed and confirmed the agency MET Standard 6.5.

Did the agency make any adjustments to the goals outlined in their strategic plan*?

YES NO If YES, assess the following:

|| The agency's board minutes confirm that the agency reviewed the adjustments to the goals outlined in their strategic plan* with the governing board.

*The agency's strategic plan (Standard 6.1).

COMMENTS:

