



N A S C S P

NATIONAL ASSOCIATION FOR STATE COMMUNITY SERVICES PROGRAMS

MONITORING FOR THE CSBG ORGANIZATIONAL STANDARDS

Org. Standards Monitoring in Wisconsin

Katie Castern,

Bureau of Working Families Contract Manager

ORG. STANDARDS MONITORING IN WISCONSIN

Phase 1:

Summer 2014 – Added the draft Org. Standards to the regular CSBG monitoring process

Until the Standards were finalized, failure to meet Standards resulted in recommendations on the monitoring report, not findings.

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Phase 1 (continued):

During CSBG monitoring:

- Every Org. Standard was covered.
- I made sure that agencies' board members were aware of the draft Org. Standards.

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Phase 1 (final step):

Status Report – As a result of onsite monitoring, by October 2015, we had a report summarizing how our state's CAAs were doing with the Org. Standards.

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Phase 2:

2016 Desk Audit – The agencies are completing a Self Assessment Tool and providing documentation show compliance with the Org. Standards.

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Phase 2 (continued):

The Self Assessment Tool is individualized in advance for each agency based on information provided through the regular CSBG monitoring process.

For example, if an agency showed in monitoring that it was meeting a particular Standard, this is indicated in the Self Assessment Tool and the agency is not required to provide further documentation about that Standard.

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Agency Name: <u>West CAP</u>		Date of Last Onsite CSBG Monitoring Visit: June 29 and 30, 2015	
		Date of Completion:	
		Contact Person:	
Maximum Feasible Participation – Category 1: Consumer Input and Involvement	Is the agency meeting this Standard?	Description of how the agency is meeting this Standard.	Documentation provided by the agency to demonstrate compliance with the Standard
1.1) The organization demonstrates low-income participation in its activities.			
1.2) The organization analyzes information collected directly from low-income individuals as part of its triennial community needs assessment.			
1.3) The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.			
Maximum Feasible Participation – Category 2: Community Engagement	Is the agency meeting this Standard?	Description of how the agency is meeting this Standard.	Documentation provided by the agency to demonstrate compliance with the 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.			
2.2) The organization 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.			
2.3) The organization communicates its activities and its results to the community.			
2.4) The organization documents the number of volunteers and hours mobilized in support of its activities.	Yes	DCF has observed that the agency is meeting this standard.	2016 IS Survey

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Operations and Accountability – Category 8: Financial Operations and Oversight	Is the agency meeting this Standard?	Description of how the agency is meeting this Standard.	Documentation provided by the agency to demonstrate compliance with the 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 Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.	Yes	The agency contracts with an accounting firm to have an audit completed each year.	DCF receives a copy of the agency's audited financial statement each year.
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.	Yes	There were no findings in the agency's prior year audit.	DCF receives a copy of the agency's audited financial statement each year.
8.3) The organization's auditor presents the audit to the governing board.			
8.4) The governing board formally receives and accepts the audit.			
8.5) The organization has solicited bids for its audit within the past 5 years.	Yes	DCF observed compliance with this standard at the 2015 onsite monitoring visit as West CAP's policy is to solicit bids for its audit every three years.	None needed.
8.6) The IRS Form 990 is completed annually and made available to the governing board for review.			

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Phase 3:

Each agency will complete a Technical Assistance Plan (TAP) to describe its plans and timeline for complying with any Standards that it is not currently meeting.

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Beyond 2016:

Wisconsin will continue with annual Organizational Standards desk audits, in addition to ongoing CSBG onsite monitoring every three years.



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Org. Standards Monitoring in Illinois

Adrian Angel,
CSBG Program Manager

STATE DYNAMICS

- \$33.6 million Grant
 - Admin of \$1,681,056
 - 90% of \$30,648,999
- Currently staff of 3
- 36 Community Action Agencies
 - 25 Non Profits
 - 11 Public
- 4 discretionary grantees



ORG. STANDARDS MONITORING IN ILLINOIS

2014

- State conducted a round table to discuss Org. Standards
- Grantees completed a self-evaluation
- State staff reviewed the evaluations with the Grantees to provide clarification



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2014

- Self-evaluation tools were shared with the State Association
- State Association completed an analysis of Org Standards
- Baseline established for Grantees
- T/TA areas were identified

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2015

- Monitoring tools were revised incorporating Standards
- Roundtables held based on most critical T/TA needs
- Transferred \$5,000/agency in discretionary funds to 90% for grantee specific T/TA needs

I. Organizational Leadership

Does the CAA have the appropriate administrative leadership (i.e., Chief Executive Officer, Chief Financial Officer, Chief Operating Officer) capacity to meet the agency goals? Identify staff/role. (Obtain organizational chart)



Does the organization have 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? *(OS 4.5) Monitoring Note: Request a copy of the plan for review*

Yes ☐ No ☐

Does the organization have an organization-wide, comprehensive risk assessment that has been completed within the last 2 years and reported to the Governing Board? *(OS 4.6) Monitoring Note: Request a copy of the assessment for review and ensure it is agency wide and not just program specific*

Yes ☐ No ☐

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2016

- Implemented a CSBG Work Group
 - Consists of association, agency and State staff
 - Approved using a Likert scale
 - Developed a “Guide on Meeting and Exceeding Organizational Standards” document
- Grantee’s completed a self-evaluation tool

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Likert Scale

- Scale of 1 (Unsatisfactory) – 5 (Beyond Compliance)
- Increases agency's "honesty" when completing the self-evaluation
- Allows for documentation of progression towards meeting the standards
- Improves timely T/TA

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Guide on Meeting and Exceeding Org. Standards

- Used Community Action Partnership tool as basis
- Places all 58 Standards, on one tool
- Lists examples of documents needed to show compliance

Category 1: Consumer Input and Involvement

Standard	Types of Documentation to Meets Standards	Types of Documentation to Exceeds Standards
1.1 The organization demonstrates low-income individuals' participation in its activities.	<ul style="list-style-type: none">▪ Meeting notes with local parent policy council (Head Start Agencies)▪ Surveys CNA▪ Board bylaws—process for low income recruitment▪ Attendance lists▪ Minutes▪ CAP Plan▪ Agenda/materials/sign in sheets of training to help build low income capacity▪ Minutes from focus group<ul style="list-style-type: none">-Focus groups-One-on-One Interviews-Community Forums	<ul style="list-style-type: none">▪ Leadership development outside of Head Start▪ Low-income individuals actually seated on board▪ Volunteer training
1.2 The organization analyzes information collected directly from low income individuals as part of the community assessment.	<ul style="list-style-type: none">▪ Analysis of data to represent low income voice▪ Data analysis included in CAP plan▪ Summary of Low Income needs assessment surveys in the CAP Plan	<ul style="list-style-type: none">▪ Dashboard illustrates input from case management and data gathering methods▪ Written Policy and Procedure

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2017 and Beyond

- CAA's will develop Technical Assistance Plans
- Peer groups will be established to assist in assisting under performing agencies
- Results of self-evaluation will be used in annual risk assessment
- State is developing a .net desktop monitoring system

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- Will allow for State CSBG staff to set up questions
- Questions will be grouped by category
- Agency's will complete a self evaluation uploading supporting documents
- State staff will review and provide an evaluation
- Any differences in scores are explained in the comments
- Follow up dates are recorded for an audit trail

Question |

Attach Supporting Document Page # of Support

[Add Supporting Document](#)

C/LAA Evaluation

Likert Scale/ Yes or No/ Short Answer

Comments

DCEO Evaluation

Likert Scale/ Yes or No/ Short Answer

Comments

Follow up Date [Click here to enter a date.](#)

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MONITORING FOR THE CSBG ORGANIZATIONAL STANDARDS

Org. Standards Monitoring in Nebraska

Jennifer Dreibelbis,
CSBG Program Specialist, NE DHHS

ORG. STANDARDS MONITORING IN NEBRASKA

Federal Fiscal Year 2016 (State review)

CSBG State Program reviewed all nine (9) Nebraska agencies in person.

Provided final reports by August 2016

State CSBG Program and State Association are planning Training and Technical Assistance for FFY2017 based on Org. Standards results.

Started TAP reports in October 2016 for implementation in FFY2017.

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Results

Overall the nine agencies did pretty well on the first year of Organizational Standards.

Scores ranged from 64% to 98% with the average score being 84%.

- Six (6) agencies missed two (2) standards: 8.4, 8.6
- Five (5) agencies missed four (4) standards: 4.5, 4.6, 5.7, and 6.4
- Four (4) agencies missed five (5) standards: 3.2, 4.4, 5.4, 7.5, and 8.13

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Results (cont.)

Looking at the results we did best in Category 2 Community Engagement and Category 9 Data and Analysis.

The categories where we struggled were: Category 4 Organizational Leadership, Category 6 Strategic Planning.

Individual standards show a little more detail on where we might want to focus our training and technical assistance efforts in Year 2. Category 4 Organizational Leadership, Category 5 Board Governance and Category 8 Financial Operations and Oversight had the most agencies missing one or two of the standards.

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TAP Plan

- Agencies had until August 18 (end of Nebraska CSBG State Plan public comment period) to turn in documents to meet unmet standards. Those who submitted, increased their scores by 3 or 4 points bringing our state average to closer to 88%.
- Nebraska is using the TAP Plan template from Community Action Partnership. Agencies must submit the completed forms by October 31, 2016.
- State will list missed standard, agency responsible for identifying timeline not to exceed one year.

Federal Fiscal Year 2017 Peer Review

Agencies will peer review each other looking at the TAP plan and assessing the missed standards and a random review of categories. The state office and state association will randomly pick the categories to be checked. Agencies must be ready to have all standards reviewed.

Peer review assignments will take into account the distance to travel.

We know: 98 will review 64; 90 will review 76 and 90 will review 79

The other six (6) peer reviewed agencies will be decided in October in consultation with the State Association office.

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Lessons Learned

- Agencies that had training in Pathways did better
- Assigning specific individuals to certain standards helped the review process go faster
- Having all the documents grouped together by standard very helpful. We recommended binders but did not require agencies to present information that way
- An in person exit interview was crucial. In all cases, agencies were able to change a Not Met to Met with additional documentation or clarification.
 - For example: Agencies were successful in addressing 'opportunity for training' and revising the definition for the state

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QUESTIONS/COMMENTS