

Alabama CSBG Monitoring Tool

Agency Name

ADECA CSBG Staff conducting monitoring:

Date(s) of Monitoring Visit:

Executive Director/CEO:

Chairman of the Board:

Date Monitoring Notice Sent:

Concern – Items with * are part of new standards and will be considered “best practices” until regulations are out – until then we will leave them as concerns.

Finding – Failure to comply with laws, regulations, or policies.

Deficiency – repeated findings for the same thing will not be allowed. If a corrective action is not in progress and progress is not being made, the finding will become a deficiency and the State will implement steps outline in the CSBG Act, Sec. 678C.

Agency Eligibility

The agency is registered with the State of Alabama as a non-profit corporation.

Guidance

- Code of Alabama 10-3A-23
- Secretary of State’s website lists all corporations registered with the State of Alabama

State Assessment of Agency:
 Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Secretary of State’s Website

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

The Articles of Incorporation contains the official address and purpose of the non-profit organization.

Guidance

- Code of Alabama 10-3A-24

State Assessment of Agency:
 Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Articles of Incorporation/Amendment

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Maximum Feasible Participation – Category 1: Consumer Input and Involvement

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

Guidance

- CSBG Act Sec. 672 (2)(D)
- This is broader than the board membership.
- Can include advisory bodies to the board.
- Can include activities such as Head Start Policy Council, tenant or neighborhood councils, volunteering, etc.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Advisory Group Minutes Board Minutes Volunteer lists with time records
 Activity Participation Lists Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

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

Guidance

- This reflects the need for the CAA to talk directly to low-income individuals.
- This can include focus groups, interviews, community forums, customer surveys, etc.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Community Assessment Document (Including Appendices) Community Forum Summaries
 Backup Documentation/Data Summaries Interview Transcripts

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 1.3 **The agency has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.**

Guidance

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

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Customer Satisfaction Policy and/or Procedures Customer Satisfaction Instruments, e.g., Surveys, Data Collection Tools, and Schedule
 Board/Committee Minutes Customer Satisfaction Reports to CAA Leadership, Board and/or Broader Community

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Maximum Feasible Participation – Category 2: Community Engagement

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

Guidance

- CSBG Act Sec. 676 (b)(1)(A)(vii)
- Partnerships are considered to be mutually beneficial arrangements wherein each entity contributes and/or receives: time, effort, expertise, and/or resources.
- This could be documented through MOUs, contracts, agreements, documented outcomes, etc.
- This requires that some, but not all, of the partnerships be documented.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met –The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Partnership Documentation: Agreements, Emails, MOU/MOAs Sub-Contracts with Delegate/Partner Agencies
 Strategic Plan Update/Report if it Demonstrates Partnerships Coalition Membership Lists

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

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

Guidance

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

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met –The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Community Assessment Document (Including Appendices) Board/Committee Minutes
 Backup Documentation of Involvement: Surveys, Interview Documentation, Community Meeting Minutes, etc.

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 2.3**The agency communicates its activities and its results to the community.****Guidance**

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

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Annual Report Website, Facebook Page, Twitter Account, etc. (Regularly Updated)
 Media Files of Stories Published News Release Copies
 Community Event Information Communication Plan

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

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

- There is no requirement to utilize volunteers, only to document the number of volunteers and hours donated, if utilized.
- This information should already be collected as reported in the NPIs.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Data on Number of Volunteers and Hours Provided Board Minutes Documentation of Tracking System(s)

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Maximum Feasible Participation – Category 3: Community Assessment

Standard 3.1

The agency conducts a community assessment and issues a report no less than once every 3 years.

Guidance

- This Standard refers to what is sometimes called the Community Needs Assessment, and requires the CAA to document both needs and resources in the community.
- This may require ADECA to adjust timeframes for the required submission.
- The report may be electronic or print, and may be circulated as the CAA deems appropriate.
- It may be helpful for the CAA to document the report release date such as April 2013 or December 2015.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Community Assessment Document with Date Noted

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 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).

Guidance

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

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Community Assessment Document (Including Appendices)

Backup Information Including Census and Other Demographic Data

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 3.3

The agency collects and analyzes both qualitative and quantitative data on its service area(s) in the community assessment.

Guidance

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

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Community Assessment Document (Including Appendices) Backup Documentation
 Broader Community-Wide Assessment Other Data Collection Process on Poverty
 Committee/Team Minutes (Reflecting Analysis)

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 3.4

The board has formally accepted the completed Community Assessment.

Guidance

- The board votes to accept the Assessment at a regular board meeting; and documentation of such is included in the minutes.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Community Assessment Document Board Minutes Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Vision and Direction – Category 4: Organizational Leadership

Standard 4.1 The board has reviewed the agency’s mission statement in the past 5 years and assured that:

1. The mission addresses poverty; and
2. The agency’s programs and services are in alignment with the mission.

Guidance

- “Addresses poverty” does not require using the word poverty in the CAA’s mission (i.e., low-income, self-sufficiency, economic security, etc.)
- The board determines if the programs and services are in alignment with the mission.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Board Minutes Strategic Plan Mission Statement

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 4.2 The agency’s Community Action Plan (CAP) is outcome-based, anti-poverty focused, and ties directly to the Community Needs Assessment.

Guidance

- ADECA is responsible for determining the plan’s format, and will ensure that the three components are readily identifiable.
- The Plan must focus on outcomes, i.e., changes in status (such as hunger alleviation vs. number of food baskets).

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

CAP Plan* Logic Model Community Assessment

* Sometimes called CSBG Plan or CSBG Workplan

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 4.3**The agency has access to and utilizes the services of a minimum of one Results-Oriented Management and Accountability (ROMA) – certified trainer.****Guidance**

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

State Assessment of Agency: Met-The CAA has met the requirements of the Standard as written. Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**

- Certified ROMA Trainer in the CAA Agreement with Certified Trainer not within the CAA to Provide ROMA Services
- Strategic Plan (Including Appendices) Community Action Plan (Including Appendices)
- Meeting Summaries of ROMA Trainer Participation

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 4.4****There is a written succession plan in place for the CEO/ED, approved by the board, that contains procedures for covering an emergency/unplanned, short-term absence of three (3) months or less, as well as outlines the process for filling a permanent vacancy.****Guidance**

- Board approval will likely occur through a board vote at a regular board meeting.
- Documentation must include both elements: 1) a plan for emergency absence and 2) a policy for filling a permanent vacancy.

State Assessment of Agency: Met-The CAA has met the requirements of the Standard as written. Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**

- Board Minutes Succession Plan/Policy Short Term Succession Plan

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

Standard 4.5 An agency-wide risk assessment is completed at least every two (2) years and reported to the board.

Guidance

- Reporting to the board will likely occur at a regular board meeting and should be reflected in the minutes.
- It is important to note that to meet the Standard the CAA only has to complete the assessment and report to the board.
- There is no mandatory tool for completing this risk assessment. This is more comprehensive 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 shall address CAA-wide functions, not just individual program requirements.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Risk Assessment Policy and/or Procedures Board Minutes
 Completed Risk Assessment Tool Risk Assessment Reports

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Vision and Direction – Category 5: Board Governance

Standard 5.1 The agency's 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.

Guidance

- This Standard is based on the CSBG Act and only addresses the composition/structure of the board.
- Refer to the CSBG Act and IM 82 for comprehensive guidance.

State Assessment of Agency:
 Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Board Minutes Board Roster Bylaws

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 5.2 The agency's 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.

Guidance

- Refer to the CSBG Act and IM 82 for comprehensive guidance.

State Assessment of Agency:
 Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Board Policies and Procedures Board Minutes Bylaws

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 5.3

The agency's bylaws have been reviewed by an attorney within the past five (5) years.

Guidance

- There is no requirement that the attorney be paid.
- Final reviews by attorneys on the board or on staff are not recommended, however, are not disallowed.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Board Policies and Procedures Board Minutes Bylaws
 Attorney Invoice Validating review of bylaws Attorney statement of in-kind donation reflecting review of bylaws

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 5.4

The board members receive and review the bylaws at least every two (2) years.

Guidance

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

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Board Minutes Board Pre-Meeting Materials/Packet Bylaws
 List of Signatures Copies of Acknowledgments

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 5.5 The board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.

Guidance

- Alabama CSBG Policies and Procedures require a minimum of four (4) meetings per year with a quorum.
- Alabama CSBG Policies and Procedures define a quorum as more than 50%.
- Alabama CSBG Policies and Procedures require board vacancies to be addressed in bylaws.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Board Minutes Board Roster Board Bylaws

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 5.6 Board members sign a conflict of interest policy and procedures, and review them at least every two (2) years.

Guidance

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

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Board Minutes Conflict of Interest Policy/Procedures Signed Policies/Signature List

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 5.7 The agency has a structured process for board members' orientation within six (6) months of being selected/appointed.

Guidance

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

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Board Policy/Procedures Board Training Materials Board Member Acknowledgement/Signature

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 5.8 Board members are provided with training on their duties and responsibilities at least every two (2) years.

Guidance

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

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Training Agenda Attendee List Board Minutes
 Documentation of Board Attendance at Offsite Training Conferences/Events/Webinars, etc.

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 5.9 The agency's board receives regular programmatic reports on agency's progress.

Guidance

- This Standard does not require a report on each program at every board meeting; however, it does call for some level of programmatic reporting at every board meeting. The CAA determines its process for reporting programs to the board. For example, the CAA may cycle through its programs semi-annually, quarterly, or may elect to provide a brief summary at every board meeting.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Board Minutes Board Pre-Meeting Materials/Packet Programmatic Reports

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 5.10 The agency's selection procedures for board membership have been reviewed by each County Commission within its service area.

Guidance

- This Standard requires the CAA to maintain documentation of review for each County Commission within its service area or proof that agency bylaws were submitted to each County Commission within its service area.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- County Commission Meeting Minutes Letter(s) from County Commission(s)
 Certified mail receipt signed by authorized signatory from County Commission

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 5.11 The agency's bylaws meet all requirements in Section III, Part G. of the Policies and Procedures Manual (Bylaw Requirements)

Guidance

- This Standard requires the CAA's bylaws to contain at a minimum, the thirteen articles addressed in Section III of the Policies and Procedures Manual which shall include:

- | | |
|---|--|
| <input type="checkbox"/> Removal of board members | <input type="checkbox"/> Control of minutes |
| <input type="checkbox"/> Compensation for board members to meetings | <input type="checkbox"/> Alternates (this is prohibited) |
| <input type="checkbox"/> Dissolution of the board | <input type="checkbox"/> Term limits |

Note: Remaining seven (7) are addressed in other standards

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Bylaws

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 5.12 The agency maintains documentation to support selection/appointment for all board members

Guidance

- This Standard requires the CAA to maintain documentation to support the selection/appointment of each member of the governing board.
- CSBG Act Section 676B

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- | | |
|--|--|
| <input type="checkbox"/> Appointment Letters from Private Organizations | |
| <input type="checkbox"/> Appointment/Acceptance Letters from the Chief Elected Official of Each Jurisdiction Represented | |
| <input type="checkbox"/> Appointment/Acceptance Letters from State Representative or State Senator | |
| <input type="checkbox"/> Sign-in Sheets | <input type="checkbox"/> Minutes from Community Meetings |
| <input type="checkbox"/> Ballots | <input type="checkbox"/> Election Notification |

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 5.13 All counties of the agency's service area are represented on the board.

Guidance

- This Standard requires the composition of the board to include representatives of all counties served.
- Alabama CSBG Policies and Procedures, Section III, Part C

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Board Roster

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 5.14 The agency maintains a roster of attendance and written minutes for all board and committee meetings and post them in FACSPRO system within 14 days after approval by the board.

Guidance

- Alabama Policies and Procedures require a record of votes on all motions; members making and seconding motions must be identified in the minutes. If motions are not unanimous, there must be a record of each member's vote.
- A signed copy of the minutes, roster of attendance and any written material distributed at the meeting must be posted in FACSPRO
- Code of Alabama 10A-3-2.32

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Board Roster Board Meeting Minutes FACSPRO

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Vision and Direction – Category 6: Strategic Planning

Standard 6.1 The agency has an agency-wide strategic plan in place that has been approved by the board in the past five (5) years.

Guidance

- This is intended to be a CAA-wide document, not a listing of individual program goals.
- Board approval will occur by a board vote at a regular board meeting as documented in the minutes.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Board Minutes Strategic Plan

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 6.2 The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.

Guidance

- These are the purposes of CSBG as stated in the Act.
- These specific terms are not required, but the plan shall include one or more of the themes noted in the Standard.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Strategic Plan

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 6.3**The approved strategic plan contains Family, Agency, and Community goals.****Guidance**

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

State Assessment of Agency: Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)** Strategic Plan**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 6.4****The agency ensures that customer satisfaction data and customer input is included in the strategic planning process.****Guidance**

- This Standard links the Community Assessment with Strategic Planning.
- There is no requirement to do additional data collection.

State Assessment of Agency: Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)** Strategic Plan (Including Appendices) Notes From Strategic Planning Process Customer Satisfaction Data/Reports Customer Input Data/Reports**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

Standard 6.5 The board is updated on meeting the progress of the strategic plan no less than every 12 months.

Guidance

- The CSBG Act requires the board to be involved with assessment, planning, implementation and evaluation of programs; this Standard supports meeting that requirement.
- This Standard is met by providing updates at regular board meetings or planning sessions, as documented in the minutes.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Strategic Plan Update/Report

Board Minutes

Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Operations and Accountability – 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 Board within the past 5 years.

Guidance

- There is no requirement that the attorney be paid.
- Final reviews by attorneys on the board or on staff are not recommended, however, are not disallowed.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met –The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Personnel Policies Board Pre-Meeting Materials/Packet Board Minutes
 Statement/Invoice from an attorney Reflecting the Review
 Statement of In-Kind Donation from an attorney Reflecting the Review

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 7.2 The agency makes available the Employee Handbook (or personnel policies in cases without a Handbook) to all staff and notifies staff of any changes.

Guidance

- The handbook may be available in electronic or print formats.
- The process for notification of changes is up to the individual CAA.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met –The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Employee Handbook/Personnel Policies Documentation of Location and Availability of Handbook/Policies
 Identified Process for Notifying Staff of Updates (May Be Included within the Handbook/Policy)

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 7.3 For all employees, the agency has written job descriptions, which have been updated in the past five (5) years.

Guidance

- This references job descriptions for each type of position, not each staff person.
- To meet the Standard, job descriptions may include a date of last review/update; the Standard does not require changes when descriptions are reviewed.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Organizational Chart/Staff List Job Descriptions Board or Committee Minutes (Noting Documents have been Updated)

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

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

Guidance

- There is no specific appraisal tool required.
- This may be accomplished through a committee or the full board; however, the full board should receive the results and have that reflected in the board minutes.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Board Minutes

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

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

Guidance

- The full board reviews and approves the total compensation at a regular board meeting as reflected in the board minutes.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Board Minutes Executive Director/CEO Contract (if Applicable)

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 7.6 **The agency has a policy in place for regular written evaluation of employees by their respective supervisors.**

Guidance

- The Standard calls for an adopted policy.
- The Standard is not intended to imply that 100% of employees must have an annual review. This is due to normal business conditions, e.g. timing of resignation/dismissal, FMLA, seasonal, etc.
- Alabama Policies and Procedures, Section VII, A.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Evaluation Process/Policy
 Personnel Policies and Procedures

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 7.7

The agency has a whistleblower policy that has been approved by the board within the past 5 years.

Guidance

- Once the whistleblower policy is approved and in place, there is no requirement for additional review under this Standard.
- This Standard is met through a vote by the board at a regular meeting as noted in the minutes.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Whistleblower Policy Board Minutes Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 7.8

All agency staff participate in a new employee orientation within the first 60 days of hire.

Guidance

- There are no curricula requirements for the orientation.
- This may be met through individual or group orientation and documented in personnel files.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Personnel Policies/Employee Handbook Orientation Materials
 Sampling of HR/Personnel Files for Documentation of Attendance

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 7.9

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

Guidance

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

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Training Plan(s) Documentation of Trainings: Presentations, Evaluations, Attendee Lists
 HR/Personnel Files Documentation of Attendance at Offsite Training Events/Conferences

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 7.10

The agency maintains the appropriate immigration certification (I9) for employees hired after 1988.

Guidance

- Immigration Reform and Control Act of 1986

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- HR/Personnel Files

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.1 The agency’s annual audit is completed by a Certified Public Accountant on time (includes within approved extension periods) in accordance with OMB A-133 (if applicable) and/or State audit threshold requirements.

Guidance

- Please refer to and follow state and federal guidance related to audits.
- State Bid Law- Code of Alabama § 41-16-57(f)

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Completed Audit

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 8.2 All findings from the prior year’s annual audit have been assessed by the agency and addressed where the agency has deemed it appropriate.

Guidance

- This Standard is met through board discussion and decisions at a regular board meeting with decisions noted in the minutes.
- Alabama CSBG Policies and Procedures, Section XI

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Completed Audit Management Response to the Audit Board Minutes

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 8.3 The agency's auditor presents the audit to the Board of Directors. This can be met by presentation to the full board or to the appropriate committee (finance, finance/audit, audit, executive) and can be done by conference call/web meeting.

Guidance

- This Standard is met when the auditor meets with the full board and/or appropriate committee(s) including finance, finance/audit, audits, or executive.
- The auditor may make the presentation in person or other means, as allowed by state law.
- This presentation shall be reflected in the minutes.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Completed Audit Board Minutes/Committee Minutes Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 8.4 The board formally receives and accepts the Audit.

Guidance

- This Standard is met through a board vote at a regular board meeting as reflected in the minutes.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Completed Audit Board Minutes

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 8.5**The audit is put out for bid at least every three (3) years and follows the agency's procurement policies.****Guidance**

- State Bid Law- Code of Alabama § 41-16-57(f) Contracts for the purchase of personal property or contractual services shall not be let for periods greater than three years.

State Assessment of Agency: Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)** CAA Procurement Policy Board Pre-Meeting Materials/Packet Documentation of Bid Process, including RFP/RFQ, List of Vendors Receiving Notice, Proof of any Publication of the Process**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 8.6****The IRS Form 990 is completed annually and made available to the board for review.****Guidance**

- The 990 is a publically available document, and specifically asks if the board has reviewed the document prior to its submission.
- The Standard is met by documenting the review process in the board minutes; the Standard does not require board acceptance or approval of the 990.

State Assessment of Agency: Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)** IRS Form 990 Board Minutes Board Pre-Meeting Materials/Packet Documentation of 990 Distribution to the Board (Mail, Email, Link)**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

Standard 8.7

The board receives financial reports at each regular meeting that include at a minimum:

1. Revenue and Expenditures-Budget to Actual by Program; and
2. Cash Flow Report/Update/Needs for the next 30 days.

Guidance

- Categorization by program does not require reporting by individual funding stream; it may be by CAA-defined program areas, e.g., early childhood, energy, housing, etc.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Financial Reports as Noted Above Board Minutes/Committee Minutes Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 8.8

All required filings and payments related to payroll tax withholdings are completed on time.

Guidance

- This includes: federal, state and local taxes; as well as insurance and retirement payments.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Payroll Tax Documentation/Filings Insurance Documentation (Health, Disability, Flex Accounts)
 Retirement Accounts Documentation Record of Payments to State, Federal, Insurance and Retirement Accounts

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 8.9**The board annually approves an agency-wide budget.****Guidance**

- This is met through approval at a regular board meeting as documented in the board minutes.
- This is intended to complement, not replace, program budgets.

State Assessment of Agency: Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)** Agency-Wide Budget Board Minutes Board Pre-Meeting Materials/Packet**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 8.10****The Fiscal Policies are reviewed annually by staff, updated as necessary, with changes approved by the board.****Guidance**

- This is met through approval at a regular board meeting and documented in the board minutes.
- There are no requirements for which specific staff need to be involved in the staff-level review.

State Assessment of Agency: Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)** Fiscal Policies/Procedures Manual Board Minutes/Committee Minutes Board Pre-Meeting Materials/Packet**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

Standard 8.11 A written procurement policy is in place and reviewed by the board at least every five (5) years.

Guidance

- This is met through approval at a regular board meeting as documented in the board minutes.
- OMB A-110 Subpart C., 44.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Procurement Policy Board Minutes Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 8.12 A written cost allocation plan is in place for agencies without an approved federally approved indirect cost rate.

Guidance

- If no approved indirect cost rate is in place, the CAA must have a written cost allocation plan.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Cost Allocation Plan Approved Indirect Cost Rate

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 8.13

The agency has a written document retention and destruction policy in place.

Guidance

- This includes electronic and physical documents.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Document Retention and Destruction Policy

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 8.14

The agency has a system in place to ensure adequate safeguards of property and all inventoried property is visually documented during review.

Guidance

- The CAA must implement a control system (Part III, Section E) which prevent loss, damage, or theft of property and maintain an ADECA Recipient Property Management Manual on the premises.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

N/A- The CAA has no property purchased with federal funds in its possession.

Documentation used: (Check all that apply)

ADECA Recipient Property Management Manual

Verify CAA's Written Procedures for Property (Fiscal Policies and Procedures Manual)

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 8.15 The agency reimbursements for travel do not exceed state travel rates and proper authorization is obtained prior to travel.

Guidance

- Alabama CSBG Policies and Procedures limit travel reimbursements to the state rate.
- Alabama CSBG Policies and Procedures state that all travel requests for the Executive Director must be approved by the board chair or his/her designee.
- CAA's policy and procedures should address approval process for CAA staff.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Randomly Selected Travel Reimbursements
 CAA's Written Travel Procedures

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 8.16 The agency procedures are followed with regard to pre-approval and payment authorization for purchases.

Guidance

- OMB A-110 Subpart C §21(b)(3) requires effective control over and accountability for all funds, property, and assets.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Randomly Selected Disbursement Documentation
 CAA's Written Purchase Procedures

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 8.17 The agency has adequate documentation for all CSBG disbursements.

Guidance

- OMB A-122 requires all allowable costs be adequately documented.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Randomly Selected Disbursements

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 8.18 The agency keeps blank checks and/or signature stamps in a secure location.

Guidance

- OMB A-110 Subpart C §21(b)(3) requires effective control over and accountability for all funds, property, and assets.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Verify Location of Blank Checks (Check for Missing Numbers and Signatures)

Verify Location of Signature Stamps and Who Has Access

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 8.19 Bank reconciliations are done in a timely manner and in accordance with agency's fiscal policy.

Guidance

- OMB A-110 Subpart C §21(b)(3) requires effective control over and accountability for all funds, property, and assets.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Bank Reconciliations
 Bank Statements
 CAA's Fiscal Policy and Procedures Manual

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 8.20 Agency's personnel charges are supported by time and attendance records that reflect an after-the fact determination of the actual activities of each employee.

Guidance

- OMB A-122 Attachment B, 8., m.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Randomly Selected Timesheets
 Payroll Registers

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Operations and Accountability – Category 9: Data and Analysis

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

Guidance

- Some funders require their own systems be used; the CAA may or may not have a CAA-wide system in place. As long as all services are tracked, this Standard is met.
- Alabama CSBG Policy and Procedures, Section X

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met –The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Data System Documentation and/or Direct Observation Reports as Used by Staff, Leadership, Board or Cognizant Funder

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 9.2 The agency has a system or systems in place to track family, agency, and/or community outcomes.

Guidance

- Some funders require their own systems be used; the CAA may or may not have a CAA-wide system in place. As long as all outcomes are tracked, this Standard is met.
- This may or may not be the same system(s) noted in 9.1.
- Alabama CSBG Policies and Procedures, Section X

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met –The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Data System Documentation and/or Direct Observation Reports as Used By Staff, Leadership, Board or Cognizant Funder

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 9.3

The agency analyzes its outcomes no less than every 12 months.

Guidance

- This Standard is met through board or staff discussions, as long as the analysis and discussion is documented.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Strategic Plan Update/Report

Other Outcome Report

Staff Meeting Minutes

Board Minutes

Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 9.4 The agency has a system in place to produce an unduplicated count of customers served, with the exception of those grants/funders that prohibit data aggregation.

Guidance

- Information shall be verified for manually entered data on annual IS and quarterly ROMA reports.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

IS Data Report

Other Data System Reports

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Standard 9.5 The agency submits its annual IS Data Report and it reflects agency-wide outcomes.

Guidance

- ADECA established timeframes for submission.
- Alabama Policies and Procedures, Section IX, A.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- IS Data Report Email or Upload Documentation Reflecting Submission
- Backup Documentation Gathered CAA-Wide to Support the IS Submission

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 9.6 The agency submits it quarterly ROMA report within ten days of the preceding quarter.

Guidance

- CAAs are required to submit their quarterly report in FACSPRO within ten days of the preceding quarter.
- If the CAA un-submits report to make changes, print screen verifying the initial submission date before un-submitting report.
- Alabama Policies and Procedures, Section IX, A.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Annual IS Data Report(s) Quarterly ROMA Reports FACSPRO Reports

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Operations and Accountability – Category 10: Agency CSBG funded Programs

State Standard 10.1 The agency is carrying out activities as described in annual CAP.

Guidance

- This is based on the CAA CAP submitted to ADECA.
- The CAA shall have evidence that the activities/programs listed on Program Activity Sheets are being carried out. This is met through CAA programs or referrals to other entities for services.

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Annual IS Data Report(s) Quarterly ROMA Reports CAA CAP
 Referral Documentation Client Files FACSPRO Reports

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 10.2 The agency maintains client files for services provided with CSBG funds that include identification, income verification, physical address documentation, and Social Security information.

Guidance

- Alabama CSBG Policy and Procedures Manual, Section VI

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Client Files Information Verified in FACSPRO

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Guidance

- Alabama CSBG Policy and Procedures Manual, Section VI, addresses nine (9) criteria/processes that shall be addressed.

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

CAA's Program Policies and Procedures

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

Operations and Accountability – Category 11: Contractual Compliance

State Standard 11.1 The agency's services are available to all low-income citizens including the disabled and/or handicapped and in compliance with the American Disabilities Act.

Guidance

- Buildings are wheelchair accessible.
- Parking is available for Handicap Access.
- Public Law 110-325

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Visually Checked Wheelchair Accessibility Handicap Parking Clearly Marked
 Satellite Location Checked – Identify Site in Notes Below

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 11.2 The agency has a written non-discrimination policy relating to individuals served that is clearly visible to all potential clients.

Guidance

- Signage in waiting area
- Signage in view at intake area
- The CAA has written standards/policies relating to non-discrimination to ensure no individual shall be excluded from or denied benefits based on their race, color, national or ethnic origin, age, religion, disability, sex, sexual orientation, gender identity and expression, veteran status, or any other characteristic protected under applicable federal or state law.
- 45 CFR Part 84

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Visual Check of Waiting Area and/or Intake Area
 The CAA's Policies and Procedures Manual and/or Written Standards Contain Client Non-Discrimination Policy.

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 11.3

The agency is in compliance with CSBG contract provisions for electronic participation at board meetings.

Guidance

- Meeting notifications are posted 7 days, 1 day, or 1 hour in advance on the Secretary of State's website.
- Pre-arranged meeting notifications are posted at least seven days in advance. 1-day notifications are only utilized for exercising the board's powers to possess or approve the expenditure of public funds. 1-hour notifications are only utilized for emergency meetings and resignations. **Will be updated once contract language is finalized**

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

Bylaws with policy outlined

Board minutes

Signed affidavit of members participating electronically

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 11.4

The agency has a non-smoking policy.

Guidance

- Smoking is not permitted in any portion of any indoor facility currently being utilized by the subrecipient.
- Public Law 103-227, Part C

State Assessment of Agency:

Met-The CAA has met the requirements of the Standard as written.

Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

No Smoking Signs Posted in Conspicuous Areas

No Smoking Policy in Policies and Procedures Manual

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 11.5 The agency maintains evidence from www.sam.gov that payments have not been made to ineligible parties.

Guidance

- The CAA maintains a file of vendors paid with printout from website.
- OMB A-110 Subpart C

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Printouts from www.Sam.Gov indicating no Debarment/Suspension
 Randomly Selected Vendors Paid by the CAA and Checked on Above Website

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 11.6 The agency has a process in place for Child Support referrals for eligible parents.

Guidance

- The CAA has a process in place to inform custodial parents in single-parent families about the availability of child support services, and refer parents to the child support offices in their county.
- CSBG Act, Section 678(g)

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Client Referrals Recorded in FACSPRO

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 11.7 The agency has coordinated the provision of employment and training with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.

Guidance

- The CAA may have a MOU in place with local entities providing WIA activities.
- FACSPRO can provide information regarding referrals to Career Centers.
- CSBG Act, Section 676

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Client Referrals Recorded in FACSPRO to WIA Activities (Career Centers/Community Colleges/Other WIA Activities)

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard:

State Standard 11.8 The agency has published a statement informing employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace and establishes the actions that will be taken against employees violating these prohibitions.

Guidance

- This information is provided in employee handbook or personnel policies manual that employee has acknowledged receipt of.
- Title V, D., Public Law 100-690

State Assessment of Agency:

- Met-The CAA has met the requirements of the Standard as written. Not Met -The CAA has not met the requirements.

Documentation used: (Check all that apply)

- Drug-free Workplace Notifications Posted in Conspicuous Areas within the Facility
 Employee Handbook or Acknowledgement Form Personnel Policy

Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:

Notes:

Next Steps needed to assist the CAA in meeting the Standard: