Organizational Standards for Private Organizations

To validate compliance with Organizational Standards, specific documentation must be uploaded into COPOS and approved by the executive director. COPOS documentation is reviewed routinely and as part of annual monitoring. To expedite the review process and to substantiate your achievements, please identify or highlight any portion of board meeting minutes that pertain to the standard. If a document or form is not self-explanatory, please enter a note in COPOS to explain how the document supports your compliance with the standard.

<table>
<tr><th colspan="3">Category One – Consumer Input and Involvement</th></tr>
<tr><td>1.1</td><td>The agency demonstrates low-income individuals' participation in its activities.</td><td>Annually</td></tr>
<tr><td colspan="3">Any combination of the following:
✓ Participation lists, group documents, and minutes from agency advisory bodies;
✓ Tripartite board minutes documenting the involvement of low-income individuals in activities;
✓ Documentation of low-income individual's participation in the development of services, or in the needs assessment process, or assistance at agency events.
✓ Client Advisory Board activities documentation (i.e. Head Start).</td></tr>
<tr><td>1.2</td><td>The agency analyzes information collected directly from low-income individuals as part of the community assessment.</td><td>Every three (3) years.</td></tr>
<tr><td colspan="3">✓ Methodology section of the assessment report that details the processes to include low-income individuals in data collection;
Or any combination of the following:
✓ Notes from community forums or focus groups, transcripts from interviews that included low-income individuals;
✓ Samples of surveys from low-income individuals;
✓ Minutes of meeting where the data was analyzed for the community needs assessment;
✓ Copy of the Needs Assessment.</td></tr>
<tr><td>1.3</td><td>The agency has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the tripartite board/governing body, which may be met through broader local government processes.</td><td>Every three (3) years.</td></tr>
<tr><td colspan="3">Any combination of the following:
✓ Agency's customer satisfaction policy and/or procedures;
✓ Schedule for customer satisfaction data collection;
✓ Board meeting minutes.
✓ Report that analyzes the customer satisfaction data for board and the general public.</td></tr>
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<table>
<tr><th colspan="3">Category Two – Community Engagement</th></tr>
<tr><td>2.1</td><td>The agency has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty agency's in the area.</td><td>Annually</td></tr>
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✓ A list of the agencies and/ or primary partnerships; **And** ✓ Samples of documents such as MOUs and/or contracts that document the partnerships.		
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 agencies, faith-based agencies, private sector, public sector, and educational institutions.**	**Every three (3) years.**
✓ Information gathered during the community needs assessment from all five sectors listed in the standard; **And** ✓ Summary of the data in the community assessment or its appendices.		
2.3	**The agency communicates its activities and its results to the community.**	**Annually**
✓ The agency's public annual report; **And any of the following:** ✓ Social media activity (Facebook page, Twitter account, etc.); ✓ News release copies; ✓ Community event information.		
2.4	**The agency documents the number of volunteers and hours mobilized in support of its activities.**	**Annually**
✓ Documentation of how the agency tracks the number of volunteers and volunteers hours.		

Category Three – Community Assessment		
3.1	**The agency conducted a community assessment and issued a report within the past 3 years.**	**Every three (3) years.**
✓ An electronic copy of the full Community Needs Assessment.		
3.2	**As part of the community assessment, the agency collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).**	**Every three (3) years.**
✓ Documentation that demonstrates collection of poverty data regarding gender, age, and race/ethnicity (all three demographics).		
3.3	**The agency collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.**	**Every three (3) years.**
Data collection procedures: ✓ A list of all data collection methods used in the needs assessment; ✓ Descriptions of the processes used to collect the data collected; ✓ Links to or copies of the raw data collected. **Data analysis procedures:**		

✓ Descriptions of the processes used to analyze the data; ✓ The primary sections of the needs assessment that include data analysis. **Quantitative and qualitative data:** ✓ A list of all data sources collected for the needs assessment divided into qualitative, quantitative, and mixed methods categories; ✓ Links to or copies of the raw data collected.		
3.4	**The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.**	**Every three (3) years.**
✓ Executive summary that outlines the key findings of the community of the needs assessment.		
3.5	**The tripartite board formally accepts the completed community assessment.**	**Every three (3) years.**
✓ Board meeting minutes.		

Category Four – Organizational Leadership		
4.1	**The tripartite board has reviewed the agency's mission statement within the past 5 years and assured that the mission addresses poverty and the CSBG programs and services are in alignment with the mission.**	**Every five (5) years.**
✓ Board minutes; **And** ✓ A copy of the Strategic Plan that includes the mission statement.		
4.2	**The agency's Work Plan is outcome-based, anti- poverty focused, and ties directly to the community needs assessment.**	**Annually**
✓ A copy of the CSBG Work Plan.		
4.3	**The agency's Work 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.**	**Annually**
✓ Evidence that all steps in the ROMA cycle (assessment, planning, implementation, achievement and evaluation) were carried out in the Work Plan and Strategic Plan. Please refer to Documenting Standard 4.3 by the Community Action Partnership at https://communityactionpartnership.com/wp-content/uploads/2018/08/22_Standard-4.3.pdf **Or** ✓ Board/Committee meeting minutes that capture the steps in the ROMA cycle, including, when the outcomes of programs are evaluated by the board or a committee of the board and planning is developed through the evaluation process.		

And ✓ Evidence indicating involvement of ROMA trainer/implementer in implementation of ROMA principles in the Work Plan and Strategic Plan.		
4.4	**The tripartite board receives an annual update on the success of specific strategies included in the Work Plan.**	**Annually**
✓ Board meeting minutes.		
4.5	**The agency has a written succession plan in place for the CEO/ED, approved by the tripartite 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.**	**Every five (5) years.**
✓ The succession plan; **And** ✓ Board meeting minutes.		
4.6	**An agency-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the tripartite board.**	**Every two (2) years.**
✓ Risk assessment instrument and results; **And** ✓ Board meeting minutes.		

Category Five – Board Governance		
5.1	**The organization's tripartite board is structured in compliance with the CSBG Act.**	**Every five (5) years.**
✓ Board bylaws; **And** ✓ Board Membership Module complete and updated in COPOS.		
5.2	**The organization's tripartite 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.**	**Every five (5) years.**
✓ Board by-laws.		
5.3	**The Agency's bylaws have been reviewed by an attorney within the past 5 years.**	**Every five (5) years.**
✓ A letter from the attorney stating a review was completed.		
5.4	**The agency documents that each tripartite board member has received a copy of the bylaws within the past 2 years.**	**Every two (2) years.**
Any of the following: ✓ Board meeting minutes;		

✓ Board Member Acknowledgement/Signature; (See appendix); ✓ Email documenting board members receipt of the governing documents.		
5.5	**The agency's tripartite board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.**	**Annually**
✓ Board meeting minutes.		
5.6	**Each tripartite board member has signed a conflict of interest policy within the past 2 years.**	**Every two (2) years.**
✓ A sample of a conflict of interest document; **And** ✓ Signatures of board members documenting receipt of Conflict of Interest, (See appendix). **And** ✓ Signed Conflict of Interest forms available upon on request.		
5.7	**The agency has a process to provide a structured orientation for tripartite board members within 6 months of being seated.**	**Annually**
✓ Board Membership Module complete and updated in COPOS. **And** ✓ The curriculum/tools used for orientation; **And one of the following:** ✓ A signed board member statement that such orientation occurred, (See appendix). **Or** ✓ Sign-in sheet from the orientation.		
5.8	**Tripartite board members have been provided with training on their duties and responsibilities within the past 2 years.**	**Every two (2) years.**
✓ The curriculum/tools used for training; **And** ✓ Board meeting minutes; **And one of the following:** ✓ A signed board member statement that such a training occurred, (See appendix). **Or** ✓ Sign-in sheet from the training.		
5.9	**The agency's tripartite board receives programmatic reports at each regular board/advisory meeting.**	**Annually**
✓ Board meeting minutes.		

Category Six – Strategic Planning		
6.1	**The agency has an agency-wide strategic plan in place that has been approved by the tripartite board within the past 5 years.**	**Every five (5) years.**
✓ A copy of the completed strategic plan; **And** ✓ Board meeting minutes.		
6.2	**The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or**	**Every five (5) years.**

	empowerment of people with low incomes to become more self- sufficient.	
✓	A copy of the strategic plan.	
6.3	**The approved strategic plan, or comparable planning document, contains family, agency, and/or community goals.**	**Every five (5) years.**
✓	A copy of the strategic plan.	
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.**	**Every five (5) years.**
✓	A section of the strategic plan or summary that describes how the customer feedback data was used.	
6.5	**The tripartite board has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.**	**Annually**
✓	Board meeting minutes.	

	Category Seven – Human Resources Management	
7.1	**The agency has written personnel policies that have been reviewed by an attorney and approved by the tripartite board within the past 5 years.**	**Every five (5) years.**
✓ **And** ✓	Personnel policies that include review/edit dates and approval dates from an attorney; Board meeting minutes.	
7.2	**The organization makes available the employee handbook (or personnel policies in cases without a handbook) to all staff and notifies staff of any changes.**	**Annually**
✓ **And** ✓	Personnel policies or employee handbook; Documentation that personnel policies have been made available to employees, (See appendix.)	
7.3	**The agency has written job descriptions for all positions which have been updated within the past 5 years.**	**Every five (5) years.**
✓	Dated job descriptions.	
7.4	**The tripartite board conducts a performance appraisal of the CEO/executive director within each calendar year.**	**Every twelve (12) months.**
✓ **And** ✓ **And** ✓	By-laws; Sample appraisal document; Actual appraisal document available upon request.	
7.5	**The tripartite board reviews and approves CEO/executive**	**Every twelve (12)**

	director compensation within every calendar year.	**months.**
✓ By-laws; And ✓ Board meeting minutes.		
7.6	**The agency has a policy in place for regular written evaluation of employees by their supervisors.**	**Every five (5) years.**
✓ Policy or procedures document.		
7.7	**The agency has a whistleblower policy that has been approved by the tripartite board.**	**Every five (5) years.**
✓ Whistleblower policy; And ✓ Board meeting minutes.		
7.8	**All staff participate in a new employee orientation within 60 days of hire.**	**Annually**
✓ Personnel policies or employee handbook; **And** ✓ Documentation that demonstrates orientation is conducted for new hires, (See appendix.)		
7.9	**The agency conducts or makes available staff development/training (including ROMA) on an ongoing basis.**	**Annually.**
✓ Documentation of attendance at training, events, conferences (e.g., sign in sheets, ✓ registration confirmation).		

Category Eight – Financial Operations and Oversight		
8.1	**The Agency's annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with Title 2 of the Code of Federal Regulations, Uniform Administration Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.**	**Every twelve (12) months.**
✓ Documentation of audit report; **And** ✓ Confirmation of timely filing.		
8.2	**All findings from the prior year's annual audit have been assessed by the agency and addressed where the tripartite board has deemed it appropriate.**	**Every twelve (12) months.**
If there were no findings: ✓ Upload audit letter stating that there were no findings. **If there were findings**: ✓ Documentation of corrective action plans prepared in response to audit findings; **And** ✓ Board meeting minutes.		

8.3	**The agency's auditor presents the audit to the tripartite board.**	**Every twelve (12) months.**
✓ Board meeting minutes.		
8.4	**The tripartite board formally receives and accepts the audit.**	**Every twelve (12) months.**
✓ Board meeting minutes.		
8.5	**The agency has solicited bids for its audit within the past five (5) years.**	**Every five (5) years.**
✓ Request for proposals (RFP) or other solicitation document.		
8.6	**The IRS Form 990 is completed annually and made available to the tripartite board for review.**	**Every twelve (12) months.**
✓ Completed IRS Form 990; **And** ✓ Board meeting minutes.		
8.7	**The tripartite board receives financial reports at each regular meeting that include the following:** **agency-wide report on revenue and expenditures that compares budget to actual, categorized by program; and** **balance sheet/statement of financial position.**	**Annually**
✓ Board meeting minutes; **And** ✓ Report available upon request.		
8.8	**All required filings and payments related to payroll withholdings are completed on time.**	**Annually**
✓ Payroll tax withholding documentation.		
8.9	**The tripartite board annually approves an agency-wide budget.**	**Every twelve (12) months.**
✓ Board meeting minutes; **And** ✓ Report available upon request.		
8.10	**The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the tripartite board.**	**Every two (2) years.**
✓ Board meeting minutes; **And one of the following:** ✓ Policy manual with date reviewed by staff; **Or**		

✓ Documentation that confirms that staff has reviewed within the past two years and updated as necessary; **Or** ✓ Documentation explaining process and date of staff review of fiscal policies.		
8.11	**A written procurement policy is in place and has been reviewed by the tripartite board within the past 5 years.**	**Every five (5) years.**
✓ Procurement policy or procedures document; **And** ✓ Board meeting minutes.		
8.12	**The agency documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.**	**Annually for agencies using Indirect Costs.** **Every five (5) years for agencies that do not use Indirect Costs.**
For agencies using Indirect Costs: **For negotiated Federal cost rate**: ✓ an approval letter from cognizant agency responsible to negotiate the rate with the entity; **And** ✓ The letter and the parts of the plan that identify indirect costs; **For cost allocation**: ✓ an updated cost allocation plan identifying the methodology for accounting indirect costs; **And** ✓ A copy of the cost allocation plan; **For de minimus indirect cost rate:** ✓ documentation of grant forms received from the funding agencies. **For agencies that do not use Indirect Costs:** ✓ A letter from the fiscal office or the Executive Director stating that Indirect Costs are not used.		
8.13	**The agency has a written policy in place for record retention and destruction.**	**Every five (5) years.**
✓ Policy or procedures document.		

Category Nine – Data and Analysis		
9.1	**The agency has a system or systems in place to track and report client demographics and services customers receive.**	**Annually**
✓ A copy of a demographic report from the reporting system.		
9.2	**The agency has a system or systems in place to track family,**	**Annually**

	agency, and/or community outcomes.	
✓	Sample of a report documenting program outcomes.	
9.3	**The agency has presented to the tripartite 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.**	**Every twelve (12) months.**
✓	Board meeting minutes.	
9.4	**The agency submits its CSBG Annual Report and it reflects client demographics and agency-wide outcomes.**	**Autoformatted annually.**