

# How do they fit together? Organizational Standards Monitoring, Corrective Action Plans, QIPs & TAPs

## NASCSP State Monitors Training

March 27, 2017

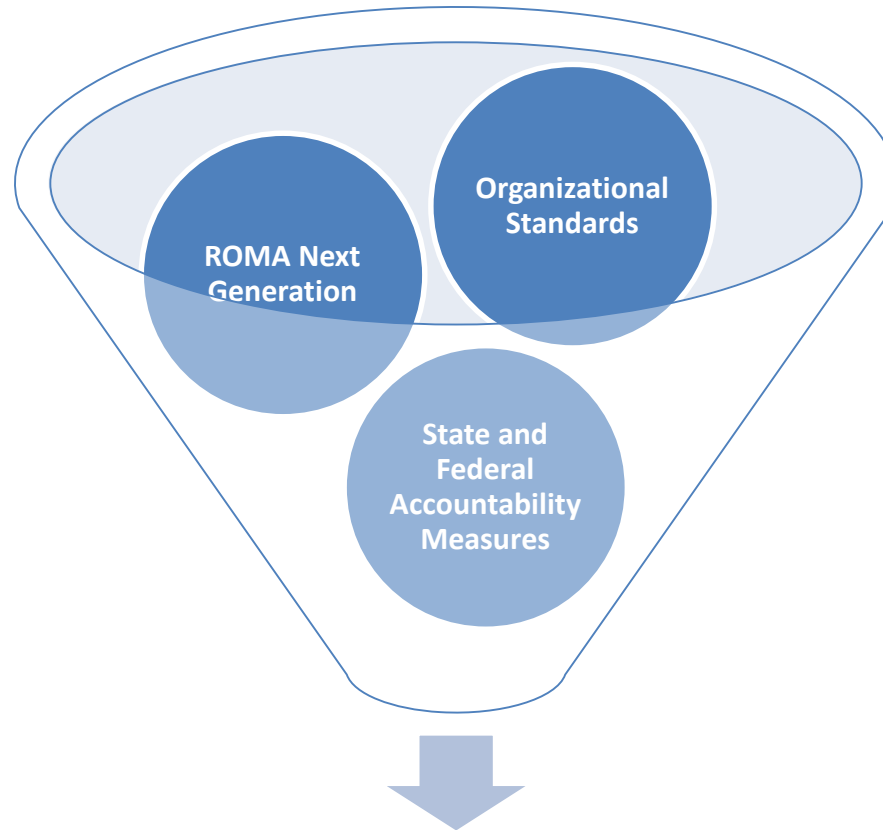
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*This publication was created by the National Association of Community Action Agencies – Community Action Partnership, in the performance of the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Community Services Grant Numbers 90ET0434, 90ET0445., 90EQ0231, 90ET0437, and 90ET0428. Any opinion, findings, and conclusions, or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Health and Human Services, Administration for Children and Families.*



# 2012-2018 Performance Management Efforts in Community Action



**Updated CSBG Performance Management System**

# The National Community Action Network Theory of Change

## Community Action Goals

Individuals and families with low incomes are stable and achieve economic security.

Communities where people with low incomes live are healthy and offer economic opportunity.

People with low incomes are engaged and active in building opportunities in communities.

## Services and Strategies

(some examples from the network)



Health Assessment



Housing Placement



Family Support Services



Employment Coaching



Educational Programs



Policy Change



Community Development



Partnerships



Collective Impact



Advocacy

## Community Action Core Principles

- Recognize the complexity of the issues of poverty
- Build local solutions specific to local needs
- Support family stability as a foundation for economic security
- Pursue positive individual, family and community level change
- Maximize involvement of people with low incomes
- Engage local community partners and citizens in solutions
- Leverage state, federal and community resources
- Advocate for systemic change

## Performance Management

How Well Does the Network Operate?

What Difference Does the Network Make?

Network Excellence

- Local Organizational Standards
- State and Federal Accountability Measures
- Results Oriented Management and Accountability System

Robust Results

- National Performance Indicators for Individuals and Families
- National Performance Indicators for Communities

A national network of over 1,000 high-performing Community Action Agencies, State Associations, State offices, and Federal partners supported by the Community Services Block Grant (CSBG) to mobilize communities to fight poverty.

To learn more, check out the Community Action Theory of Change Report. [www.nascsp.org](http://www.nascsp.org)



# CSBG Organizational Standards:

- Demonstrate accountability across a complex system
- Work together to characterize an effective and healthy organization
- Build trust
- Provide a roadmap for Continuous Organizational Improvement
- Have buy-in at all levels

# IM 138

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## ***COMMUNITY SERVICES BLOCK GRANT***

### **Information Memorandum**

U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services  
Division of State Assistance  
370 L'Enfant Promenade, S.W.  
Washington, D.C. 20447

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**Transmittal No. 138**

**Date: January 26, 2015**

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**TO:** State Community Services Block Grant (CSBG) Administrators, U. S.  
Territory CSBG Administrators, Eligible Entities, and State Community  
Action Associations

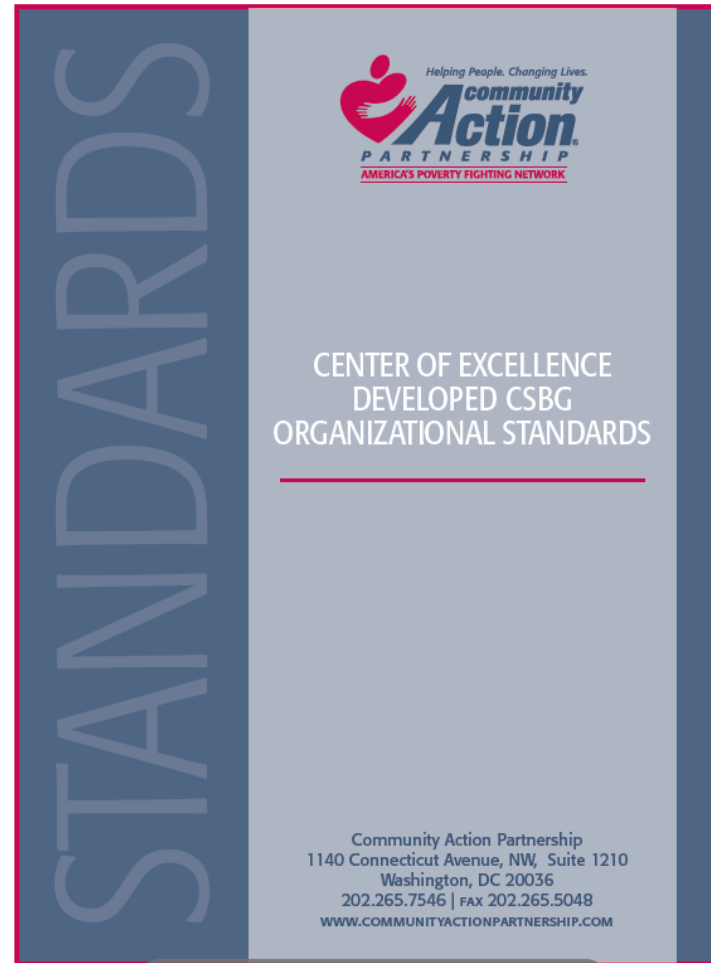
**SUBJECT:** State Establishment of Organizational Standards for CSBG Eligible  
Entities under 678B of the CSBG Act, 42 U.S.C. § 9914

# IM 138

- Summer of 2015- State Plans address Standards Implementation
- FY 2016 - All States will Implement Standards
- Impact on State Plans, Monitoring, Annual Report
- States Identified Standards Used
  - COE-Developed Standards (OCS recommends)
  - COE-Developed Standards-Modified
  - State Alternative Standards (as rigorous as COE)

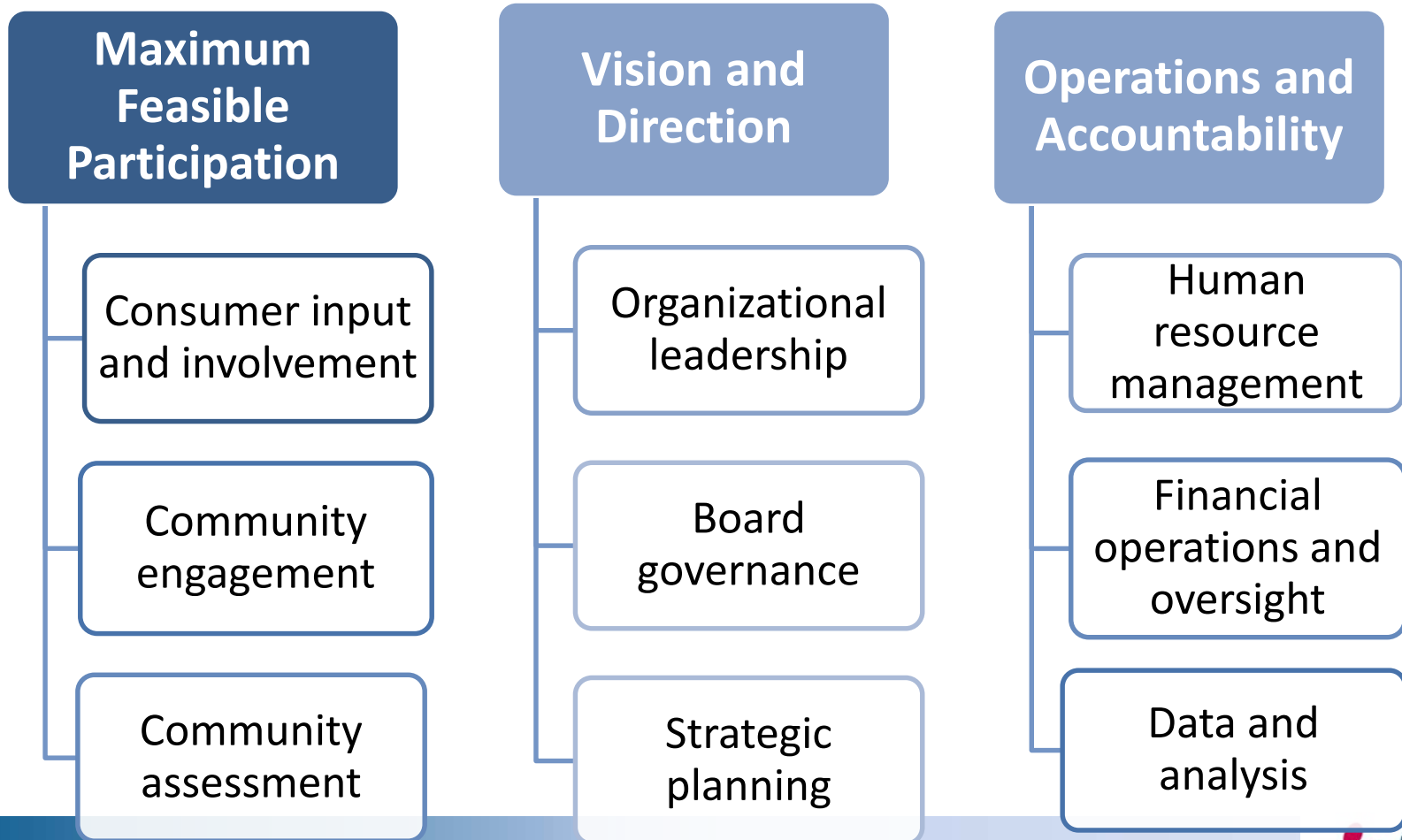
# CSBG Organizational Standards

- IM 138
- 58 Private CAAs
- 50 Public CAAs



# CSBG Organizational Standards

Organized into three thematic groups





# M 138-Assessment

- States are responsible for ensuring that the eligible entities **meet all State-established organizational standards**. Some standards (i.e., strategic planning, developing an agency-wide budget, etc.) may take several years for eligible entities to meet, but every entity must make steady progress toward the goal of meeting all standards.

# During the assessment process...

- If a State finds an eligible entity is not meeting a standard or set of standards, the State's response will depend on the circumstances.
  - In cases where the eligible entity may be able to meet the standard in a reasonable time frame contingent on some targeted technical assistance, **the State and entity may develop a technical assistance plan** to target training and technical assistance resources and outline a time frame for the entity to meet the standard(s). If appropriate in other situations, the State may initiate action...including the establishment of a Quality Improvement Plan (QIP) with clear timelines and benchmarks for progress.
- As long as the State is confident that the eligible entity is moving toward meeting standards, under a technical assistance plan, QIP, or other oversight mechanism, **the State should not initiate action to terminate or reduce funding.**

# During the assessment process...

- The failure of an eligible entity to meet multiple standards may reflect deeper organizational challenges and risk. In those cases, a State must determine whether it may be necessary to take additional actions, including reducing or terminating funding, in accordance with CSBG IM 116 (Corrective Action, Termination, or Reduction of Funding), issued May 1, 2012. OCS and States do not have the authority under the CSBG Act to bypass the process described in CSBG IM 116 in order to re-compete CSBG funding based on failure to meet organizational standards.

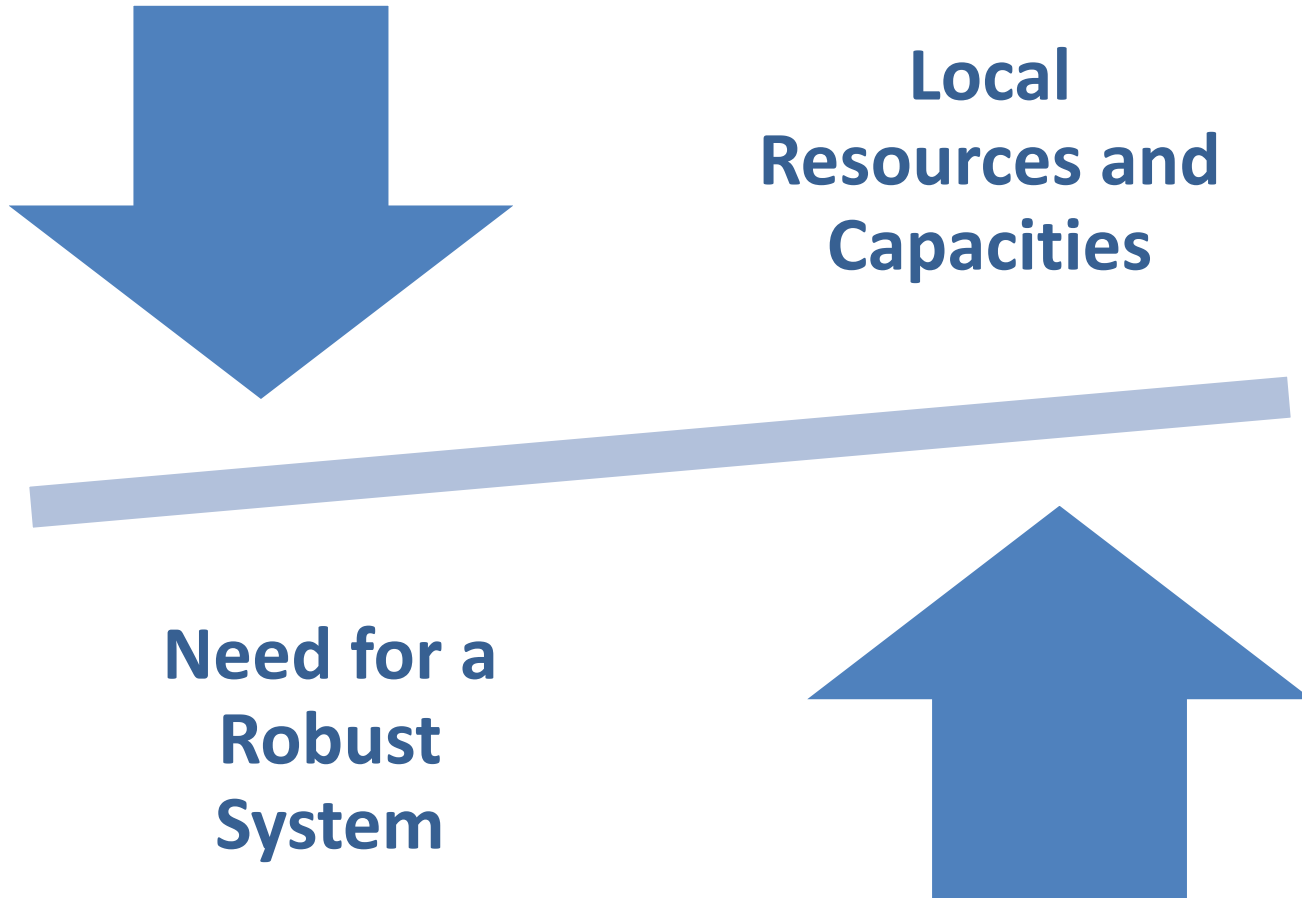
# Implementation

- States must follow a process that is **consistent with State rules** and is as fair and reasonable as possible.
- **Allow for input from the boards and leadership of eligible entities** on the timing and procedures for implementing, documenting, and reporting on the standards.
- **Integrate** the organizational standards in State CSBG plans, contracts with eligible entities, funding documents, and oversight and monitoring instruments and reports.
- **Clearly communicate** expectations around organizational standards **prior** to State oversight and monitoring activities.
- Only modify organizational standards based on established State rules and procedures that are publicly communicated and transparent.

# The State Plan Describes...

- Whether the State is using the COE-developed organizational standards (and any modifications, if applicable);
  - Alternative organizational standards, if applicable;
  - The process for establishing organizational standards officially in the State (e.g., through State regulation, contract terms and conditions, or other official policy documents), including a timeline;
  - The approach for assessing eligible entities against standards;
  - Procedures for corrective action activities based on organizational standards; and
  - Exceptions for limited purpose or very small eligible entities, if applicable.
- States will report on the status of eligible entities based on organizational standards through the **required CSBG Annual Report**.

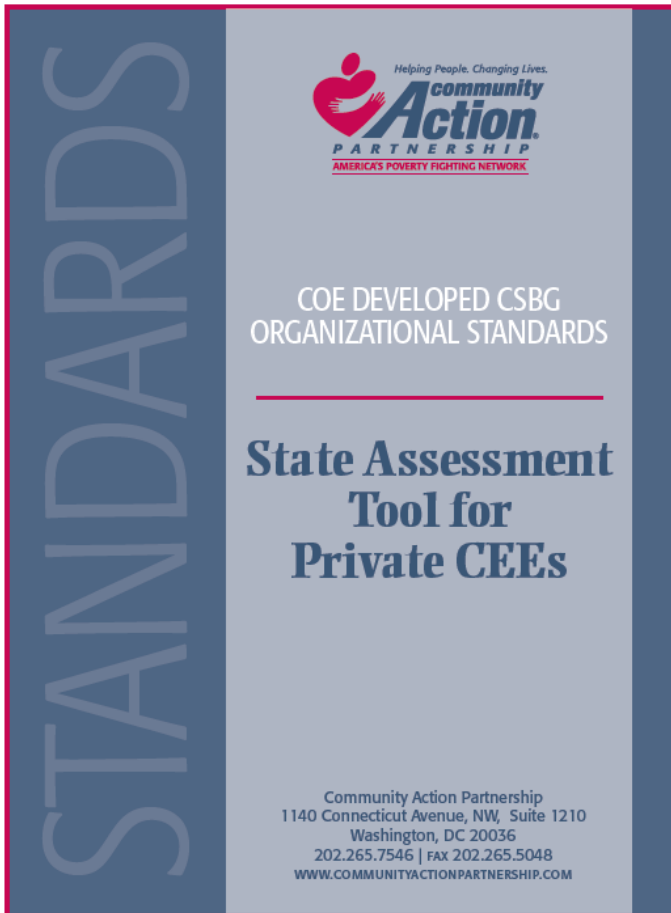
# Balancing Act



# Reminders

- Many of the Standards address processes, not participation in the processes-use caution when interpreting.
- Keep it direct and straightforward.
- All parties work together to meet the Standards.
- No one is 100% correct on anything 100% of time.  
Human beings are doing this work at both the CAA and State CSBG Office and we need to work together.

# Tools to Help Assess



- Assessment Tool
- Separate Tools for States and CAAs
- Separate Tool for Private and Public CAA State Assessments
- Includes Final COE-Developed Standards Language
- COE Guidance



# Assessment Template

States and CAAs

Summary Sheet

Documentation Packet



## CSBG Organizational Standards-Self Assessment Sample Documentation Packet

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

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

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

A CAA's Documentation Packet may be:

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

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

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

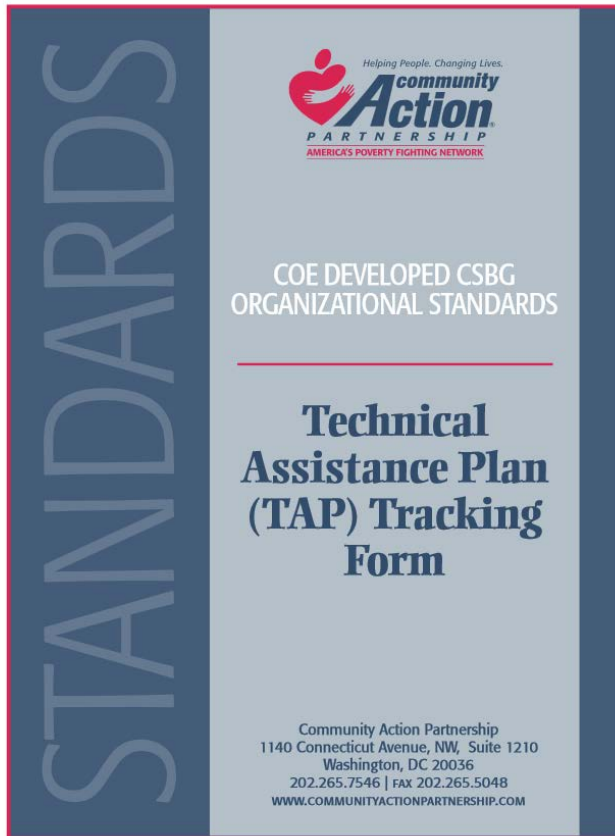
Date of Assessment \_\_\_\_\_

Agency Name \_\_\_\_\_

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

Standard Number	Standard	Standard Category	CAA Assessment Met <input checked="" type="checkbox"/>	CAA Assessment Not Met <input type="checkbox"/>	Documentation Packet Page Number(s)	State's Assessment Agrees with CAA's Y/N	Notes
1.1	The organization demonstrates low-income individuals' participation in its activities.	Consumer Input and Involvement					
1.3	The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.	Consumer Input and Involvement					
2.1	The organization has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.	Community Engagement					
2.3	The organization communicates its activities and its results to the community.	Community Engagement					
2.4	The organization documents the number of volunteers and hours mobilized in support of its activities.	Community Engagement					
4.2	The organization's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.	Leadership					

# Technical Assistance Plan Tracking Form



## DRAFT STATE TECHNICAL ASSISTANCE PLAN TRACKING FORM\*

AGENCY NAME: \_\_\_\_\_

MONITOR NAME: \_\_\_\_\_

DATE FORM COMPLETED: \_\_\_\_\_

[illegible]

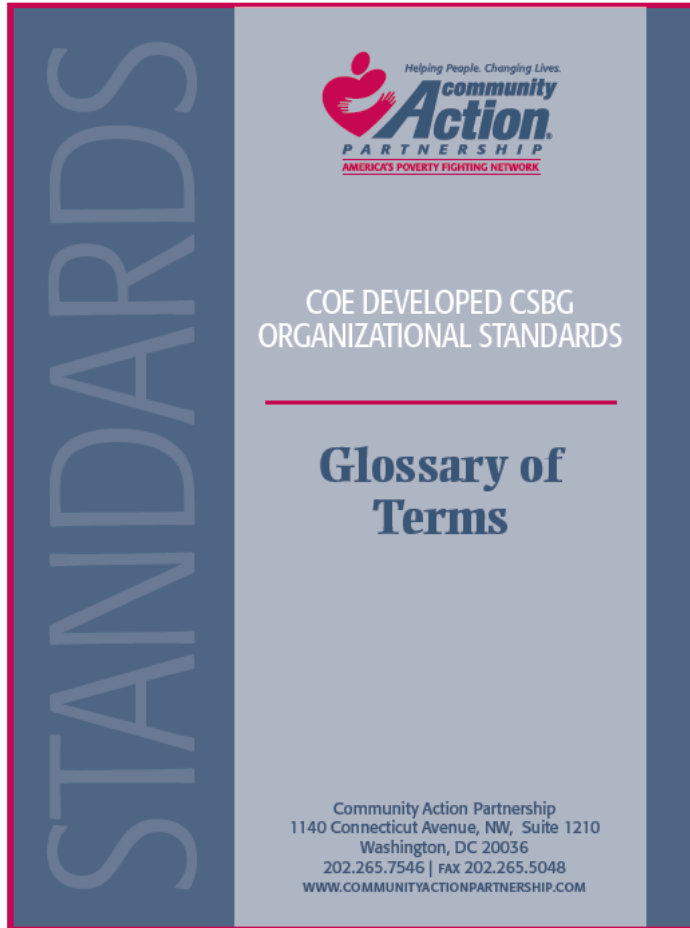
\* Please attach other documents as needed and appropriate. Form may be modified/adapted, as needed, by State CSBG Offices. Form may be completed quarterly or as frequently as needed.

\*\*NS (Not Started) UW (Underway) C (Task Completed)

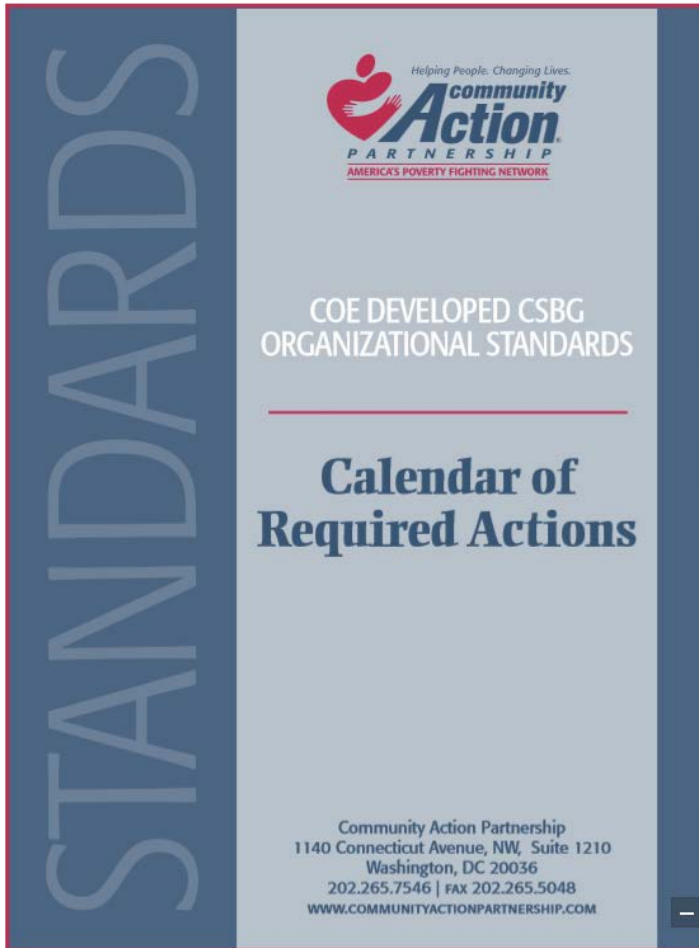
# Tools to Help Assess

## Glossary of Terms

This glossary is provided as guidance by the Organizational Standards Center of Excellence (OSCOE). It is intended to provide some clarity as to the intent of the CSBG Working Group in the development of the Standards. Please note that this is not official guidance and CAAs and State CSBG Offices are encouraged to work together to come to agreement on definitions and to refer to the CSBG Act and Office of Community Services' Information Memoranda when needed.



# Calendar of Required Actions



- Annually
- Every 2 Years
- Every 3 Years
- Every 5 Years
- Documentation

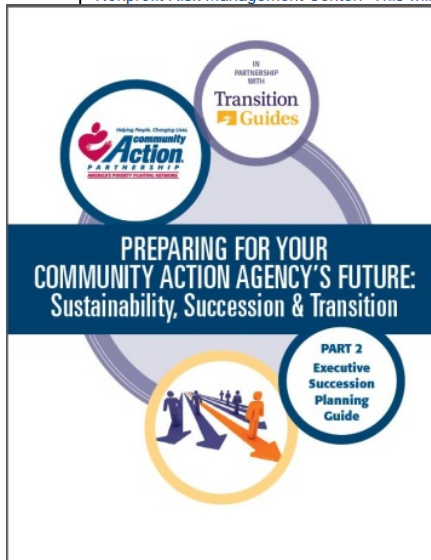
# Tools Already Available to Help CAAs Meet the Standards

## ONLINE TOOLS . . . .



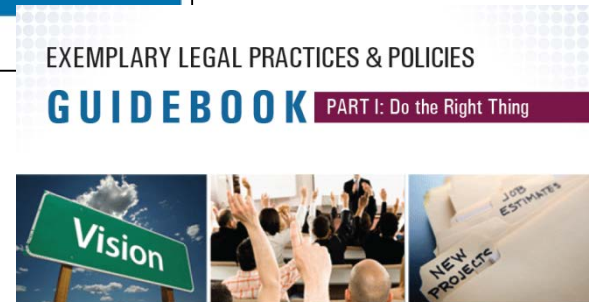
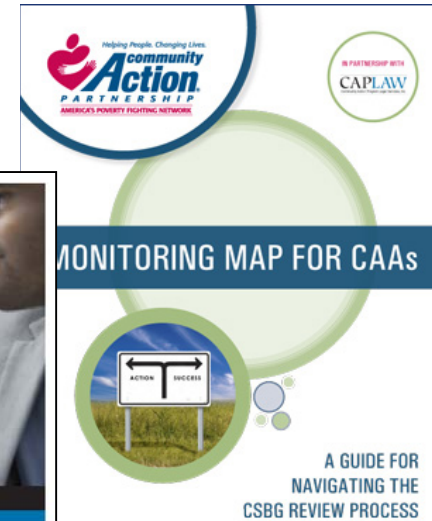
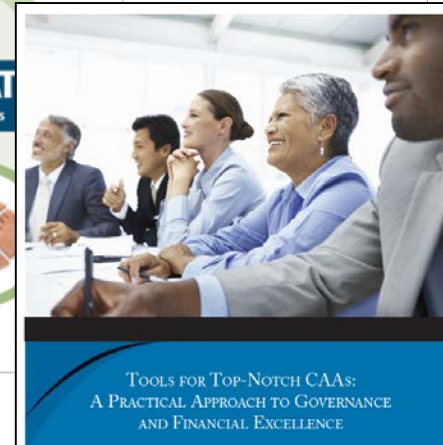
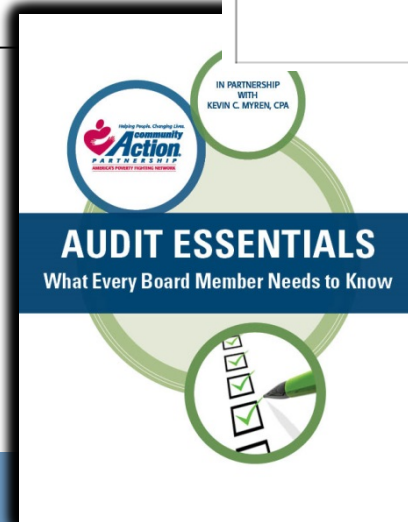
[Click to access information and resources](#)

Click on the logo above to be taken to the National Training Center's Affiliates Page or the Nonprofit Risk Management Center. This will be your entry page to the various affiliate resources available through the Community Action Partnership's National Training Center.



risk management resources as well as a list of CSBG eligible entities. The tool may be purchased at a discounted rate.

Contact us at [info@nonprofitrisk.org](mailto:info@nonprofitrisk.org)



How CAAs Can Cultivate a Culture of Compliance and High Ethical Standards

# Boards of Directors/Advisory Boards

- Handouts
- Videos



## Community Action Agency Boards of Directors and the CSBG Organizational Standards

The Boards of Directors plays a unique and important role in the life of a Community Action Agency. While staff members transition, founding directors retire, and programs change, the board offers consistency in purpose, intent, and responsibility. The governing board acts as a body, not as individuals, and its members are bound by the Duties of Care, Loyalty, and Obedience, bearing legal liability for their individual actions as well as those of the corporation.



# Community Action Partnership YouTube Channel-Board Videos

e.com/playlist?list=PLMVDY93 Community Action Partnership COE-developed CSBG Orga... Upload Sign in

Community Action Partnership Videos Playlists Channels Discussion About

## COE-developed CSBG Organizational Standards - What Do Boards Need To Know?

by Community Action Partnership • 10 videos • Updated yesterday

This series of 10 videos are designed to introduce governing boards of Private (nonprofit) Community Action Agencies to the COE-developed CSBG Organizational Standards. For more information on the Organizational Standards please visit [bit.ly/sta...](http://bit.ly/sta...) more

Play all Share Save

- Standards for Boards Introduction**  
by Community Action Partnership 11:36
- Standards for Boards - Consumer Input and Involvement**  
by Community Action Partnership 3:56
- Standards for Boards - Community Engagement**  
by Community Action Partnership 7:04
- Standards for Boards - Community Assessment**  
by Community Action Partnership 6:26
- Standards for Boards - Organizational Leadership**  
by Community Action Partnership 11:59

# Toolkits and Webinars for Each of the Nine Categories

- Additional Guidance
  - Definition
  - Compliance
  - Document
- Beyond Compliance
- Resources
- Assessment Scales





## 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.

### A. Guidance on the Definition and Intent of the Standard

The CSBG Act states that CAA boards must have the tripartite structure noted above, including at least one-third of its membership being democratically selected representatives of the low-income community. Standard 5.2 states that CAAs need to have written procedures for how this is done in their local organization. It is important to note that the Act states democratically *selected*, not elected. Once a potential board member is selected, that individual will still need to be elected and seated to the board following the CAA's bylaws and board policies.

According to IM 82 "the implicit intent of this requirement is to insure that those who currently live in areas served by the agency are represented so that they have a strong voice in agency governance and direction and are able to convey to those they represent the presence and significance of community action in their lives." All CAA board members have an equal voice and vote in agency governance.

IM 82 continues, "Every effort should be made by eligible entities to assure that board members representing low-income individuals and families:

- Have been selected on the *basis of some form of democratic procedure* either directly through election, public forum, or, if not possible, through a similar democratic process such as election to a position of responsibility in another significant service or community organization such as a school PTA, a faith-based organization leadership group; or an advisory board/governing council to another low-income service provider;
- Are *truly representative of current residents* of the geographic area to be served, including racial and ethnic composition, as determined by periodic selection or reselection by the community. Being current should be based on the recent or annual demographics changes as documented in the needs/ community assessment. This does not preclude extended service of low-income community representatives on boards, but does suggest that continued board

### B. Guidance on Compliance and Documentation

Documentation may include the written policy itself, board policy or procedure manual, bylaws, minutes, etc.

CAAs are encouraged to keep this process straightforward and not to incorporate something too complex. Examples of democratic selection procedures for low-income sector directors include:

# Toolkit Sections



Source: CAPLAW's Tools for Top-Notch CAAs

### C. Beyond Compliance: Benchmarking Organizational Performance

Having true representation from the low-income community is an important element of a CAA governance structure. Working to ensure that all board committees (beyond committees that have decision making authority which are already required to maintain the structure) have a tripartite structure can help a CAA move beyond compliance toward excellence. In addition, incorporating advisory committees that engage low-income residents can also bring additional voice to the table.

### D. Resources

As with the first standard in this category, this requirement is not new. Such procedures may be written in the agency's bylaws (and under some states' CSBG laws or regulations, may be required to insert it into the CAA's bylaws), procedure manuals, or other document to meet this Standards.

CAPLAW. *Tools for Top-Notch CAAs: A Practical Approach to Governance and Financial Excellence*. (2011). <http://caplaw.org/resources/PublicationDocuments/TopNotchToolkit.html>

Information Memorandum (IM) 82. *Tripartite Boards*. Issued March 23, 2005 <http://www.acf.hhs.gov/programs/ocs/resource/im-no-82-tripartite-boards>

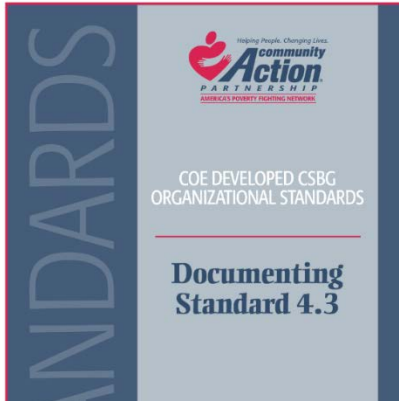
# Assessment Scales

- For Internal Use by CAAs Only
- Moving Beyond Compliance
- Accompanying webinars

	Documentation Used	Unacceptable	Unsatisfactory	Satisfactory	Advancing	Outstanding	Action to be Taken	Individual(s) Responsible	Target Date(s)
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.	•								
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.	•								
Standard 5.3 The organization's bylaws have been reviewed by an attorney within the past 5 years.	•								

	Unacceptable	Unsatisfactory	SATISFACTORY	Advancing	Outstanding
<b>Standard 5.1</b>	Our bylaws do not reference the tripartite structure.	Our bylaws reference the tri-partite structure but the board does not reflect this.	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.	Our low income board seats are filled with people living in low-income communities, standing committees that have the power to act on behalf of the board (such as the executive committee) have a tripartite structure.	Our board and each standing committee reflect the tripartite nature of the board structure.
<b>Standard 5.2</b>	We do not have a written democratic selection process and the board does not have 1/3 of its membership coming from the low income community	We do not have a written democratic selection process but the board is seated with 1/3 being representatives of the low income community.	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.	Our written procedure for selection is followed and reviewed by the board (or appropriate committee) every five years to assess its success and modified as needed.	Our written procedures are reviewed prior to each board election cycle to ensure that the process is inclusive and is reaching the intended low-income community.
<b>Standard 5.3</b>	It has been more than 10 years since our bylaws were reviewed by an attorney, or never reviewed by an attorney.	Our bylaws have been reviewed by an attorney in between 5-10 years ago.	The organization's bylaws have been reviewed by an attorney within the past 5 years.	Our bylaws have been reviewed by an outside attorney familiar with the state's nonprofit law within the past 5 years.	Our bylaws have been reviewed by an outside attorney familiar with the state's nonprofit law within the past 3 years.

# Standard 4.3



## Form Documenting Standard 4.3

**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.

This Standard is intended to demonstrate the Eligible Entity's use of all of the phases of the ROMA Cycle in its work. The documentation for this integration can be found in its Community Assessment, Strategic Plan, and agency reports (to external entities and to its board). It is not intended to be a complex or burdensome description of use, but an affirmation that the agency engaged in thoughtful assessment of needs, planning to meet those needs, implementation of programs and services designed to meet those needs, collection of data, and an analysis of this data.

Please provide a brief narrative describing your agency's use of each step of the ROMA Cycle using elements of your Community Assessment *and/or* Strategic Plan to do so.

	Community Assessment	Strategic Plan	Agency Reports
Assessment			
Planning			
Implementation			
Achievement of Results			
Evaluation			

See attached checklist that Nationally Certified ROMA Trainers may use to frame discussion with local agencies about specific areas of the Cycle.

A Nationally Certified ROMA Trainer (NCRT) is to be accessed by each Eligible Entity during the course of the ROMA Cycle. This can be done through a conference call, in person consultation or training, etc. at some point during the cycle. Again, the documentation of this interaction is not meant to be burdensome, but a brief narrative describing the type of interaction with the Certified ROMA Trainer.

Name of Certified ROMA Trainer	
Relationship of Trainer to CAA (On staff, consultant, State Association, Other)	
Type of Interaction (in person or by phone/web meeting)	
Date(s) of Interaction	

### Brief Description of Interaction

### MEMORANDUM OF UNDERSTANDING

#### BETWEEN

**Arkansas Community Action Agencies Association Inc.  
Arkansas Community Action Agencies  
Arkansas DHS Division of County Operations/Office of Community Services**

This Memorandum of Understanding (MOU), effective July 1, 2015, is entered into by and between the Arkansas Community Action Agencies Association Inc. (ACAAA), Arkansas Community Action Agencies (CAAs), and the Arkansas DHS Division of County Operations/Office of Community Services (OCS), to confirm participation in a statewide effort to increase the capacity of Arkansas CAAs to implement and document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle - assessment, planning, implementation, achievement of results, and evaluation.

### Nationally Certified ROMA Trainers

Access to ROMA trainers in Arkansas will be provided by trainers that are nationally certified in Results Oriented Management and Accountability, a performance-based initiative designed to preserve the anti-poverty focus of Community Action Agencies receiving Community Services Block Grant (CSBG) funds. Nationally Certified ROMA Trainers (NCRTs) in Arkansas, as well as qualified consultants, will facilitate the provision of training and technical assistance, as well as carry out the following functions:

### Functions of NCRTs

Arkansas NCRTs will implement and document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle, including assessment, planning, implementation, achievement of results, and evaluation.

### Statewide ROMA Participation

#### The Arkansas Community Action Agency (CAA) will:

- Designate at least one staff member to be an active participant on the ACAA ROMA Committee, which will play a key role in developing common approaches to meet CSBG

# [www.communityactionpartnership.com](http://www.communityactionpartnership.com)

Serving our network of over 1000 Community Action Agencies across America in the fight to eliminate poverty ...

## COMMUNITY ACTION PARTNERSHIP

THE NATIONAL ASSOCIATION | WASHINGTON, DC

Helping People. Changing Lives.



AMERICA'S POVERTY FIGHTING NETWORK

- HOME
- ABOUT US
- COMMUNITY ACTION NETWORK
- NEWSROOM
- EVENTS
- PROGRAMS
- GRASS ROOTS IN THE NEWS
- JOB CREATION AND GREEN JOBS

### quicklinks

- MLK Week 2017
- Racial Equity Resources
- 2017 Management and Leadership Training Conference
- Partnership Membership Form
- Updates on CSBG Organizational Standards and ROMA Next Generation
- Annual Convention
- Certified Community Action Professional (CCAP)
- Subscribe to the eNews
- Community Action Code of Ethics
- New Reality Initiative
- Community Economic Development Website
- Managing My Money Financial Literacy Website
- 2015 Community Action Partnership Fact Sheet
- State Training and Technical Assistance Plan Template

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### The Learning Community Resource Center's Webinar Schedule

The Learning Community Resource Center is offering a national mini-webinar series to explore the successes and challenges of our Agencies as they fight the root causes of poverty.

**Rural IMPACT** Webinar on Tuesday, March 21, at 2:00pm ET. This webinar discusses rural, inter-generational poverty. Register [here](#).

**Bundling Services to Improve Outcomes** Webinar on Thursday, April 6, at 2:00pm ET. This webinar discusses bundling and aligning services to alleviate poverty. Register [here](#).

**Financial Empowerment for Families** Webinar on Wednesday, May 24, at 2:00pm ET. This webinar discusses financial empowerment and inclusion. Register [here](#).

**Trauma-Informed Approaches** Webinar on Thursday, May 25, at 2:00pm ET. This webinar discusses trauma-informed approaches to fighting poverty. Register [here](#).



**Statement from Community Action Partnership CEO Denise Harlow**

**Response to President's Proposed Budget**

March 16, 2017, Washington, DC

### NATIONAL TRAINING CENTER

#### RESOURCES

#### LEARNING COMMUNITIES RESOURCE CENTER

**THE PROMISE OF COMMUNITY ACTION**

Community Action changes people's lives, embodies the spirit of hope, improves communities, and makes America a better place to live. We care about the entire community, and we are dedicated to helping people help themselves and each other.

#### HOW YOU CAN HELP

Community Action Partnership  
1020 19th Street, NW  
Suite 700  
Washington, DC 20036  
phone 202.265.7546  
fax 202.265.5048  
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Community Action Partnership is a national non-profit 501(c)(3) membership organization



Helping People. Changing Lives.

**community Action**

PARTNERSHIP

AMERICA'S POVERTY FIGHTING NETWORK

# 2017 Annual Convention



Community Action:  
Transforming Communities, Changing Lives

August 29<sup>th</sup> – September 1<sup>st</sup>

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# How do they fit together? Organizational Standards Monitoring, Corrective Action Plans, QIPs & TAPs



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# How did MA implement Organizational Standards?

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- ❖ Hybrid approach using 2 methods identified in IM 138:
  - Self-assessment (with validation by the State AND State-authorized third party)
  - Regular, on-site CSBG monitoring
- ❖ Overhauled monitoring processes and devoted time/resources to building a web-based system; gained efficiencies and limited burden on network.
- ❖ Incorporated Org. Standard reviews into triennial onsite monitoring (annual review completed either as part of triennial or through desk-review process).

# Assessment Scheduling

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## ❖ Multiple Factors Considered:

- ✓ Triennial Monitoring schedule set in State Plan
- ✓ Date of last assessment (annual reviews scheduled around same month as last triennial)
- ✓ Due dates of other CSBG deliverables
- ✓ Staffing needs



## CSBG Activity Timelines (FY 2016)

		<u>State Plan</u>	<u>2018-2020 Community Assessment Report &amp; Strategic Plan</u>	<u>IS Survey / State Accountability</u>	<u>Contracts</u>	<u>Workplan</u>	<u>Monitoring</u>	
Calendar 2015	October		Begin work on planning guide				<u>Release FY17 monitoring schedule and open "Agency Assessment" early Oct.</u>	
	November							
	December	...begin State Plan work before Org. standards due Jan...	...work on planning guide...	Released IS survey to CAAs				
Calendar 2016	January			CAAs responses due		<u>Quarterly fiscal reports due by 1/30</u>	Onsite (CAA #1)	Org. Stand. Monitoring (7 CAAs)
	February			...work on survey...			Onsite (CAA #2)	
	March			<u>IS survey due to NASCSP by 3/31</u>			Onsite (CAA #3)	
	April	...work on state plan before Org. Standards due May...	...work on planning guide...			<u>6 month progress/fiscal reports due 4/30</u>	Onsite (CAA #4)	Org. Stand. Monitoring (7 CAAs)
	May	...work on state plan...	Complete planning guide, organize training/kick-off event				Onsite (CAA #5 & #6)	
	June		<u>Training/Kick-Off Event (June 28)</u>		...work on contract language...		Onsite (CAA #7)	
	July	<u>Public Hearing (July 7)</u>	...CAAs work on plan for planning...		...work on contract language...	<u>Quarterly fiscal reports due by 7/31 , Release Workplans/budget FY 17 Applications (workplan/budget) due 9/8</u>	Onsite (CAA #8)	
	August	<u>FY 17-18 State Plan due by 9/1</u>	...CAAs work on plan for planning...		<u>Send out contracts to CAAs</u>			
	September		...CAAs work on plan for planning...		<u>Executed contracts in place for 9/30</u>		<u>Release FY17 monitoring schedule and open "Agency Assessment" by 9/30</u>	

Key: CAA Deliverable Due

State Deliverable Due

# “Agency Assessment” (E.Gov)

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- CAAs complete self-assessment, upload supporting documentation, and submit Technical Assistance Plans through the web-based system.
- State reviews and validates responses, documents feedback provided, and tracks data on monitoring results.
- Additional State specific “standards” included for triennial monitoring

# “Agency Assessment” (E.Gov)

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## ❖ System features intended to reduce burden:

- Links to Community Action Partnership's Technical Assistance Guide and additional State specific requirements
- TAP entry field automatically appears when “Not Met” is selected
- Documentation and “Met”/“Not Met” rating from last assessment carries over; CAA reviews and updates as needed.
- Notifications when assessment submitted or reviewed, documents expire, etc.
- Review and comment history maintained
- Ability to generate PDF's of agency Assessment and TAPs; various state reports

Organizational Standards (Private)

Help Guidance Report Conversations Assessment PDF TAP PDF Aging Load Assessment Complete Review  
Info Back to eGov

Maximum Feasible Participation  
1. Consumer Input and Involvement

- Standard 1.1
- Standard 1.2
- Standard 1.3

2. Community Engagement

- Standard 2.1
- Standard 2.2
- Standard 2.3
- Standard 2.4

3. Community Assessment

- Standard 3.1
- Standard 3.2
- Standard 3.3
- Standard 3.4
- Standard 3.5

Vision and Direction

4. Organizational Leadership

- Standard 4.1
- Standard 4.2
- Standard 4.3
- Standard 4.4
- Standard 4.5
- Standard 4.6

5. Board Governance

- Standard 5.1
- Standard 5.2
- Standard 5.3
- Standard 5.4
- Standard 5.5
- Standard 5.6
- Standard 5.7
- Standard 5.8
- Standard 5.9

6. Strategic Planning

- Standard 6.1

Maximum Feasible Participation - Category 2: Community Engagement

This standard was last updated by on 02/28/2017 1:19 PM

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.

Guidance

- Please upload the completed DHCD Program Eligibility and Service Area and Partnerships Charts
- For further guidance, refer to the Community Action Partnership Technical Assistance Guide

Organization Self-Assessment

Met Not Met

Internal Review: Met Not Met Beyond Compliance clear

This information is internal and can only be seen by Reviewers.

Public Review: Met Not Met In Process clear

This information is public and can be seen by Submitters when assessment is set to 'Reviewed' 'Modifications Requested' status.

see review history

Documentation used:

Description?	Upload Date?	Effective Date?	Page Number(s)?	Expires On?
Partnership documentation: agreements, emails, MOU / MOAs, charts*				
<a href="#">view</a>	document	document	12/02/2015	11/30/2015
			document	As Needed

Organizational Standards (Private)

<< Previous

Next >>

Conversations for 10.1

Other State and Federal Compliance Standards - Category 10: Governance

This standard was last updated by on 05/02/2016 12:28 AM

Standard 10.1 Bylaws include all requirements pursuant to 760 CMR 29.06 (4)

Organization Self-Assessment

Met Not Met

Internal Review: Met Not Met Beyond Compliance

This information is internal and can only be seen by Reviewers.

Public Review: Met Not Met In Process

This information is public and can be seen by Submitters when assessment is set to 'Reviewed: Modifications Requested' status.

see review history

Documentation used:

Aging: As Needed/More frequent than annually

Description?	Upload Date?	Effective Date?	Page Number(s)?	Expires On?
Board bylaws				
<a href="#">view</a>	Bylaws	Approved by BOD 6/26/2013	12/23/2015	06/26/2013
				As Needed

## Standard 7.4 The governing board conducts a performance appraisal of the CEO/Executive Director within each calendar year.

### Guidance

- For further guidance, refer to the [Community Action Partnership Technical Assistance Guide](#)

#### Organization Self-Assessment

☐ Met ☒ Not Met

Internal Review: ☐ Met ☒ Not Met ☐ Beyond Compliance [clear](#)

*This information is internal and can only be seen by Reviewers.*

Pending TAP

Public Review: ☐ Met ☐ Not Met ☐ In Process [clear](#)

*This information is public and can be seen by Submitters when assessment is set to 'Reviewed, Modifications Requested' status.*

[see review history](#)

### Documentation used:

Description

Upload Date

Effective Date

Page Number(s)

Aging: 1 year

Expires On

### Board minutes\*

[view](#)

Board Minutes 12-17-15

ED Performance Appraisal

01/11/2016

12/17/2015

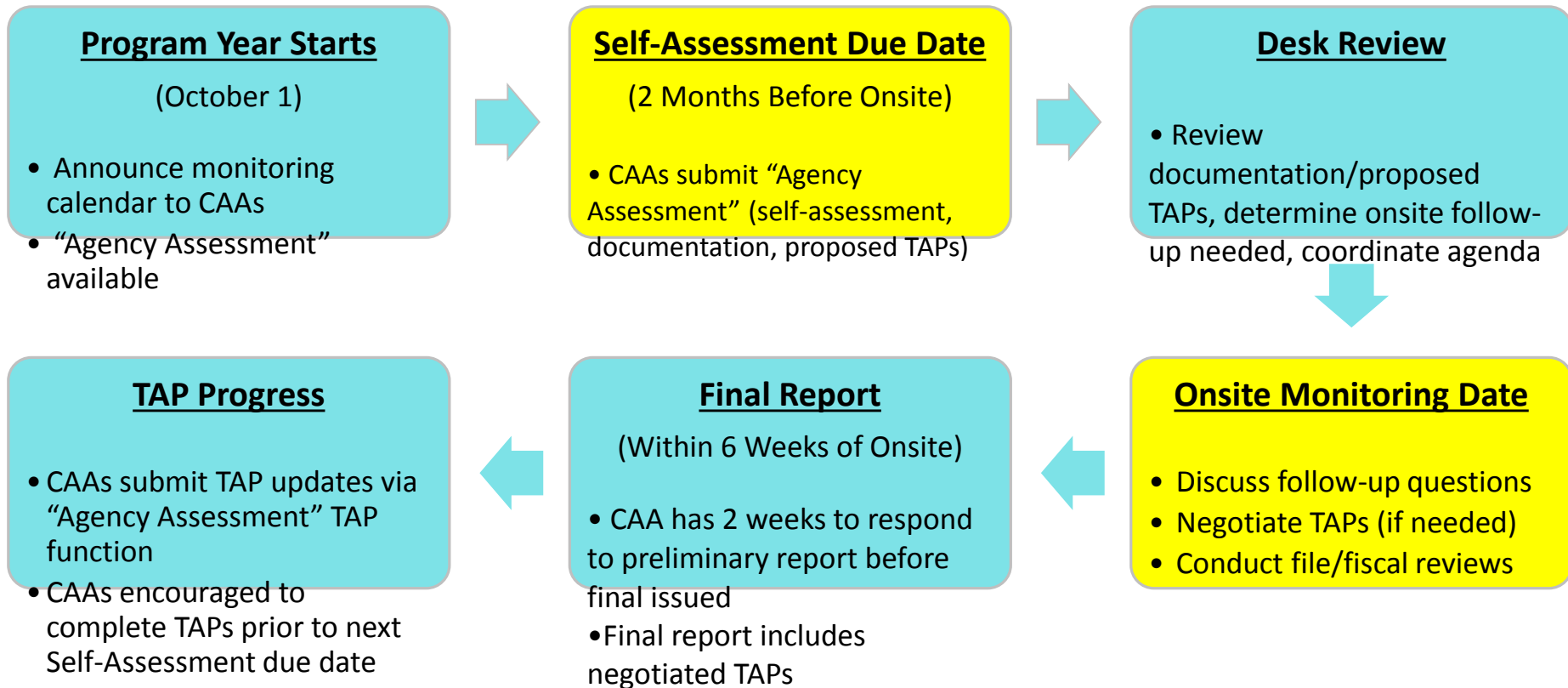
12/17/2016

### Technical Assistance Plan:

Agency							State		
	Performance Improvement Deliverable	Proposed Deliverable Deadline	Person Responsible	Documents Uploaded	Status	Comments	Review Date	Review Status	Reviewer Comments
<a href="#">review</a>	will be conducting the ED performance appraisal at the January Board Meeting on 1/19/17. It was postponed from the 12/16 meeting.	01/19/2017	HR Director		In Process				

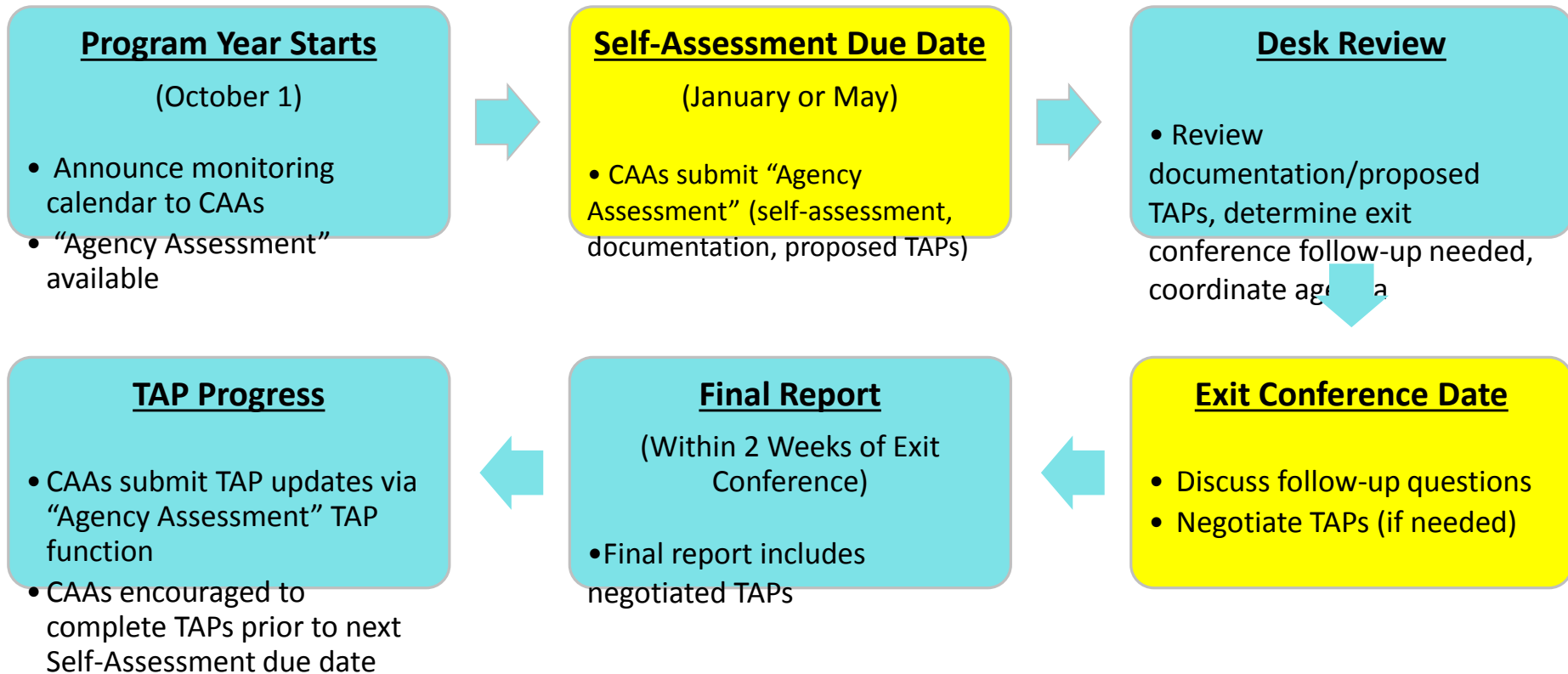
# Triennial Onsite Monitoring Process

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# Annual Desk Review Process

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# Corrective Action

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- ❖ FY16 was baseline year; emphasized movement towards meeting all 58 rather than total “Not Met”
- ❖ Only TAPs utilized, no QIPs
- ❖ TAP negotiation process very important
  - Action must occur before Agency Assessment due date for standard to be “Met”.
  - Agency proposes TAP deliverable and deadline, State requests modification if needed.
  - TAP deliverable describes aspect of standard not met, how it will be resolved, and what will be provided to document resolution.
  - TAP deadlines give enough time to adjust processes (if needed) and resolve Not Met before next “Agency Assessment” due.

# Lessons Learned

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- ❖ Org. Standards didn't replace monitoring protocol but were the catalyst for its redesign.
- ❖ Time and money invested in systems helped reduce long-term burden
- ❖ Extensive conversations with network during the first year helped clarify expectations for year two and beyond
- ❖ Org. Standards helped inform state guidance in other areas (e.g. – community needs assessment, strategic plan, network training needs)