



**NORTHEAST INSTITUTE FOR QUALITY
COMMUNITY ACTION**

**QUALITY COMMUNITY ACTION
SYSTEM**

**COMMUNITY ACTION AGENCY
SELF ASSESSMENT MANUAL**

**Northeast Institute for Quality Community Action
105 Chauncy Street, Boston, MA 02111
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I. The Northeast Institute for Quality Community Action

The Northeast Institute for Quality Community Action (NIQCA) was founded in January, 2005 and is a product of a four year collaborative effort involving representatives of local Community Action Agencies, State Associations and Public Officials located in the States of Massachusetts, Connecticut and Rhode Island. The NIQCA's mission is to promote excellence in the management of Community Action Agencies. The NIQCA's Quality Community Action System (QCAS) provides the tools and resources for agencies to organize a program of continuous quality improvement which will cost effectively identify management strengths and correct weaknesses. This investment in promoting management excellence will sustain the maintenance of a strong and resilient network of Community Action services which promote the well-being and self sufficiency of low-income consumers throughout the tri-state area.



II. Description of the Self-Assessment Process

A STEP-BY-STEP APPROACH

Purpose of Self-Assessment

The self-assessment process is the foundation of the Quality Community Action System (QCAS). It is intended to help participating organizations develop a picture of organizational quality, recognize best practices, and identify possible opportunities for improvement. The self-assessment process is structured journey that can incorporate a variety of resources and strategies, including inviting input from an outside Peer Review Team, engaging an external facilitator or an expert in one or more improvement areas, forming internal quality improvement teams, or planning a board retreat to help gather information and mobilize improvement plans. Each organization will develop a strategy customized to its own needs and circumstances using the broad template of the QCAS process.

Content Areas

The self-assessment instrument is divided into the following six content areas: Governance; Operational Management and Organizational Structure; Planning and Community Investment; Information Technology; Human Resources; and Finance and Budget. Each content area is broken down into multiple individual items, each of which must be scored in order to give a composite picture of each area.

Completing the Self-Assessment Instrument

The participating organization determines who participates in the Self-Assessment process and who completes the self-assessment instrument. Experience has demonstrated that a process that creates a cross-functional team with representatives drawn from all levels and units of the organization (e.g., senior managers, staff and board members) produces both a product which more accurately identifies strengths and weaknesses and an experience which strengthens commitments to improve performance. Including community representatives, consumers, partner agency representatives, etc. in the process can further help provide valuable information and support for the agency.

Scoring the Self-Assessment Instrument

The self-assessment instrument is designed so that the organization can score itself. Each Content Area of the QCAS is broken down into sub-sections with each sub-section having a 5 point scale which identifies the current status of the agency with respect to a standard of practice. At the end of each QCAS Content Area is an Interview and Scoring Summary Section. This Section should be used by the assigned reviewer to structure the interview of informants, record responses/observations, assign a "Reviewer" score from 1-5 and finally document a brief rationale for the assigned score. If the Reviewer is working as part of a Team then, at a Team meeting, the Reviewer should present the scores he/she has assigned and the rationale for the scores. The Team should discuss the Reviewers scoring and then, using an agreed upon process for decision-making (e.g., consensus) assign a Team Score for each area of the assigned Section. Each Team assigned to review a QCAS Content Area will attend a meeting of the full agency Assessment Team and present its scores and the rationale for the scores. Following discussion, the full Assessment Team will vote on assigning an Agency Score to each QCAS section. This Agency Score will represent the final consensus of the Self-Assessment and should be documented in the Scoring Summary section included in the Rating Scale for each Content Area Sub-section. Copies of all Assessment Team Agency Content and Sub-section Area Scores with their associated rationale statements should be forwarded to the Peer Review Team if a site visit is scheduled.

Using the Self-Assessment as Preparation for the Site Review

For those organizations that have scheduled a Peer Review site visit, the results of the agency's internal self-assessment set the stage for this external review. Section III contains a description of the Peer site review process. Peer Reviewers utilize the identical process the agency used to conduct its self-assessment. While the internal self-assessment may identify areas where management policies and practices could be strengthened the agency should defer taking any action to address these issues until the Peer Review site visit has been completed. The intent of the Peer Review is to provide the agency's Assessment Team an independent analysis of agency strengths and weaknesses which can be integrated into the agency's overall Self-Assessment and used to formulate priorities for improvement planning. If a Peer Review site visit is not elected then the agency should proceed with Step 6 in the QCAS process.

Confidentiality

In consultation with CAPLAW legal counsel, the NIQCA has drafted a strong confidentiality statement to assure the QCAS process respects the privacy and confidentiality rights of each participating agency. Each site Peer Review Team member is required to sign a NIQCA

Confidentiality and Code of Conduct Agreement before beginning a site review. The NIQCA's Confidentiality Statement is included in the NIQCA-CAA Peer Review Agreement which is signed prior to the conduct of a Peer Review site visit.

Benchmarking

The NIQCA, with agency authorization, will use the aggregate scores of agency ratings on individual QCAS Standards to create regional industry averages which CAA managers and board members can use as benchmarks to assess strengths and weaknesses. This data will not identify individual agencies and will be regularly updated based on reviews completed during the year.

Accessing Technical Assistance

When a participating organization identifies a need for technical assistance the organization should consult the NIQCA "Bank of Experts" Technical Assistance Resource List. The list will provide the organization with the names and contact information of several individuals who are recognized experts in each QCAS Content Area. The NIQCA is available to assist local CAA's access needed assistance upon request.

The NIQCA will, based on the needs identified through the QCAS process, sponsor specialized trainings and workshops for CAA managers and board members.

Using the Self-Assessment: A Continuum of Participation

The self-assessment process is very flexible and allows for the participating organization to determine the level of participation by those inside the agency, (e.g., management, board and staff), and those outside it, (e.g., community representatives, partner agencies, peer review teams, etc.). Every level of participation is designed to provide specific benefits. Therefore, every participation level is a distinct, positive step toward improving the quality of agency operations and the degree to which those operations play a positive role in the community. The level of participation is based partly on the organization's current status and partly on what it hopes to accomplish after the self-assessment. It is important to remember that the self-assessment is only a beginning. The self-assessment is a diagnostic tool, like a routine medical check-up. Every organization should be prepared to use the self-assessment as the opportunity to engage in a process of continuous quality improvement which will strengthen agency productivity, performance and competitiveness.

The Twelve Step QCAS Process

The twelve step QCAS Self-Assessment process represents a flexible, continuous, and sustainable quality monitoring and improvement program which can both promote management excellence and create a culture of teamwork dedicated to achieving the highest standards of professional practice. While assessment is an essential component of the QCAS process, its value is lost if action is not taken to assure that strengths are sustained and deficiencies are corrected. Each sequential step in the process is important and will lead an organization through the conduct of the self-assessment, identification of improvement opportunities, development of an action plan, monitoring of the effect of the action plan, and back to another self-assessment. In most cases, agency's can complete the Self-Assessment and Plan Development process within a period of three to four months. It is important to sustain the momentum of the process since delays can compromise both the quality of the data as well as the level of commitment to complete the assignment. The 12 Steps of the QCAS process are as follows:

Step 1

Action: Determine the organization's current status, benefits of the QCAS Self-Assessment and willingness and ability to commit the resources required to undertake and complete the process.

Purpose: Confirm the organization's commitment and readiness¹ to undertake the QCAS Self-Assessment process. Make decision to proceed or not proceed to Step # 2.

Process: Executive leadership meets with managers and board members to assess the agency's readiness and ability to undertake the QCAS Self-Assessment.

Step 2

Action: Organize an Agency Assessment Team which may include managers, staff, board members, consumers, volunteers, committee members, and representatives of community partners to develop and execute a plan for completing the agency's QCAS Self-Assessment.

Purpose: Develop and operational plan and structure to undertake and complete the agency's QCAS Self-Assessment.

Process: Executive leadership solicits ideas and suggestions for Assessment Team members, appoints members, and identifies a charge and leadership for the Team. An initial Team meeting is held to review its charge, receive an orientation to the QCAS process and finalize a plan for conducting the assessment including timetables for completion of tasks.

Step 3

Action: Assign an individual or team to conduct the assessment of one or more of the QCAS Content Areas.

Purpose: Ensure that assignments for the completion of assessments for each QCAS Content Area are clear and manageable.²

Process: Make assignments, review charge and assessment procedures along with timetables for completion of tasks.

¹ Readiness includes commitment of board and senior managers, other efforts under way, and staff awareness of the value of such a project.

² Content areas include: Governance, Operational Policy and Organizational Structure; Planning, Marketing, Fundraising and Community Investment; Information Technology; Human Resources and Finance and Budget.

Step 4

- Action:** Individuals or teams assigned to Content Areas review written and verbal documentation and assign scores using the tools and guidelines contained in the QCAS Self Assessment Manual.
- Purpose:** Draft a preliminary rating and scoring rationale for each QCAS Content Area by assigned individuals or teams.
- Process:** Reviewers assigned to assess specific Content Areas review written documentation and conduct interviews with key informants. Based on this information the Reviewer reviews the 5 point rating scale and assigns a score based on the agency's status of compliance with a standard of practice. The Reviewer further documents a rationale for the scoring decision. If a Team is assigned to review an Area then the individual Reviewer reports their scoring assignment to the Team and the Team, through an agreed procedure (e.g., consensus) reviews the individual's score and assigns a Team Score for each Area based on open discussion and deliberation.

Step 5

- Action:** Meeting of full Assessment Team with individuals or teams which conducted assessments to review and discuss Team or individual scoring decisions and the rationale for these choices. Based on an open discussion, the full Assessment Team assigns an Agency Score for each Content Area.
- Purpose:** Assignment of final assessment ratings on all QCAS Content Areas by the full agency Assessment Team.
- Process:** Allow ample time for this activity. This may require a series of meetings or a retreat over a full day or two. During this time Reviewers or Teams of Reviewers report the scores they have assigned to the Self-Assessment Areas they were responsible for reviewing. Once presented, members of the full agency Assessment Team can discuss the rationale for the assigned score and, based on the discussion, confirm or change the Reviewer's or Team's scoring. The score approved by the Assessment Team becomes the 'Agency Score' for each area of the assessment.

Step 5A (Discretionary)

- Action:** Schedule a Peer Review site visit.
- Purpose:** To complete a Peer Review site visit to solicit additional information on Assessment Scoring to assist in the determination of priorities for improvement planning.
- Process:** Forward documentation to assigned Peer Reviewers per instructions and schedule meetings and interviews during 3 day site visit.

Step 6

Action: Agency Assessment Team meets to update Agency scoring based on Peer Review feedback and, based on final scoring, identify areas assessed to be at risk (i.e., an area with an average score less than 3 or, with more than 30% of the individual items within a Content Area scoring less than a 3).

Purpose: Before engaging in a systematic review of the results of the entire self-assessment, it is important to both integrate Peer Review data into the agency's assessment scoring (if elected) and seek to immediately identify any areas of serious risk which jeopardize agency operations.

Process: Calculate an average score for each area and the percent of individual items in each area scoring less than 3. An area with an average score **less than 3** or with more than 30 percent of its individual items scoring **3 or less** is considered at risk.

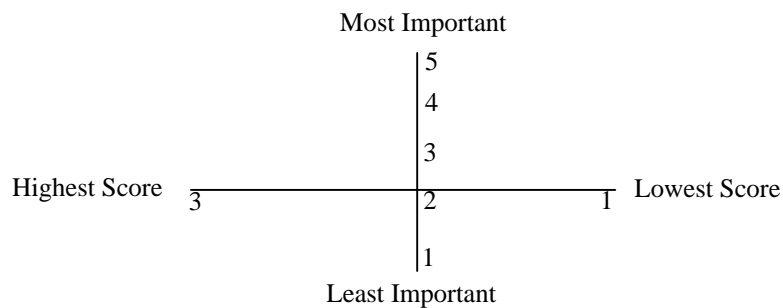
For each area at risk, list the individual items and place the site reviewer's score and any other scores or information next to the self-assessment scores. Even if the agency does not have an outside site review team's scores, there is often additional information from program audits and other assessments that might relate to the scoring of items in a particular area. When you have factored in all of the relevant information, develop a final score for each item in each area. Finally, identify high risk areas based on the calculations defined above.

Step 7

Action: Rate the importance of each of the items for the well being of the agency.

Purpose: The self-assessment, to this point, has considered the various infrastructure areas solely on how each rates relative to the standards expressed in the scales. While it is assumed that all of the items and areas are important to the well being of the agency, some aspects of infrastructure may be more or less important to an agency's health at a particular time. In this step, assess importance to the agency regardless of the rating.

Process: Ignore, for the moment, the rating for each item in the at-risk category. Only think about the item's importance to the agency on a scale of 1-5, where 1 = not very important (it would be nice eventually) and 5 = most important (a live or die issue). Assign an importance score to each at-risk item with a score of **3 or less**. Also, go back to the areas that were not at risk and assign importance scores to each item scoring **2 or less**. Then plot the items on a quadrant graph like the one below. The items in the upper right quadrant are those with the lowest scores and the highest importance. These items offer the greatest opportunity for improvement.



STEP 8

Action: Determine ease of accomplishment.

Purpose: In order to decide which improvement items to address first, the agency will need a sense of how difficult they will be to accomplish in terms of resources and time.

Process: Review the list of potential improvement items and rate them according to the amount of resources each item will require and the time each will take to complete. Use the same kind of quadrant graph as in Step 7. Plot time horizontally from long term (left) to short term (right), and plot resource requirements vertically from high (bottom) to low (top). The items in the upper right quadrant will be those that can be accomplished most quickly and with the least expenditure of resources.

Step 9

Action: Choose final action items.

Purpose: Now that the agency has determined which areas and items are most at risk, which items will yield the greatest returns for the agency, and what it will cost in terms of time and resources to address those items, the agency is ready to select the final items for improvement. This requires an in-depth understanding of the internal dynamics of the agency.

Process: In order to determine what kind of improvement projects to select from the final list, the agency will have to determine its capacity to undertake change. This requires an assessment of everything else the agency is facing, the commitment of executive leadership, the resilience of staff and their capacity to absorb more change. Using the matrices developed in Steps 7 and 8, select items for completion in the short term (six months) and the long term (a year or more). If possible, include items that can be accomplished quickly and easily, as well as those that will require greater commitment from the organization. Consider also a mix of improvement projects that can be done by individual units and those that are best worked on by cross-functional teams.

Step 10

Action: Develop an Action Plan for Improvement.

Purpose: A successful quality improvement effort requires the development of an action plan with measurable goals, action steps, milestones, accountability and timetables for accomplishment and review.

Process: Depending on the scope of the effort, the organization may need only a team with a clear charge or an elaborate project management plan. Major improvement efforts involving substantial resources may require the use of project management software to track the utilization of resources. To learn more about project management approaches see the Project Management Institute's website at www.snecpmi.org.

Step 11

Action: Monitor progress under the action plan and assess the effects of the improvement efforts.

Purpose: Having identified improvement efforts in some of the agency's most at-risk areas, the agency must ensure that it is making progress in its improvement efforts before it can turn its attention elsewhere. Structured, systematic monitoring is the only means of ensuring that improvement efforts are having the intended effect.

Process: The improvement team should present reports to a management team on the milestones, measures and timelines identified in the action plan. See Step 10.

Step 12

Action: Conduct new self-assessments for at-risk areas every twelve months. Conduct complete self-assessment every two – three years.

Purpose: If any areas are still at risk, they should remain a priority until the agency is confident that they no longer jeopardize the health of the organization. When there are no more areas at risk, the self-assessment then focuses on continuous improvement.

Process: When all at risk areas have been brought to the threshold level, the organization should raise the bar for the next full self-assessment. For example, it may define improvement opportunities as any area with an average score of less than 3.5 or more than 25 percent of the individual items scoring less than 3.5. In this way, successive cycles of improvement projects and self-assessment will continue to raise the overall quality of the organization.

III. ASSESSMENT TOOL: THE SIX AREAS



A. Governance

1. Agency Bylaws³

1—at risk	Composition and/or size of the board does not meet the agency’s Bylaw and/or legislative standards and/or the agency’s bylaws do not meet 2+ other Federal or State CSBG requirements beyond the standards of size and composition.
2—approaching achievement of standard	Composition/size of the board are in compliance with federal CSBG standards but the size of the Board is not in compliance with Bylaw standards and/or are not in full compliance with State CSBG requirements.
3—fully meets standard	Composition/size of the board and the agency’s bylaws are in full compliance with Federal, State CSBG and Bylaw requirements. The agency’s bylaws meet the majority of the best practice standards listed in footnote below. ⁴
4—exceeds standard; approaching excellence	3, plus the agency’s bylaws are in full compliance with the standards listed in footnote below.
5—excellent	4, plus the agency’s bylaws are routinely reviewed at least every three years and amended as needed to fully comply with federal, state and best practice CAA governance standards.
Score: _____ (Description of current status)	

³ Refer to Appendices A (Federal Requirements) and B-D (State Requirements) to assess compliance.

⁴ Best Practice Standards.

- a. ___ Prohibition against board or committee proxy voting is clearly stated.
- b. ___ Fiduciary and other duties and responsibilities of board members are clearly stated.
- c. ___ The standard that the board meet regularly (at least 6 times annually) is stated.
- d. ___ The standard that board meetings are open to the public is stated.
- e. ___ Performance standards, e.g., meeting attendance, expectations of ethical behavior, etc. for board members are clearly stated.
- f. ___ A process for removal of board members is stated.
- g. ___ A reasonable quorum standard (e.g., 50% of seated members) for board meetings is stated.
- h. ___ Requirements for advance notification (e.g., notice, agenda, etc) of board meetings and procedures governing the conduct of board meetings are stated.
- i. ___ Responsibilities of Officers are defined and procedures are described for the election of officers including their terms of office.
- j. ___ The requirement that the board record and maintain written minutes of its meetings is stated.
- k. ___ Provision is made for appointment of board committees and a requirement that committee membership reflect the tripartite composition of the board is stated.
- l. ___ Procedures are stated for filling, on a timely basis, vacancies on the board created by resignation, removal or death of a member.
- m. ___ The requirement that executive committee actions be reported to and ratified by the full board is stated.
- n. ___ There is a policy that prohibits alternates for board members (if allowed under the by-laws) from holding offices and from being counted toward a quorum or casting a vote if the primary board member is present.
- o. ___ Terms of service for board members are stated.

2. Board Structure, Experience and Skills

1—at risk	The board does not use Standing Committees to assist in planning, developing and evaluating policies, budgets and programs. Board members lack expertise and experience in Finance or two other areas of the QCAS Standards (Governance, Operational Management, Planning and Community Investment, IT, Human Resources).
2—approaching achievement of standard	The board has Standing Committees but one or more are inactive or lack descriptions of their responsibilities. Board members lack expertise in one area of the QCAS Standards other than Finance.
3—fully meets standard	The board has formal Standing Committees (e.g., Executive, Finance, Personnel, Nominating, etc.) which are active and regularly assist the board in planning, developing and evaluating policies, budgets and programs. Board members have expertise and experience in all QCAS areas.
4—exceeds standard; approaching excellence	3, plus the board and its committees routinely assess their effectiveness in order to strengthen participation and performance.
5—excellent	4, plus the board uses its assessment information to guide the recruitment of new board members to strengthen the balance of experience, skills and knowledge represented on the board.
Score: _____ (Description of current status)	

3. Role of the Board

1—at risk	The board rarely exercises its responsibility to review and approve strategic plans, agency budgets, major operating policies and evaluate management performance. The roles of board and management appear confused leading to examples of either micro management by the board or a deferral of agency governance responsibilities to management.
2—approaching achievement of standard	The board occasionally exercises its responsibility to review and approve agency strategic plans, agency budgets, and major operating policies. The board has not conducted regular annual reviews of management performance.
3—fully meets standard	The board consistently sets policy for the agency and in a timely manner reviews and approves strategic plans, an agency operating budget, policies, and annually evaluates management performance. Individual board members support and assist agency fundraising initiatives.
4—exceeds standard; approaching excellence	3, plus all budgets and the majority of agency policies and plans are reviewed in draft by committees before full board consideration. Evidence exists that board decisions reflect consideration of the agency's mission; community needs assessment and strategic plan. The full Board assists in the development and execution of agency fundraising plans and initiatives.
5—excellent	4, plus the board routinely evaluates its effectiveness in carrying out its governance roles and responsibilities and uses this information to improve performance and participation.
Score: _____ (Description of current status)	

4. Keeping the Board Informed

1—at risk	The board rarely is provided or considers any accurate and complete information about agency finances, programs, risk compliance or management performance except in circumstances driven by crisis and/or external demands.
2—approaching achievement of standard	The board receives occasional financial and program reports. Reports are rarely provided in advance of meetings or in Plan vs. Actual format. There is little evidence of board deliberation on the substance of these reports.
3—fully meets standard	The board receives monthly notices, agendas, minutes and financial and program reports in advance of the meetings.. Board is given a copy of the agency’s annual audit and a report summarizing the audit is provided by the Treasurer, Finance or Audit Committee Chair/designee.
4—exceeds standard; approaching excellence	3, plus regular reports on strategic plan progress and program outcome performance are regularly distributed and presented to the board.
5—excellent	4, plus the board is provided copies of the agency’s 990 Report and efforts are made to regularly solicit feedback from board members on the clarity, utility and adequacy of information provided for decision-making.
Score: _____ (Description of current status)	

5. Board Decision Making

1—at risk	The board rarely votes on agency policies, plans and budgets and has no involvement in policy development, planning and budget deliberations.
2—approaching achievement of standard	The board occasionally views and votes on strategic plan, policy and agency budget matters but has little involvement in their development through Committees or other venues.
3—fully meets standard	The board is actively involved in the development of policy, strategic plans and an agency operating budget and views and votes on these matters on a routine basis.
4—exceeds standard; approaching excellence	3, plus the board monitors budget performance against plan on a monthly basis and monitors program performance and strategic plan implementation of at least a semi-annual basis. Evidence exists that the Board uses this information to make informed decisions.
5—excellent	4, plus the board seeks assurance that the agency’s mission, community needs, program performance experience and available local, regional or national research were considered in recommending the development or revision of agency policy, plans and budgets.
Score: _____ (Description of current status)	

6. Board Training and Orientation

1—at risk	The agency does not provide in any formal orientation or training for either existing or new members.
2—approaching achievement of standard	The board has an orientation for new members but does not provide members a Board Manual or Conflict-of-Interest Policy. Little or no ongoing training is offered to new or current board members.
3—fully meets standard	The agency provides all new board members a formal orientation which includes distribution and review of a Board Manual and a Conflict-of-Interest Policy. Agency provides occasional board training as needs are expressed.
4—exceeds standard; approaching excellence	3, plus there are regularly scheduled ongoing training workshops or retreats offered to all board members including “Financial Literacy” and a mentoring program exists for new members.
5—excellent	4, plus board orientation and training programs are evaluated to assess effectiveness and selected board members are offered the opportunity to participate in CAA related local, state, regional or national meetings.
Score: _____ (Description of current status)	

7. Executive Director Performance Appraisal

1—at risk	The board does not conduct appraisals of the agency’s Executive Director performance or, a performance appraisal has not been conducted for the past two years.
2—approaching achievement of standard	The board’s annual appraisal of the agency’s Executive Director is 6 months+ overdue.
3—fully meets standard	The Executive Director is evaluated annually and there is evidence of the Executive’s involvement and participation in the evaluation process (e.g., signature, comments, opportunity to develop performance objectives). The content of the last performance appraisal included some reference to objective performance standards and criteria.
4—exceeds standard; approaching excellence	3 plus, the board’s evaluation of the Executive is primarily performance based and is used, in part, to develop compensation adjustment recommendations.
5—excellent	4 plus, the board’s annual evaluation of the Executive Director incorporates both written, measurable short (annual) and longer term (2-3 years) goals and objectives.
Score: _____ (Description of current status)	

8. Code of Ethics

1—at risk	The agency has not developed a written Code of Ethics which details expectations regarding the behavior, activities and responsibilities of Board members.
2—approaching achievement of standards	The agency is developing a written Code of Ethics covering the board or, the agency has a written Code of Ethics but it fails to address essential topics such as Conflict of Interest, Confidentiality, Prohibition against receipt of gifts, etc. or it is not routinely distributed to the Board.
3—fully meets standards	The agency has adopted a written Code of Ethics covering the board. The Code covers the essential topics of expected behavior and is routinely distributed to board members. Sanctions for violating the agency’s Code of Ethics are explicit and fairly and consistently applied.
4—exceeds standards, approaching excellence	3, plus the agency’s Code of Ethics is reviewed and updated as experience and circumstances require.
5—excellent	4, plus the content and use of the agency’s Code of Conduct reflects innovation and leadership in establishing standards and expectations for ethical behavior in the governance of the agency.
Score _____ (Description of current status)	

A. Governance

Self-Assessment Interview and Scoring Summary

Reviewer(s) _____

Interview Date: _____ Time: _____

Documents: Agency By-laws, Meeting Minutes and Agendas (6 Meetings), Board Manual, NIQCA Board Chart, Board Orientation and Training Agendas/Curriculum, Conflict-of-Interest Policy, Executive Director Performance Documentation.

Document Observations:

Suggested Persons to be interviewed: Board Officer, Board Member(s), and Executive Director.

Persons Interviewed (Name, Title)

Questions/Comments

#1. Agency Bylaws

Is the agency in compliance with federal CSBG board and bylaw requirements as described in the Self-Assessment Manual, Appendix A?

Comments:

Is the agency in compliance with State CSBG board and bylaw requirements as described in the Self-Assessment Manual, Appendix B, C or D? If not, what are the areas of noncompliance?

Comments:

Do the agency's bylaws and board policies and practices reflect the best practice standards listed in footnote #3 under Section A #1? Which, if any, of the standards are not reflected in the agency's current policies and practices?

Comments:

When was the last time the agency's bylaws were reviewed and updated? Who participated in this review? How frequently are the agency's bylaws normally reviewed to assure they meet current legal and best practices standards and requirements?

Comments:

Other Observations:

Scoring Rationale:

Agency Score: _____	Reviewer Score _____	Team Score _____
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#2. Board Structure and Skills

What Board committees currently exist? Are these formal standing committees (e.g., identified in the agency's bylaws), ad hoc committees or a combination of both types? How often do these committees normally meet?

Comments:

What roles do these committees play in assisting the board to carry out its responsibilities? How often do committees report to the board? What is the relationship of staff to these board committees? Is an official record maintained of committee meetings? What are some examples of how these committees have assisted the board in decision-making?

Comments:

Do the board and its committees routinely assess their effectiveness in order to strengthen participation and performance? How frequently is this assessment undertaken? How is the assessment conducted? What have been some of the results?

Comments:

To what degree is there a good balance of experience, knowledge and skills represented on the agency's board? What expertise is represented in the area of finance? Are there any areas (e.g., planning, fund raising, etc.) that the agency would like to strengthen? How are the needs assessed and how, if at all, is recruitment of new board members driven by this assessment?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____	Reviewer Score _____	Team Score _____
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3. Role of the Board

Please describe how the board exercises its responsibilities to establish policy, approve budgets (including an agency-wide operating budget) develop strategic plans and hold management accountable for performance? How does the board distinguish its role from agency management? Is this an area of any confusion or conflict within the agency?

Comments:

How frequently does the board review budget and program performance reports? How frequently does the board review the performance of the agency's Executive Director? How are budget and program reports used by the board to make decisions? How does the board review progress in meeting strategic plan goals and objectives? What role does the board play in agency fundraising?

Comments:

What role(s) do board committees play in assisting the board to make policy, budget and program decisions?

Comments:

When making decisions on the development or revision of policies, budgets, programs and plans, what agency or community information is considered by the board in making these decisions?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

#4. Keeping the Board Informed

What information is communicated to the board by agency management or committee reports?

Comments:

How frequently does the board receive the following information: budget reports; strategic plan updates; program exception reports?

Comments:

Is this information provided in a “plan vs. actual” format? Is the information provided in advance of meetings or is it distributed at the meeting?

Comments:

Is the information sufficient to allow the board to effectively carry out its duties and responsibilities? Are there any suggestions for improvements?

Comments:

Has the board received any information on program outcomes? Is the Board familiar with ROMA reporting requirements?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

5. Board Decision Making

With what frequency does the board review and act on matters related to the agency's budget, strategic plan, program performance, etc.?

Comments:

What information is considered by the board in making fiscal, program, policy or planning decisions?

Comments:

What process is used by the board to review and make decisions? Who identifies issues to be addressed? How are issues appropriate for board action distinguished from issues appropriate for management action? What roles do staff and committees play in helping the board make decisions?

Comments:

What role does the agency's Executive Committee play in agency decision-making? What is the scope of the Executive Committee's authority to act on behalf of the board?

Comments:

Could you give me some examples of key board decisions made during the past 6-12 months? How did these issues come to the attention of the board? How were they considered and addressed?

Comments:

Has the board taken action in response to information presented in monthly financial, planning or program performance reports? What action was taken? Were the results reflected in future reports?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

6. Board Training and Orientation

Could you describe the agency's orientation for new board members? Is the orientation mandatory or voluntary? Does the orientation review board members roles and responsibilities? Does the agency offer mentoring support to new board members?

Comments:

Are new board members routinely given a copy of an agency Board Manual and Conflict of Interest policy statement? What information is included in the Board Manual?

Comments:

During the past year, what training has been offered to current board members? Has "financial literacy" training been offered to board members? If board training was not provided during the past year, when was the last time training was offered? Does the agency evaluate its orientation and training programs to assess their effectiveness?

Comments:

Have board members attended any meetings or conferences where they have an opportunity to meet and interact with other CAA board members? Please describe. How many members attended? When was the last time board members attended a CAA related meeting or conference?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

7. Executive Director Performance Appraisal

Please describe the process the board uses to evaluate the agency's Executive Director. How often has the board evaluated the Executive during the past 5 years?

Comments:

Does the Executive's evaluation specify short (e.g., annual) and/or long term measurable goals and performance objectives? How were these goals and objectives developed?

Comments:

Is a portion of the Executive's compensation adjustment based on the achievement of specified performance objectives included in his/her performance review?

Comments:

How does the agency's Executive participate in the board's evaluation of his/her performance?

Comments:

Please describe the last performance review of the agency's Executive. Who was involved? How long between reviews? What major themes grew out of this review? What, if any, actions were generated in response to the themes identified in the last review?

Comments:

How would you assess the strengths and weaknesses of the current relationship between the board and the agency's Executive?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

8. Code of Ethics

Does the agency have a written Code of Ethics or Conduct which details expectations regarding the behavior, activities and responsibilities of board members? If not, is the agency developing such a statement for its board members?

Comments:

What topics are covered in the agency's Code of Ethics or Conduct for board members? How was the statement developed? How are board members informed about the agency's Code of Ethics or Conduct?

Comments:

What are the consequences of violating the agency's Code of Ethics or Conduct? Are board members informed of possible sanctions or code violations? How is this information provided?

Comments:

How often is the agency's Code of Ethics or Conduct reviewed and updated? Are there any unique or innovative aspects of the agency's code? If yes, please describe.

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

TEAM SCORES: A. GOVERNANCE

Individual Items	Score
1. Agency Bylaws	
2. Board Structure and Skills	
3. Role of the Board	
4. Keeping the Board Informed	
5. Board Decision Making	
6. Board Training and Orientation	
7. Executive Director Performance Appraisal	
8. Code of Ethics	
<i>Total Score</i>	
<i>Average Score (Total Score divided by 8)</i>	
<i>Range of Scores (Highest to Lowest)</i>	

B. Operational Management and Organizational Structure

1. Intake

1—at risk	Written intake policies, procedures and forms which identify criteria for the enrollment of clients, the requirement to document all contacts with clients, notification of client rights and privacy protections exist for few if any agency programs.
2—approaching achievement of standard	Appropriate intake policies, procedures and forms exist for the majority of agency programs.
3—fully meets standard	Appropriate intake policies, procedures and forms, including client release of information signoff, exist for all programs. Information and referral support is offered to individuals determined to be ineligible for agency assistance.
4—exceeds standard; approaching excellence	3, plus a common intake system exists for some agency programs and a plan exists to expand the system to include additional programs within the next 12 – 18 months.
5—excellent	The agency has a fully operational integrated common intake system serving all its consumers.
Score: _____ (Description of current status)	

2. Collaboration⁵

1—at risk	The agency does not collaborate unless required to do so.
2—approaching achievement of standard	The agency informally collaborates in a few programs in response to external initiatives or mandates but does not take the initiative to develop relationships which address existing or emerging community needs.
3—fully meets standard	The agency seeks out and promotes collaboration in all major programs to ensure their effectiveness and formalizes these relationships with written agreements as appropriate.
4—exceeds standard; approaching excellence	3, plus the agency routinely reviews and updates its collaboration agreements to assess appropriateness and performance.
5—excellent	4, plus the agency takes consistent leadership in convening community partners to strengthen existing or develop new collaborations aimed at addressing emerging community needs.
Score: _____ (Description of current status)	

⁵ This item refers to informal, verbal agreements to collaborate. The agency might collaborate with other community agencies, religious institutions and other faith-based groups, state, county, or city service agencies, or contractors that perform services for the agency such as intake

3. Program Design and Development

1—at risk	Programs and projects are designed and developed by a few senior staff and funder requirements are the principle determinant of program design.
2—approaching achievement of standard	Programs and projects are designed and developed by a few senior staff with occasional input from other staff, board, partners or consumers. Little consideration is given the agency’s mission, community needs assessment, program evaluation data or a strategic plan in program design.
3—fully meets standard	Programs and projects are designed and developed by a team that may include staff from different functional areas and will occasionally include community partners. The agency’s mission and strategic plan are routinely considered in program development and design.
4—exceeds standard; approaching excellence	3, plus input from community partners, board members and consumers are nearly always included in the planning process and all sources of data are used to guide program development and design.
5—excellent	4, plus local, state and national program research and evaluation data are used by the agency’s team to help guide the design and development of agency programs.
Score: _____ (Description of current status)	

4. Program Monitoring and Assessment

1—at risk	Program monitoring is conducted only when required by a particular funding source. If not mandated by an external source, the agency does not routinely monitor or assess its programs.
2—approaching achievement of standard	Program monitoring is conducted in accordance with requirements developed by the agency as well as those mandated by funding sources. Program and client outcome data, in compliance with ROMA and National Indicator requirements, is collected for most of the agency’s programs.
3—fully meets standard	Program monitoring and assessment is regularly performed for all agency programs including collection of client and program outcome data in compliance with ROMA and National Indicator requirements.
4—exceeds standard; approaching excellence	3, plus program monitoring data is routinely reported to funding sources and distributed to agency managers to support informed decision-making.
5—excellent	4, plus program monitoring and assessment information is routinely reported to appropriate committee and board members and may be used for agency marketing and advocacy.
Score: _____ (Description of current status)	

5. Program Operating Policies and Procedures

1—at risk	The majority of agency programs have no written operating policies and procedures. ⁶
2—approaching achievement of standard	There are written operating policies and procedures for some programs but not for others. Existing policies and procedures are not consistently distributed to staff and there is little or no training offered staff.
3—fully meets standard	There are written operating policies and procedures for all programs which are routinely distributed to staff. All appropriate program staff are trained to ensure they understand and are able to carry out these policies and procedures.
4—exceeds standard; approaching excellence	3, plus program operating policies and procedures are reviewed on a regular basis to assure compliance with external requirements/standards.
5—excellent	4, plus policies and procedures for program operation are reviewed regularly and updated to address needs identified through internal evaluations and best practices of peer programs or those identified as benchmarks in the field.
Score: _____ (Description of current status)	

6. Program Integration

1—at risk	There are no formal linkages among any of the agency's major programs.
2—approaching achievement of standard	There are formal linkages (e.g., shared intake, integrated service plans, shared supervision, shared staffing, inter-program staff meetings and training, referral procedures, performance measures, etc) among a few of the agency's programs and informal linkages among others.
3—fully meets standard	There are formal linkages among most programs and informal linkages for the remaining programs.
4—exceeds standard; approaching excellence	3, plus there are formal linkages among nearly all programs including a common intake system. Staff assigned to these programs are able to assist clients understand and access the full scope of agency services available to them based on need and eligibility.
5—excellent	4, plus there are formal linkages among all programs, and all program staff can assist clients to understand and access the full scope of agency services available to them based on need and eligibility.
Score: _____ (Description of current status)	

⁶ Policies and procedures govern the way in which programs are administered. For example, they might define the minimum time for responding to inquiries or the specific elements that will be covered during an orientation session.

7. Performance Measurement⁷

1—at risk	Agency reports only information required by funding sources and currently is not collecting and reporting information (e.g., client and program outcome data) required by ROMA and National Indicator requirements for the majority of its current programs.
2—approaching achievement of standard	Performance measures required by the funder are used, and occasionally some other measures are collected and reported for some programs. Agency is collecting and reporting information to comply with ROMA and National Indicator reporting requirements for some of its programs.
3—fully meets standard	Performance measures required by the funder as well as those developed by the agency (e.g., consumer satisfaction) are being used to assess the performance the majority of the agency's programs. ROMA and National Indicator outcome (program and client) assessment is fully implemented for all agency programs.
4—exceeds standard; approaching excellence	3, plus performance data is routinely reported to funding sources and internal users (e.g., managers, board, etc.) to support informed decision-making.
5—excellent	4, plus performance measures are reviewed on a regular basis to assure their appropriateness, reliability, and validity.
Score: _____ (Description of current status)	

⁷ A performance measurement system consists of an array of performance indicators that track the organization's success in attaining its goals. It should derive from the organization's strategic plan and provide critical data about key processes and results. Performance indicators measure work performed and results achieved based on goals established by the program. Performance indicators should be consistent with and pertinent to the organization's mission and goals. The following terms are used to describe program measurement:

- Input is the amount of resources actually used to produce outputs and outcomes.
- Output refers to the amount of products produced and services delivered.
- Process (workload) refers to the amount of work that goes into a program.
- Outcome refers to the end result desired by the program.
- Intermediate outcomes are outcomes expected to lead to the ends desired but are not themselves ends, e.g., customer satisfaction and quality measures, response or cycle time.

8. Customer Satisfaction

1—at risk	Customer satisfaction information is only collected for programs where it is mandated and is not generally used.
2—approaching achievement of standard	Customer satisfaction information is collected for some non-mandated programs but in an inconsistent manner, e.g., in the methodologies, the timing, or the regularity with which data are collected. Reporting and use are also inconsistent.
3—fully meets standard	Customer satisfaction information is collected for most programs and is reported individually by program. It is reviewed and used by program at least annually.
4—exceeds standard; approaching excellence	Customer satisfaction information is collected with some integration among programs and is reported and used during the year for continuous improvement. ⁸
5—excellent	Customer satisfaction is collected with full integration among programs and is reported and used both quarterly and annually in planning and continuous improvement.
Score: _____ (Description of current status)	

⁸ Continuous improvement refers to an organization's constant effort at improving processes, programs, and services. The process of continuous improvement is a cycle consisting of the following steps: measuring and reporting performance, analyzing data and defining improvement goals, determining causes for weak performance, designing corrective measures, implementing corrective strategies, and assessing the effectiveness of improvement efforts.

9. Risk Management – Disaster Recovery Planning

1—at risk	The agency has not taken any steps to develop either a risk management or disaster recovery plan.
2—approaching achievement of standard	The agency has taken steps to develop either a risk management or disaster recovery plan.
3—fully meets standard	The agency has prepared or, within six months, will complete preparation of both a agency risk management and disaster recovery plan.
4—exceeds standard; approaching excellence	3, plus the agency’s risk management and disaster recovery plans are renewed, updated, at least every three years.
5—excellent	4, plus the agency’s risk management and disaster recovery plans are reviewed and updated by a cross-functional team which meets at least twice a year.
Score: _____ (Description of current status)	

10. Confidentiality and Client Privacy

1—at risk	There are no written policies or procedures governing confidentiality and client privacy.
2—approaching achievement of standard	There are some written policies and procedures but they are incomplete, poorly documented, inconsistently applied and not well understood.
3—fully meets standard	Written policies and procedures exist, are compliant with laws and regulations, have been distributed and are being applied within individual programs. Evidence exists that there is awareness and sensitivity to client privacy in day-to-day operations (e.g., private space for client interviews, confidential material not left in view of others, security access to electronic client database, etc).
4—exceeds standard; approaching excellence	3, plus written policies and procedures are integrated and applied agency wide. Evidence of staff being trained on agency policies and procedures. Clients have access to a clear and comfortable procedure to express complaints regarding violations of agency privacy protection policies.
5—excellent	4, plus sensitivity to client confidentiality is considered in staff performance evaluations and policies are reviewed and updated on a regular basis.
Score: _____ (Description of current status)	

11. Organizational Ethics

1—at risk	The agency has not developed a written Code of Ethics which describes expectations of appropriate ethical organizational behavior.
2—approaching achievement of standard	The agency is developing a written Code of Ethics which covers board, staff, contractors and volunteers. This statement is scheduled for review and adoption during the next three months.
3—fully meets standard	The agency has a written Code of Ethics which is routinely distributed to all board members, staff, contractors and volunteers. There is evidence that senior management has clearly and consistently communicated its commitment to fully and fairly implementing the agency’s Code of Ethics.
4—exceeds standard; approaching excellence	3, plus the agency has established a written policy and procedure for individuals to report in confidence alleged violations of the agency’s Code of Ethics without fear of reprisal or retaliation.
5—excellent	4, plus the agency’s Code of Ethics is routinely reviewed and updated based on agency experience, legal mandates and evolving best practice standards.
Score: _____ (Description of current status)	

B. Operational Management and Organizational Structure Scores

Self Assessment Interview and Scoring Summary

Peer Reviewer(s) _____

Interview Date: _____ Time: _____

Documents: Intake forms, policies; Evidence of Agency Collaboration/Collaborative agreements, Corrective action/Program Improvement plans; Operational policies for individual programs; Program Performance reports; Customer satisfaction surveys and reports; Confidentiality and privacy policies; Organization chart; Code of Ethics Statement.

Document Observations:

Suggested Persons to be interviewed: Program Manager, Planning Director, Program Director/Supervisor, Board Program Committee Member.

Persons Interviewed (Name, Title)

Questions/Comments

#1. Intake

Could you describe the agency's overall approach to organizing and carrying out customer or client intake? What support is offered to individuals screened out of intake due to eligibility or other issues?

Comments:

Do written Intake policies and procedures exist for all agency programs? If not, which programs do not have written policies and procedures? Do your policies clearly identify eligibility screening criteria, requirements for contact documentation, notification of client's rights and privacy protections and, waiting list assignment and management protocols?

Comments:

What is the agency's policy for tracking and updating waiting lists? How is this policy monitored?

Comments:

What training is offered to staff to assure they understand and correctly implement the agency's Intake policies and procedures?

Comments:

To what degree is the agency's Intake system integrated to cover all its major programs and services? If not fully integrated, are there plans to improve the integration of the agency's intake system? If so, what is the timetable for implementing these changes?

Comments:

Other Observations:

Scoring Rationale:

Agency Score: _____ **Reviewer Score** _____ **Team Score** _____

#2. Collaboration

In general, how would you describe the agency's attitude towards collaborating with other agencies, groups and organizations? What factors are considered when assessing the value of maintaining existing or establishing new collaborative relationships?

Comments:

In reflecting on current collaborations in the community, how many of these relationships were the product of agency initiated contacts vs. relationships proposed or required by a funding source or another organization?

Comments:

How many of the agency's current collaborations are formalized by written agreements? What factors determine when a relationship will be formalized by an agreement? How often are these agreements reviewed to assess their need and effectiveness?

Comments:

What role has the agency played in convening community partners to strengthen existing relationships or forge new relationships aimed at addressing an unmet or emerging community need?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

3. Program Design and Development

To what degree is the design and development of programs within the agency driven by funder requirements and undertaken by a few senior staff?

Comments:

Beyond the requirements of funding sources, what other information or considerations influence the design and development of agency programs? Are some of these factors more important than others? Please explain.

Comments:

If more than a few senior staff is involved in program design and development, who else is normally involved in these activities? Is a team approach employed? Is input from community partners, board members and consumers sought in the development process? Is the input of these groups regularly sought out in these planning initiatives?

Comments:

Does the agency seek to use its own plus available local, state and national program research and evaluation data to inform program development and design decisions?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____	Reviewer Score _____	Team Score _____
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4. Program Monitoring and Assessment

Could you describe the systems and procedures used by the agency to monitor and assess its programs? Are there any programs which are not being routinely monitored?

Comments:

To what degree is the design of the agency's program monitoring system exclusively driven by funding source compliance and reporting requirements? What, if any, information beyond that required by funders does the agency collect and review to track program operating effectiveness and performance?

Comments:

Is the agency's program monitoring and assessment system fully capable of responding to ROMA and National Indicator outcome reporting requirements? Is this capacity restricted to a few programs or is this capacity extended to all major programs? Are there actions which need to be taken to strengthen the agency's ability to respond to these reporting demands? If so, what actions need to be taken?

Comments:

Does the current system provide sufficient information in a timely fashion to enable the agency to proactively identify and correct deficiencies? If not, what might be done to improve the content and/or timing of the agency's current system?

Comments:

Beyond the agency's funding sources, what individuals or groups receive information on program performance? How frequently are reports provided to these individuals and groups? How is the information used?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

5. Program Operating Policies and Procedures

Has the agency developed written policies and procedures which guide and govern the systematic operation of all of its programs? If no, which programs do not have written operational policies? Are there plans to develop written policies and procedures for these programs?

Comments:

How are program policies and procedures distributed and communicated to appropriate staff?

Comments:

What, if any training, is offered to staff to assure they understand and are correctly using agency approved program operating policies and procedures? Is training mandatory or discretionary? How frequently is training provided?

Comments:

When reviewing and updating program policies what efforts are made to refer to best practice operating standards, consumer feedback and program evaluation results? How frequently are program operating policies and procedures reviewed?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

6. Program Integration

What, if any, linkages exist between agency programs to help consumers understand and easily access the full scope of services provided by the agency? Would you characterize these linkages as more formal or informal?

Comments:

Could you briefly describe the nature of the linkages which exist between agency programs and, whether these relationships have been the product of intentional program design or more ad hoc, program specific initiatives?

Comments:

Does the agency have a common, agency oriented intake process for all of its programs? How does this system work? Is the data automated?

Comments:

How are services coordinated to consumers who are enrolled in more than one program within the agency?

Comments:

What training is offered to staff to promote service integration within the agency?

Comments:

Other Observations:

Scoring Rationale:

Agency Score_____ **Reviewer Score**_____ **Team Score**_____

7. Performance Measurement

Please describe the measures the agency is using to assess performance in achieving its organizational and program goals. Does the agency's performance assessment system include input, output, process and outcome measures? What is the status of ROMA and National Indicator program outcome measurement and reporting within the agency?

Comments:

In considering these measures are they restricted to mandates of funding sources or, has the agency developed non-mandated measures designed to meet internal continuous quality improvement information needs

Comments:

To what, if any, degree is Consumer Satisfaction data included in the agency's performance measurement system? How often is this data collected? How is it integrated into the performance measurement system?

Comments:

How frequently are performance assessment reports prepared? To who are the reports distributed? How are the reports used to identify needs for improvement planning? Could you describe an example of how these reports were used to identify and address an improvement need?

Comments:

To what degree is the agency's MIS able to generate performance measurement reports which are timely and responsive to funder, agency manager and board/committee information needs/requests?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

8. Customer Satisfaction

Please describe how the agency collects customer satisfaction information. How frequently is this information collected? Are the methods used to collect information standardized or do they vary from one program to another?

Comments:

Is customer satisfaction measured for all programs or only in circumstances where data collection is mandated by a funding source?

Comments:

How is customer satisfaction data integrated within the agency's overall performance measurement system?

Comments:

How is customer satisfaction data distributed to internal and external audiences?
How frequently are reports prepared and distributed?

Comments:

How are the results of customer satisfaction data used to improve the quality and effectiveness of the service experience for agency consumers? Is there an example of an improvement driven by consumer feedback?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

9. Risk Management – Disaster Recovery Planning

Does the agency have a written risk management plan? If not, what, if any actions have the agency taken to assess and manage risk within the organization either in response to external requirements by insurers, funders, etc or in response to internal initiatives?

Comments:

Does the agency have a written disaster recovery plan? If not, is the agency planning to prepare such a plan? If so, what is the deadline for completion?

Comments:

What has been the scope of the agency's risk assessment? What risk priorities have been identified based on their potential for harm? What strategies have been implemented to manage, moderate or eliminate these risks? Is there a plan to conduct a comprehensive risk assessment and develop an agency Risk Management Plan?

Comments:

If the agency has a risk management plan and/or a disaster recovery plan, who was involved in the development of these plans? How frequently are the plans reviewed and updated? Who is responsible for the review and update of these plans?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

10. Confidentiality and Client Privacy

Does the agency have written policies and procedures governing the protection client confidentiality and privacy rights for all programs? Are these policies and procedures standardized across the agency or, do different programs operate with different standards and policies?

Comments:

How are agency staff and volunteers informed of the agency's client confidentiality protection policies and procedures and sanctions for their violation? Is compliance agency policies relating to client confidentiality considered in staff performance evaluations?

Comments:

What steps has the agency taken to assure the protection of client confidentiality (e.g. private interviewing rooms for intake and service delivery, IT security for access to and transmission of client information, prohibition against storing client files in unauthorized locations, assuring that clients are informed and authorize release of confidential information to external or internal unauthorized sources, etc)?

Comments:

How are consumers informed of their right to register complaints about alleged violations of the agency's client confidentiality and privacy protection policies and procedures? Is there a written protocol for responding to client complaints?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

#11. Organizational Ethics

Has the agency adopted a written Code of Ethics which describes principles of ethical practice for agency staff, board, contractors and volunteers? If not, is the agency developing a written Code of Ethics? When will the Statement be adopted?

Comments:

Has the agency’s Executive Director and senior managers made a clear and visible commitment to fully implement these principles of ethical conduct in the day-to-day administration of agency services and operations? How has this commitment been manifested to agency staff and board members, etc.?

Comments:

Has the agency adopted a “whistleblower” protection policy which prohibits retaliation against employees who report violations of agency principles of ethical conduct and internal controls? If not, is the agency considering the adoption of such a policy?

Comments:

Has the agency provided training to staff and board members to assure that they are aware and understand the agency’s professional code of conduct?

Comments:

How does the agency assess and monitor compliance with its code of professional conduct? What actions has the agency taken to reduce risk of violations based on experience with compliance over the past few years?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____
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TEAM SCORES: B. OPERATIONAL MANAGEMENT AND ORGANIZATIONAL STRUCTURE

Individual Items	Score
1. Intake	
2. Collaboration	
3. Program Design and Development	
4. Program Monitoring and Assessment	
5. Program Operating Policies and Procedures	
6. Program Integration	
7. Performance Measurement	
8. Customer Satisfaction	
9. Risk Management – Disaster Recovery Planning	
10. Confidentiality and Client Privacy	
11. Organizational Ethics	
<i>Total Score</i>	
<i>Average (Total divided by 11)</i>	
<i>Range (the highest – the lowest) Example: 2 - 5</i>	

C. Planning and Community Investment

1. Mission Statement

1—at risk	The agency has no mission statement or, there is a mission statement ⁹ available within the agency but it is not generally recognized or understood, is not considered in agency decision making and has not been reviewed in the past 3 years.
2—approaching achievement of standard	There is a mission statement that has been reviewed in the past 3 years but there is little evidence that it is well understood by key internal or external audiences or that it is considered in agency planning and decision making.
3—fully meets standard	There is a mission statement that has been reviewed in the past 3 years. Efforts are made to assure that all key agency audiences are aware and understand the statement. The statement is regularly used as the starting point for budgeting, policy making, and planning agency programs.
4—exceeds standard; approaching excellence	3 plus, the mission statement is reviewed at least every two years and is consistently used as the starting point strategic planning, policy making, budgeting and planning all programs. There is evidence of some communication of the agency's mission statement to selected community audiences.
5—excellent	4 plus, the mission statement is reviewed every year and is widely disseminated to a variety of community audiences.
Score: _____ (Description of current status)	

⁹ A mission statement formulates the organization's overarching vision or its enduring statement of purpose. The mission statement is outcome-oriented and provides direction to the organization.

2. Timeliness and Use of the Agency's Strategic Plan¹⁰

1—at risk	There is no agency wide strategic plan.
2—approaching achievement of standard	There is a plan but it has not been updated in 3 or more years and is shared with very few people in the agency and has little or no impact on budgeting and program planning decisions.
3—fully meets standard	The plan is reviewed and, as needed, updated annually, and is shared with senior staff and the board and is considered in agency budgeting and program planning.
4—exceeds standard; approaching excellence	3, plus the plan is reviewed semi-annually, is shared with all staff and is a prominent factor in agency budgeting and program planning.
5—excellent	4, plus the plan reviews and updates are shared with key community audiences and provides essential guidance and direction in agency decision making.
Score: _____ (Description of current status)	

3. Development of the Strategic Plan

1—at risk	The strategic plan is developed by one or two people using limited and/or outdated agency data with little or no reference to community needs, demographic trends, competitive market position, etc.
2—approaching achievement of standard	Plan developed by senior management staff in a structured process using updated agency program and financial information but without Board input and limited reconnaissance of community needs and resources.
3—fully meets standard	Plan developed through a structured process involving senior management staff and the officers or executive committee of the board. Plan based on review of both updated agency and community needs/resources information.
4—exceeds standard; approaching excellence	Plan developed by the groups listed in 3 plus at least two of the following groups: community groups/partners, other board members, other staff, or clients.
5—excellent	Plan developed by the groups listed in 3 plus three or more of the groups listed in 4.
Score: _____ (Description of current status)	

¹⁰ A strategic plan analyzes the organization's past and present to envision what and where it wants to be in the future, e.g., in five years, as well as how it intends to get there. It generally includes a mission statement, a statement of long-term goals, and a formulation of strategies for achieving these objectives. It should contain performance indicators that are explicitly related to the goals identified in the plan and that can be used to track progress toward meeting these goals. It also should provide recent baseline values to indicate where the program currently stands in regard to key strategic objectives and to provide the starting point for the plan.

4. Community Needs Assessment¹¹

1—at risk	The agency has not collected any updated Community Needs Assessment data in the last two years and the agency has no system for integrating data into its strategic or operational plans.
2—approaching achievement of standard	There are needs assessments for specific programs whether or not required by funders, but no system exists for utilizing the programs' needs assessment data on an agency level or for disseminating or using findings within the agency. The data are only used to meet program requirements.
3—fully meets standard	There is a regularly conducted (2yr), broad-based community needs assessment that is coordinated with the program needs assessments.
4—exceeds standard; approaching excellence	There is a regularly conducted, broad-based community needs assessment that is used in developing the agency strategic plan and in formulating program goals and objectives.
5—excellent	The agency's needs assessment and strategic plan are utilized in seeking funding through governmental and private funding sources. Information from the needs assessment is shared with local policy makers and legislators.
Score: _____ (Description of current status)	

¹¹ Needs assessment refers to a systematic effort at evaluating what the service requirements of the community are. It is aimed at determining what services it is essential to provide, what is available, and what is missing. This can be done through surveys, focus groups, or community meetings.

5. Marketing

1—at risk	There is no written agency marketing plan ¹² or marketing activities. Program marketing initiatives are exclusively focused on outreach efforts designed to meet contract requirements or specific service objectives. Responsibilities for marketing are diffuse and often unclear to internal or external audiences.
2—approaching achievement of standard	There are written marketing plans for some programs and there are limited agency-wide marketing activities but they are not organized or driven by an overall plan which identifies common goals, audiences, messages, themes, strategies and operational responsibilities.
3—fully meets standard	The agency has developed and implemented a written corporate marketing plan and responsibilities for implementing the plan are clearly defined.
4—exceeds standard; approaching excellence	3, plus the agency's marketing plan is aligned with the agency's strategic plan and is reviewed and updated on a regular basis.
5—excellent	4, plus a team approach with central coordination is used to identify and respond to new marketing opportunities, assess plan performance and recommend updates and revisions.
Score: _____ (Description of current status)	

¹² A marketing plan is part of and aligned with the organization's strategic plan. It contains information about the organization and its programs and services, marketing objectives and strategies, as well as an explanation of how the success of marketing activities is measured. It describes all the marketing activities to be performed during a specified time period (usually one year), as well as background information and research results used to select those marketing activities. Finally, it documents the costs associated with the planned marketing activities and the measurements that will be used to determine success.

6. Agency Web Site

1—at risk	The agency does not have a web site at this time or, a website is planned but construction has either not begun or is incomplete.
2—approaching achievement of standard	There is a web site but it contains outdated information, is difficult to navigate and responsibility for management is diffuse or undefined.
3—fully meets standard	There is a website that provides updated information describing the agency and reasonably accessible (3 click) navigation to information on programs and services, employment, volunteer opportunities, donations, events and activities, etc. Responsibility for site management is defined.
4—exceeds standard; approaching excellence	There is a web site which reflects an understanding of user needs and interests and provides easily accessible (2 clicks) navigation and updated information about the agency and its programs. The site allows users to submit employment applications, make donations, register for events and to seek assistance or information with appropriate privacy protections.
5—excellent	4, plus the web site provides information in more than one language and includes an “intranet” capacity to promote communication with internal agency audiences.
Score: _____ (Description of current status)	

7. Expanding Funding

1—at risk	The agency manages existing contracts to meet contract compliance requirements but demonstrates little initiative in exploring opportunities to broaden financial support for existing or new programs.
2—approaching achievement of standard	The agency demonstrates some initiative in seeking to expand or diversify funding for existing programs as well as seeking support for new programs.
3—fully meets standard	The agency consistently takes initiative to expand and diversify funding for existing and new programs
4—exceeds standard; approaching excellence	The agency has a development plan which identifies goals to expand and diversify support for existing and new programs. This plan is partially integrated with the agency’s strategic plan.
5—excellent	The agency’s strategic plan and development plan are fully integrated and both board and staff are actively involved in the implementation of these plans.
Score: _____ (Description of current status)	

8. Fundraising¹³

1—at risk	The agency does not do any fundraising.
2—approaching achievement of standard	Sporadic fundraising appeals are sponsored by the agency in response to specific program needs, board or staff member interests, etc. but are not the product of any overall plan and not intended to become signature agency appeals.
3—fully meets standard	Fundraising is undertaken as a regular commitment by both board and staff to diversify and generate a source of unrestricted agency revenue and, broaden community understanding and support. Restricted and unrestricted self support revenue is recorded and tracked in an electronic database within or connected to the agency’s accounting and internal controls system.
4—exceeds standard; approaching excellence	3, plus there is a written agency development plan aligned with the agency’s strategic plan. The plan outlines a multi-year development effort designed to meet revenue goals including sponsoring an agency signature event or activity. Plan performance is closely monitored and updated.
5—excellent	4, plus there are plans to actively seek gifts of trusts, securities, bequests, and other types of planned giving to create investment reserves and income.
Score: _____ (Description of current status)	

¹³ Fundraising refers to the raising of non-grant resources, such as donations (restricted or unrestricted), “unrestricted” resources, in-kind resources, etc.

C. Planning and Community Investment Scores

Self-Assessment Interview and Scoring Summary

Reviewer(s) _____

Interview Date: _____ Time: _____

Documents: Mission Statement, Program Plans, Strategic Plan, Operational Plans, Community Needs Assessment, Funding Proposals, Agency/Program marketing plans, Agency Development/Fundraising Plan, Fundraising materials (e.g., solicitation letters, brochures), Annual report.

Document Observations:

Persons to be interviewed: Planning Director, Program Manager, Marketing/PR/FR Staff, Program Staff Member, IT Staff.

Persons Interviewed (Name, Title)

Questions/Comments

#1. Mission Statement

Does the agency have a written Mission Statement? If so, what is the agency's mission?

Comments:

When was the last time the Mission Statement was reviewed and updated?

Is the Statement reviewed on a regular basis? How often does this review occur?

Comments:

How familiar are staff and board members with the agency's Mission Statement? How are staff and board members informed about the agency's mission? What efforts are made to inform consumers and community audiences about the agency's mission?

Comments:

What influence does the agency's mission have on management and board decision-making involving strategic planning, financial, program development and community collaborations? How is the Mission considered in these decisions? Can you offer a recent example of a management or board decision which was influenced by the agency's Mission Statement?

Comments:

Other Observations:

Scoring Rationale:

Agency Score: _____ **Reviewer Score** _____ **Team Score** _____

#2. Timeliness and Use of the Agency's Strategic Plan

When the last time the agency's Strategic Plan was updated? How often does the agency review and update its Strategic Plan?

Comments:

How frequently is progress in achieving Plan goals and objectives monitored and reported? To who is progress reported? How frequently are reports disseminated? In what form are reports provided?

Comments:

What influence does the agency's Strategic Plan have on management and board decision-making related to funding, programming, etc. during the course of the year?

Comments:

How broadly is the agency's Strategic Plan distributed to staff, board and committee members?
How does the agency educate key stakeholders about the content of the agency's Strategic Plan?
Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

3. Development of the Strategic Plan

Could you describe the process which was used to create or update the agency's Strategic Plan?
What stakeholders were involved? What was the extent and nature of their involvement?

Comments:

Based on your experience, would you do anything differently in the future to solicit input and participation in the development or update of the agency's Plan? What would you do differently?

Comments:

What information was used in developing or updating the agency's Plan? How timely was the information? Was the agency's IT/MIS able to provide useful and timely information to assist in the development of the agency's Plan?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

4. Community Needs Assessment

When did the agency conduct its last community needs assessment? How frequently does the agency conduct these needs assessments?

Comments:

How was the needs assessment designed and conducted? Is the assessment restricted to specific programs where funding sources mandate the research?

Comments:

To whom were results of the assessment reported? In what form were results presented?

Comments

What uses are made of the data collected through the needs assessment?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

5. Marketing

Does the agency have a written Marketing Plan? What are the primary goals of the agency's marketing efforts?

Comments:

Are agency marketing goals and strategies integrated across programs or are they primarily focused on specific program needs? Are there any differences between activities related to program outreach and agency marketing?

Comments:

Could you describe the agency's marketing strategies and activities? What role does the agency's web page play in the agency's marketing strategies?

Comments:

How does the agency assess the effectiveness of its marketing strategies? How frequently is this assessment undertaken? Who receives progress reports? What steps have been taken to strengthen agency marketing?

Comments:

Who is responsible for managing and coordinating the agency's marketing plans and activities? How are goals and strategies developed and implemented within the agency?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

#6. Agency Web Site

How often is the information on the agency's web site reviewed and update? Who is responsible for the overall management of the site (e.g., content, updates, etc)?

Comments

What are the functional characteristics and qualities of the agency's web site? Who is it designed to serve?

Comments

Is there any interactive functionality in the site? Please describe.

Comments

How easy is it for users to navigate within the site, e.g., how many clicks to locate information needed?

Comments

Does the site include an intranet capacity for internal users (e.g., email, agency HR information, etc.)? Is any information available in a second language?

Comments

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

7. Expanding Funding

What approach does the agency take to exploring opportunities to expand existing sources of revenue and/or develop new sources of revenue?

Is this approach primarily proactive or reactive?

Comments:

Does the agency have a written Development Plan which identifies goals and strategies for generating new operating revenue? How is this plan integrated with the agency's Strategic Plan? How is the plan monitored?

Comments:

Who is responsible for implementing the agency's Development Plan? Are sufficient resources and support provided by the board and senior management to achieve the agency's Development goals?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

8. Fundraising

What efforts has the agency made to generate revenue from non-governmental sources through local fundraising? Are these efforts incorporated into a written Development Plan with goals and timetables or are they more informal and sporadic? Is the plan aligned with the agency's Strategic Plan?

Comments:

How would the agency evaluate its success in local fundraising? How important is this source revenue in the context of the agency's overall plan to develop and maintain financial stability?

Comments:

Is the agency making efforts to raise unrestricted revenue? How is this being done?

Comments:

Does the agency have any plans to implement a planned giving program to help create endowment reserves or develop social entrepreneurships capable of generating unrestricted operating revenue?

Comments:

How would you assess the effectiveness of the agency's fundraising efforts to date?

Comments:

How has the agency's board supported agency efforts to raise funds? Has the board formed a fundraising or development committee to help the board plan and organize agency fundraising efforts?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

TEAM SCORES: C. PLANNING AND COMMUNITY INVESTMENT

Individual Items	Score
1. Mission Statement	
2. Timeliness and Use of the Agency's Strategic Plan	
3. Development of the Strategic Plan	
4. Community Needs Assessment	
5. Marketing	
6. Agency Web Site	
7. Expanding Funding	
8. Fundraising	
<i>Total Score</i>	
<i>Average (Total divided by 8)</i>	
<i>Range (the highest – the lowest) Example: 2 - 5</i>	

D. Information Technology

1. IT Management and Administration

1—at risk	Responsibility for the management of the agency’s IT function is assumed by various individuals, departments and programs without any centralized coordination, planning, budgeting or policy direction.
2—approaching achievement of standard	IT administrative responsibilities have been: 1. Assigned to an ad hoc staff team that meets on an “as needed” basis to address agency-wide needs and problems, 2. Assigned to a mid-level staff member with limited administrative and/or technical expertise or experience or, 3. Outsourced to a vendor who operates with little or no agency technical or administrative oversight.
3—fully meets standard	IT management responsibilities have been delegated to a senior manager with IT experience and expertise. Manager has responsibility for agency-wide IT administration (including supervision of vendors) and a written IT Plan, operational policies and financial resources exist to direct and support agency-wide IT operations.
4—exceeds standard; approaching excellence	3, plus there is a cross-functional agency team that assists the IT Manager develop strategic goals, define operating policies and procedures, identify training needs and promote effective communication and problem-solving.
5—excellent	4, plus the agency’s IT Manager serves as a member of the agency’s Management Team and participates in agency-wide budget, strategic planning and operational decision-making.
Score: _____ (Description of current status)	

2. IT Training

1—at risk	The agency does not provide any formal orientation or training for staff related to either software applications or IT operational policies and procedures. Informal IT orientation and training may be offered to appropriate staff by supervisors or colleagues but access, content and effectiveness varies throughout the organization.
2—approaching achievement of standard	A formal IT orientation program is provided to all appropriate new employees which includes a review of software applications and agency IT policies and procedures including security, privacy and, support topics.
3—fully meets standard	2, plus IT related training is provided to all appropriate staff when new technology, software applications and/or policies are introduced or in response to a large volume of consistent requests.
4—exceeds standard; approaching excellence	3, plus a training needs inventory ¹⁴ is occasionally distributed to identify agency-wide IT training needs, and training has been offered to address 2 or more of the priority needs identified through the inventory.
5—excellent	4, plus a training needs inventory is administered regularly and data from the inventory as well as IT Team feedback and Helpdesk support requests are compiled to produce and implement a written IT Training Program designed to address high priority agency and user needs.
Score: _____ (Description of current status)	

¹⁴ A training needs inventory generally lists and prioritizes where training is needed, who needs to be trained, and what skill sets employees must learn in order to be more productive.

3. IT Hardware Asset Management and Planning

1—at risk	The agency does not maintain an inventory of owned or leased hardware which identifies asset age, location and user assignment.
2—approaching achievement of standard	The agency has an inventory of its IT hardware but it is outdated (12 months+) and/or incomplete (e.g., missing equipment or asset age, location and assignment information).
3—fully meets standard	The agency maintains an updated (within past 12 months) IT inventory of owned or leased hardware which identifies the asset's age, location and user assignment. The inventory is used for purposes of annual budget planning.
4—exceeds standard; approaching excellence	3, plus the agency's IT Inventory is routinely used to help create a written 3 year IT Budget Plan which, along with the Inventory is updated annually.
5—excellent	4, plus the agency's IT personnel participate in meetings and workshops to identify trends in technology, new products and opportunities to improve operating effectiveness and efficiency.
Score: _____ (Description of current status)	

4. IT Software Asset Management and Planning

1—at risk	The agency does not maintain an inventory of current licenses for its operating systems and application programs.
2—approaching achievement of standard	The agency has an inventory of current licenses for its operating systems and application programs but it is outdated (12 months +) and/or incomplete.
3—fully meets standard	The agency maintains an updated (within past 12 months) inventory of current software licenses for its operating systems and application programs. The agency's operating system and application programs are regularly updated with patches, revisions and on-line updates. The inventory is used for purposes of annual budget planning.
4—exceeds standard; approaching excellence	3, plus the agency's inventory is routinely used to help create a written 3 year IT Budget Plan which, along with the Inventory is updated annually and
5—excellent	4, plus the agency's IT personnel participate in meetings and workshops to identify systems and application updates, upgrades and new products which can improve agency operating effectiveness and efficiency.
Score: _____ (Description of current status)	

5. IT Security

1—at risk	There is no written IT Security Plan in place and critical gaps exist in IT security policies and procedures and/or their implementation related to: 1. Off-site backup data storage, 2. Redundant server storage/data recovery and, 3. Intrusion protection (Firewalls, Anti-Virus, Spam, Spyware, and Mail System Filters).
2—approaching achievement of standard	There is no written IT Security Plan but written policies and procedures covering Data Backup, Recovery and Intrusion Protection exist and have been implemented. Communication of these policies to new and exiting users is uneven and no formal training is offered.
3—fully meets standard	A written IT Security Plan has been developed which addresses topics of Data Backup, Recovery and Intrusion Protection. Security policies and procedures are consistently distributed to users and some formal training is provided. HR communicates information regarding new and separated users to IT within 72 hours of hire or separation.
4—exceeds standard; approaching excellence	3, plus the agency’s IT Security Plan is reviewed and updated annually and a structured orientation program is provided to appropriate new staff to assure understanding and compliance with agency policy. HR communicates personnel user information within 48 hrs of hire or separation.
5—excellent	4, plus IT staff routinely monitors and audits the integrity of network security and, based on results, addresses areas of risk through patching, online updates, system upgrades, training and/or policy planning.
Score: _____ (Description of current status)	

6. Agency Web Site Technical Support

1—at risk	There are no efforts at constructing a web site at this time or, a web site is planned but construction has either not begun or is incomplete.
2—approaching achievement of standard	A web site exists, but no written policies governing site access and management exist and responsibilities for site maintenance, upgrade and support are either unclear or assigned to individuals, departments, programs or vendors with little oversight or coordination.
3—fully meets standard	The agency has written policies and procedures governing site access and management and responsibilities for technical site maintenance and support are clearly assigned and regularly evaluated (whether in-house or outsourced).
4—exceeds standard; approaching excellence	3, plus a team has been formed of site users (e.g., IT, programs, management, marketing/development, HR, etc) to promote security, problem-solving and compliance with policies and standards.
5—excellent	4, plus an annual assessment of site maintenance and support needs is undertaken to improve site accessibility and functionality.
Score: _____ (Description of current status)	

7. *Electronic Client Data Management and Integration*

1—at risk	Current agency IT client data management systems do not support one or more of the agency’s major service programs and the agency has not attempted to create and produce any reports which reflect an integration of client service data.
2—approaching achievement of standard	Current agency IT client data management system supports all major agency programs and the agency is making determined efforts to begin generating integrated, agency-wide reports that describe the demographic characteristics of clients served.
3—fully meets standard	The agency generates integrated client demographic, client and program outcome reports for the majority of its major programs for use by internal (managers, board) and external (funders) audiences.
4—exceeds standard; approaching excellence	3, plus the agency has a plan and a timetable for developing a client data management system which can support the implementation of a centralized agency intake system and the agency can produce, for all agency programs, integrated client and program outcome and demographic data to respond to funder requirements and meet the needs of the internal users including agency managers and board members.
5—excellent	4, plus IT management consistently seeks user feedback on its reporting system and responds to needs and suggestions to improve the quality, timeliness and utility of the data collected and reported.
Score: _____ (Description of current status)	

8. IT Support

1—at risk	The agency has no formal system with policies, procedures and personnel to address either agency-wide network problems or individual network user needs. Written support plans with appropriate documentation have not been developed to assure the capacity to support authorized customized software applications.
2—approaching achievement of standard	An ad hoc support system with some written policies and procedures exists to respond to agency-wide and individual user needs. The system is primarily informal and responsiveness and effectiveness varies widely depending on availability of personnel. Written support plans exist for some customized software applications but not for others.
3—fully meets standard	A formalized IT support system with written, policies, procedures and assigned personnel exists to address both agency-wide network and individual user needs. Written support plans exist with documentation to support customized software applications and procedures exist which prohibit the unauthorized installation of software by network users.
4—exceeds standard; approaching excellence	3, plus IT staff collect and review network support activity data to address systemic issues and problems through training, equipment/software upgrades and policy development. Training has been provided to assure that more than one staff person is able to support customized software applications authorized by the agency.
5—excellent	4, plus a formalized “Helpdesk” type IT support resource has been established to document, triage and respond to IT service requests with standards for support activity (e.g., response time).
Score: _____ (Description of current status)	

9. Telecommunications

1—at risk	There is no written plan or assessment of agency telecommunications needs or equipment.
2—approaching achievement of standard	There is no written pan. An assessment has been completed but it has not been updated in over a year and few changes have been made to improve connectivity, voice mail, phones, or mobile phone usage.
3—fully meets standard	There has been an updated assessment, and a written plan has been prepared and started to be implemented.
4—exceeds standard; approaching excellence	There has been an assessment, and a written plan has been fully implemented.
5—excellent	4, plus the agency’s Telecommunications plan is reviewed and updated as needed on at least an annual basis.
Score: _____ (Description of current status)	

D. Information Technology Scoring

Self-Assessment Interview and Scoring Summary

Reviewer(s) _____

Interview Date: _____ Time: _____

Documents: IT Plan, IT Hardware/Software Inventories, IT Training Needs Inventory, IT Security Plan, Common Intake Forms, Evidence of Integrated Data Base/User Reports, Minutes of IT Committee Meetings, IT Support Policies/Procedures, Telecommunications Plan/Inventory.

Document Observations:

Persons to be interviewed: IT Director/Manager/Coordinator, Program Manager/Director, Finance Dept. Staff, Office Manager/Admin. Assistant.

Persons Interviewed (Name, Title)

Questions/Comments

#1. IT Management and Administration

How are responsibilities for the management of the agency's IT function currently assigned? Is there a staff member responsible for the overall management of the agency's IT function or, are responsibilities essentially assumed by individual programs or departments?

Comments:

If there is a central person responsible for the management of the agency's IT function what: a. Is the person's Job Title and, 2. level of IT technical and administrative training and experience does this person possess? Is this person considered a senior Manager within the agency? Is the person a member of the agency's Management Team?

Comments:

Has the agency outsourced any IT functions? If so, what functions have been outsourced and how does the agency supervise and evaluate the vendor(s) performance?

Comments:

Does the agency have written IT policies and procedures? When were these last reviewed and updated?

Comments:

Does the agency have a written IT Plan? When was this plan last updated? Is this Plan aligned with the agency's current Strategic Plan?

Comments:

Has a cross-functional agency team been formed to work with the IT Manager to promote agency-wide communication, problem-solving and policy development?

Comments:

How has funding to support agency IT operations changed over the past 3 years? What resources will be needed in the next 2-3 years to achieve agency strategic IT goals?

Comments:

Other Observations:

Scoring Rationale:

Agency Score: _____ **Reviewer Score** _____ **Team Score** _____

#2. IT Training

What, if any IT orientation or training is offered to appropriate agency new or existing staff to help promote both their competence and productivity and assure the protection and security of agency information and network operations?

Comments:

Is this orientation and/or training formal and structured or is it provided on a more ad hoc, informal basis?

Comments:

If an IT Orientation is provided new appropriate staff, is the Orientation mandatory or voluntary? Who provides the Orientation, what topics are covered and how quickly is the Orientation offered to new employees?

Comments:

How, if at all, does the agency assess the IT trainings needs of its employees? How often are needs assessed? What trainings have been offered in the past 24 months in response to this need assessment?

Comments:

Has the agency developed a written IT Training Plan? If so, when was it last updated? How much training identified in the plan has actually been provided? How are trainings evaluated?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

3. IT Hardware Asset Management and Planning

Does the agency maintain an inventory of its owned or leased IT hardware for each of its site locations?

Comments:

What information is included in the agency's hardware inventory?

Comments:

When was the inventory last updated? Is there a regular schedule for updating the inventory? What is the schedule?

Comments:

How, if at all, is the inventory used in the agency's annual budgeting process?

Comments

Is the inventory being used to build and annually update a 3-year IT budget plan?

Comments

Has agency IT staff participated in meetings or workshops related to IT hardware trends, maintenance, upgrades, troubleshooting, etc?

Comments

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

4. IT Software Asset Management and Planning

Does the agency maintain an inventory of current software licenses of its operating systems and application programs for each of its site locations?

Comments:

What information is included in the Inventory?

Comments:

When was the inventory last updated? Is there a regular schedule for updating the inventory? What is the schedule?

Comments:

Has agency IT personnel maintained or upgraded systems and applications with appropriate patches, revisions and on-line updates?

Comments:

How, if at all is the inventory used in the agency's annual budgeting process?

Comments:

Is the inventory being used to build and annually update a 3 year IT budget plan?

Comments:

Has agency IT staff participated in meetings or workshops related to IT software systems of application program trends, updates, security upgrades, etc.

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

5. IT Security

Has the agency developed a written IT security plan which at the least addresses topics of off-site backup data storage, redundant server storage/data recovery and intrusion protection?

Comments:

How often is this plan reviewed and updated?

Comments:

If the agency does not have a Security Plan, have written security policies and procedures been developed covering topics of data backup, storage, recovery and intrusion protection? How are these policies and procedures communicated to appropriate new or current staff? Is the topic of IT security addresses during “New Employee Orientation?” Who provides this information to new staff?

Comments:

In terms of hours, how much time normally does it take for IT staff to be informed of the employment or separation of an agency employee?

Comments:

How does IT or other assigned staff monitor and audit the security of the agency’s network? How often does security monitoring and auditing occur over the course of a year? What actions are taken in response to IT monitoring and audits?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

6. Agency Web Site Technical Support

Does the agency have a web site? If not is a site currently under construction?

Comments:

From a resource (e.g., budget, staff time) perspective, what level of priority does the agency assign to Web site maintenance and support functions?

Comments:

Are there written policies and procedures governing the management of the agency's web site? When was the last time these policies and procedures were reviewed and updated?

Comments:

Who is responsible for the technical support (design, maintenance, upgrade, security) of the agency's web site? Has this person had training or experience as a webmaster? If this responsibility is outsourced, who is responsible for overseeing contract performance?

Comments:

Has a team been formed to help coordinate the planning, management, support and assessment of the web site? Who is represented on the team? Who leads the team?

Comments:

Who is responsible for monitoring and evaluating site technical support needs and issues? How frequently is this assessment undertaken? How has this information been used to improve site accessibility and functionality?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

7. Electronic Client Data Management and Integration

Does the agency currently electronically collect, store, and process client data for all its major programs? If not, which programs are currently not supported by the agency's electronic client data management system? Is there a plan to support these programs in the future?

Comments:

Can the agency currently generate an electronic integrated report describing the demographic characteristics of the clients served by the majority of its major programs? If yes, who receives these reports and how are they being used? If not, are efforts underway to begin developing the capacity to produce integrated electronic client data reports? Please describe the status of these efforts.

Comments:

Is the agency currently providing centralized intake for its clients? If yes, is agency-wide client intake data uniformly electronically collected and reported? Are there plans to develop centralized intake with electronic support?

Comments:

Beyond demographic information, is the agency producing integrated electronic reports of client data beyond demographic information (e.g., program output or outcome data)? Are there plans to develop this capacity?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

8. IT Support

Does the agency have written policies and procedures to respond to agency-wide network and individual user needs and problems?

Comments:

Does the agency currently use any customized software applications to support operations? If yes, has the agency developed written support plans with appropriate documentation to assure the ability to provide ongoing support for these applications?

Comments:

Is more than one staff member trained to support these applications?

Comments:

Please describe how the agency has organized and structured its IT support system. How does this system support off-site service locations?

Comments:

Does the agency's IT staff review network and user support data to identify systemic issues and problems? How has staff used this data to make improvements?

Comments:

Has the agency organized a structured "Helpdesk" resource to receive, document, and triage responses to user service requests?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

9. Telecommunications

To what degree, if at all, is the agency's IT function and staff involved in the assessment, planning and management of the agency's telecommunications systems? If, involved, what is the extent of that involvement and what areas of telecommunications are of interest (e.g., connectivity, maintenance, security etc)?

Comments:

Has the agency conducted an assessment of its telecommunications needs and the of its current telecommunications infrastructure to address these needs? When was this assessment completed? What were its principal conclusions?

Comments:

Does the agency have a current written telecommunications plan which identifies goals and timetables? What is the status of the implementation of this plan? How frequently is progress on plan implementation assessed? Who is responsible for undertaking this assessment?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

TEAM SCORES: D. INFORMATION TECHNOLOGY

Individual Items	Score
1. IT Management and Administration	
2. IT Training	
3. IT Hardware Asset Management and Planning	
4. IT Software Asset Management and Planning	
5. IT Security	
6. Agency Web Site Technical Support	
7. Electronic Client Data Management and Integration	
8. IT Support	
9. Telecommunications	
<i>Total Score</i>	
<i>Average (Total divided by 9)</i>	
<i>Range (the highest – the lowest) Example: 2 - 5</i>	

E. Human Resources

1. Employee Compensation

1—at risk	No formal wage and salary structure exists.
2—approaching achievement of standard	A formal wage and salary structure exists, but it is not been reviewed and updated in the past 3 years.
3—fully meets standard	The agency has a formal wage and salary structure that has been reviewed and updated in the past two years.
4—exceeds standard; approaching excellence	3, plus the agency’s wage and salary structure includes some performance-based incentive provisions and was developed using geographically adjusted industry wage and salary benchmarking data where available.
5—excellent	4, plus a comprehensive, performance-based compensation system is in effect and is reviewed and updated as needed on an annual basis.
Score: _____ (Description of current status)	

2. Employee Benefits

1—at risk	Only mandated benefits are provided.
2—approaching achievement of standard	A basic benefit package including health insurance, vacation and sick leave is provided to employees.
3—fully meets standard	A package of benefits is offered an employee that is reasonably competitive with the local market based on the agency’s experience with recruitment and retention.
4—exceeds standard; approaching excellence	3, plus the agency’s benefits package includes some innovative elements beyond, such as flextime, on-site daycare, employee wellness programs, EAP, Retirement Savings Plans with an employer match, etc.
5—excellent	4, plus multiple innovative elements including the opportunity for employee choice and feedback are included in the agency’s benefit package and planning.
Score: _____ (Description of current status)	

3. Hiring Policies and Practices

1—at risk	No standard hiring and policies or practices are in place. ¹⁵
2—approaching achievement of standard	Some standard hiring policies and practices are in place, but they are not fully documented nor understood and applied by managers.
3—fully meets standard	There is a documented set of standard hiring policies and practices which meet legal and ethical standards and are understood and used by agency managers.
4—exceeds standard; approaching excellence	3, plus some innovative hiring policies and practices have been developed and managers are routinely trained to assure understanding and compliance with agency policies.
5—excellent	4 plus, policies and practices are routinely reviewed and updated based on both feedback by applicants and managers, performance experience and passage of new legal or regulatory demands.
Score: _____ (Description of current status)	

4. Employee Recognition

1—at risk	The agency has no employee recognition program in place.
2—approaching achievement of standard	The agency uses an inconsistent, piecemeal approach to employee recognition.
3—fully meets standard	A formal employee recognition program ¹⁶ is in place.
4—exceeds standard; approaching excellence	3, plus a cross-section of employees are actively involved in planning and implementation of the agency's recognition program and some innovative elements distinguish the program.
5—excellent	4, plus agency management takes leadership in creating a culture of staff recognition and acknowledgement through example, training and planning which serves as a foundation for its employee recognition program.
Score: _____ (Description of current status)	

¹⁵ Standard hiring and selection practices include complying with union contracts, posting vacancies internally first, documenting and communicating duties and qualifications, screening and interviewing procedures and orienting new employees.

¹⁶ A formal employee recognition program includes a description of the awards, as well as the process and procedures for nomination and selection of awardees. Such a program can include awards for individuals and teams, which can be monetary or non-monetary, formal or informal.

5. Communication and Information Sharing

1—at risk	A systematic communication process is lacking.
2—approaching achievement of standard	Top-down communication is used, little information is shared, and little or no input is solicited from staff.
3—fully meets standard	A formal, mostly top-down communication program, e.g., newsletters or periodic e-mails, is in place.
4—exceeds standard; approaching excellence	A formal communication program that is informed by principles of knowledge management ¹⁷ is in place.
5—excellent	A fully developed knowledge management approach is used.
Score: _____ (Description of current status)	

6. Team Building

1—at risk	Teams are not used.
2—approaching achievement of standard	There are isolated efforts at using teams.
3—fully meets standard	Cross-functional teams ¹⁸ are used to perform some management functions or manage and deliver some projects and programs.
4—exceeds standard; approaching excellence	3, plus there is a formal system for training managers and supervisors in team building and management principles.
5—excellent	Cross-functional teams are an integral part of the organizational culture.
Score: _____ (Description of current status)	

¹⁷ Knowledge management systematically deals with all aspects of knowledge in the organization. This includes knowledge creation, codification, and sharing, and how these activities promote learning and innovation. It encompasses a set of management processes and initiatives geared towards ensuring that the organization has the knowledge it needs and that it makes the most of the knowledge resources it has.

¹⁸ Cross-functional teams are work groups composed of workforce members from several different work units in the organization who possess different skills and perform various job functions. The groups can help solve complex problems, provide customer focus, encourage creativity, promote organizational learning and serve as a single point of contact. Cross-functional teams can also provide organization-wide accountability and participation and tap the varied expertise and experience available.

7. Organizational Decision Making

1—at risk	A systematic decision making framework is lacking.
2—approaching achievement of standard	A strictly top-down decision making approach is used.
3—fully meets standard	Decisions are generally made at the appropriate level of responsibility.
4—exceeds standard; approaching excellence	3, and occasionally participatory decision making ¹⁹ is used.
5—excellent	A fully participatory decision making approach is employed.
Score: _____ (Description of current status)	

8. Employee Satisfaction

1—at risk	The importance of receiving feedback on employee satisfaction is not acknowledged.
2—approaching achievement of standard	Employee satisfaction is measured occasionally, e.g., through a survey.
3—fully meets standard	The organization uses systematic but limited internal employee satisfaction measurement.
4—exceeds standard; approaching excellence	Innovative elements ²⁰ and a systematic approach to employee satisfaction are used.
5—excellent	Many innovative elements and a systematic approach to employee satisfaction are used; in addition, the organization sets challenging standards that are compared against actual performance and are openly reported.
Score: _____ (Description of current status)	

¹⁹ Participatory decision making is defined as moving decision making power as close to the location of service delivery as possible. It is based on the beliefs that those closest to the customers will make the best decisions, that front-line employees should have more say about policies and programs affecting the delivery of services, that those responsible for carrying out decisions should have a voice in determining those decisions, and that change is most likely to be effective and lasting when those who implement it feel a sense of ownership and responsibility for the process.

²⁰ Innovative elements of an internal customer satisfaction program might include the use of a multi-dimensional customer satisfaction survey instrument, periodic group interviews, focus groups to supplement routine surveying, user-friendly customer satisfaction reports regularly distributed to staff, and a team charged with fostering internal customer satisfaction.

9. Diversity

1—at risk	Diversity concerns are not acknowledged.
2—approaching achievement of standard	Diversity concerns are reflected only in hiring practices.
3—fully meets standard	A consistent concern for diversity is reflected in both hiring and everyday practices; limited, sporadic diversity training is available.
4—exceeds standard; approaching excellence	The organization has a comprehensive diversity plan ²¹ and program with regular, periodic training.
5—excellent	Diversity awareness is integrated into all aspects of organizational life.
Score: _____ (Description of current status)	

10. Human Resource Policies and Procedures²²

1—at risk	There are no written HR policies and procedures.
2—approaching achievement of standard	There are written HR policies and procedures, but they incomplete, fragmented and have not been reviewed in the past three years. The agency has no consistent procedure for disseminating policies to its employees or the procedure is not routinely followed.
3—fully meets standard	Formal written HR policies and procedures are documented, have been reviewed and updated in the past 3 years and are routinely disseminated and made available to all employees.
4—exceeds standard; approaching excellence	3 plus, HR policies and procedures are reviewed and updated at least every 2 years and trainings are provided to managers and supervisors to assure understanding and compliance.
5—excellent	4 plus, HR policies and procedures are reviewed and updated annually.
Score: _____ (Description of current status)	

²¹ A diversity plan forms part of the strategic plan and usually incorporates an assessment of the status quo; a statement of goals, objectives, and expected outcomes; actions taken and to be taken; and measures that track success towards achieving the stated goals.

²² Human resource policies and procedures should cover issues such as hiring and firing, orientation, grievances, attendance, benefits and compensation, discipline, substance abuse, and workplace violence.

11. Human Resources Management

1—at risk	Responsibility for the management of the HR function is diffuse, fragmented and confusing.
2—approaching achievement of standard	There is a person responsible for HR management but the person has little authority, training and support. Day-to-day activities focus on documentation and compliance vs. planning, policy management and problem-solving.
3—fully meets standard	The HR function is formalized and centralized within the agency and a person with authority, training and support is designated to oversee and manage the agency’s HR function.
4—exceeds standard; approaching excellence	3, plus there is some visible representation of the HR function in the agency’s strategic and fiscal planning processes.
5—excellent	4, plus the HR function is represented in all major agency planning and development processes.
Score: _____ (Description of current status)	

12. Workplace Safety

1—at risk	There are no workplace health and safety policies and procedures ²³ in place or there is only sporadic documentation which fails to comply with applicable federal, state and local standards and requirements (e.g., OSHA).
2—approaching achievement of standard	There is sporadic documentation to comply with local, state and federal workplace safety requirements but a Plan is in place to bring agency policies and practices into immediate compliance. Written policies and procedures are in place but have not been reviewed or updated in 3 years.
3—fully meets standard	Written health and safety policies are in place and comply with local, state and federal requirements. Reports have been submitted on a timely basis. Policies have been reviewed and updated in the last 3 years and have been posted and distributed to agency personnel.
4—exceeds standard; approaching excellence	3, plus workplace safety training has and is being provided to both high-risk and other staff. A risk management program exists that monitors accidents, claims, etc. and develops action plans to reduce risks and liability claims.
5—excellent	4, plus a comprehensive employee wellness program ²⁴ is in place.
Score: _____ (Description of current status)	

²³ Health and safety policies and procedures should address relevant OSHA requirements, emergency procedures (fires, bombs, evacuation), training guidelines, exposure control plans, and the identification of high-risk employees

²⁴ A comprehensive employee wellness program might include counseling and career development services, recreational or cultural activities, non-work-related education, day care, job rotation or sharing, and flexible work hours.

13. Job Descriptions

1—at risk	There are no job descriptions or job descriptions are missing for some positions.
2—approaching achievement of standard	Job descriptions exist for all positions but are only available upon request.
3—fully meets standard	Complete job descriptions that clearly articulate the roles and responsibilities of employees are routinely provided to staff and candidates interviewed for employment. Descriptions are linked to the agency’s wage and salary scale.
4—exceeds standard; approaching excellence	3, plus key responsibilities are described that can be linked to performance evaluations and policies and procedures exist to manage the creation/description and coding on new positions within the agency.
5—excellent	3, plus key responsibilities are described that <i>are</i> linked to performance evaluations and procedures exist to periodically review and update job descriptions
Score: _____ (Description of current status)	

14. Staff Development and Training

1—at risk	No staff development training or employee orientation is offered to employees.
2—approaching achievement of standard	Staff training and orientation ²⁵ is offered but limited to mandatory compliance requirements.
3—fully meets standard	The organization provides new employee Orientation and opportunities for staff development beyond mandatory requirements on an on-going basis.
4—exceeds standard; approaching excellence	The agency has a written staff development and training plan ²⁶ which has been circulated to staff and offers both mandatory and discretionary educational opportunities to increase their knowledge and skills. Decisions on trainings are guided by the results of individual performance evaluations.
5—excellent	A formal staff development plan is in place that is linked to performance evaluations, strategic planning goals and approaches to individual compensation. Whenever appropriate, agency seeks professional certification for trainings to help staff meet professional licensure/certification requirements.
Score: _____ (Description of current status)	

²⁵ Orientation for new employees should include the distribution of an employee handbook, a discussion of the organization (organization chart, mission, vision, and values), disciplinary procedures, basic expectations (workplace and management philosophies), and an introduction to programs, departments, and relevant data systems.

²⁶ A training plan should be aligned with the agency's strategic plan. It should incorporate needs assessment, training vision, goals and objectives, procedures for identifying trainees, method of training, and method of evaluating the results of the training

15. Performance Appraisal

1—at risk	There are no performance appraisals conducted or appraisals are only occasionally conducted without the use of a standard procedure or form.
2—approaching achievement of standard	Annual performance appraisals are conducted but without the use of a standard procedure or form or Appraisals use common procedures and forms but are not performed annually.
3—fully meets standard	Annual performance appraisals are conducted using a standard procedure and form.
4—exceeds standard; approaching excellence	3, plus managers and staff have been trained on performance management and the process includes use of objective, measurable performance goals and criteria.
5—excellent	4, plus a two-way, participatory evaluation process ²⁷ is used and documented (e.g., employee comments, sign off).
Score: _____ (Description of current status)	

²⁷ A two-way participatory appraisal process emphasizes communication and feedback. It consists of goal and objective setting (to clarify job expectations and performance standards), timely and effective feedback (to enhance two-way communication regarding all aspects of job performance), development (to plan, discuss, and implement professional development), and recognition (to reward performance and motivate the employee).

E. Human Resources Scoring

Self-Assessment Interview and Scoring Summary

Peer Reviewers _____

Interview Date: _____ Time: _____

Documents: Salary/compensation plan; Performance based compensation program; Benefit plan; Hiring policies and procedures; Employee recognition program; Employee communication examples (newsletters, emails, intranet); Documentation of commitment to team building (training agendas, curricula); Employee satisfaction survey; Diversity plan; Staffing Chart; HR policies and procedures; Health and safety policies/procedures; Job descriptions; Performance appraisal forms/procedures; Documentation of new employee Orientation; Training plan; Performance appraisal training documentation.

Document Observations:

Persons to be Interviewed: HR Director/Manager, Personnel Committee Board Member, Program Director/Manager, Line Staff Member.

Persons Interviewed (Name, Title)

Questions/Comments

#1. Employee Compensation

Could you describe the agency's current system for structuring wages and salaries?
Is this a formal structure which has been reviewed and approved by senior management and the board?

Comments:

How frequently is this wage and salary structure reviewed and updated? Who is responsible for conducting this review? When was the latest review and update completed?

Comments:

Does this system incorporate performance-based compensation features?

Comments:

How does the agency assess the competitiveness of its wage and salary system against other comparable employers in the local, regional or State labor markets?

Comments:

Other Observations:

Scoring Rationale:

Agency Score:_____ **Reviewer Score**_____ **Team Score**_____

#2. Employee Benefits

Could you summarize the agency's employee benefits package? Have there been any significant changes in this package of benefits during the past two years? Please describe.

Comments:

How frequently is the agency's benefit package reviewed and updated? Are staff opinions solicited in identifying benefit needs, choices and satisfaction with current offerings?

Comments:

How does the agency assess the competitiveness of its benefit package within the local, regional or State labor markets?

Comments:

What would you describe as the most innovative elements of the agency's employee benefit program?

Comments:

As a percent of the agency's total expenses, are benefit costs rising, stable or decreasing (e.g., over the past 3 years).

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

3. Hiring Policies and Procedures

Does the agency have written policies and procedures which govern the process of employment recruitment, selection and hiring within the agency?

Comments:

How recently have these policies and procedures been reviewed and updated? Did the review include a legal analysis to assure compliance with State and Federal laws and regulations? How frequently are these policies and procedures routinely reviewed?

Comments:

How is staff involved in the hiring process informed of the agency's Hiring Policies and Procedures? What training or other support have they received to assure understanding and compliance with these policies?

Comments:

Who is authorized to extend official offers of employment to job candidates?

Comments:

What registry checks are performed (e.g., criminal records, child abuse, motor vehicle, HHS fraud, etc) by the agency on prospective employees? When are these checks performed?

Comments:

Has the agency developed any innovative approaches to staff recruitment and hiring? Please describe.

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

4. Employee Recognition

Please describe the agency's efforts to recognize and acknowledge staff accomplishments and contributions. Is this effort a formally structured agency-wide program or is it a more informal initiative organized at a program or unit level?

Comments:

To what degree is the recognition program structured to promote agency goals related to performance, innovation, staff retention, team building, etc? How would the agency assess the success of the program?

Comments:

Who nominates candidates for recognition? Who selects award recipients?

Comments:

How is recognition communicated to internal (staff, board) and external (e.g., community partners, etc) audiences?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

5. Communication and Information Sharing

Could you describe the system for communicating and sharing information with staff throughout the agency?

Comments:

What provisions are made within the system for line and mid level staff to respond to management communications or share ideas, suggestions or concerns with management staff?

Comments:

To what degree does the agency' system of communication reflect and support the principles of knowledge-management?

Comments:

Does the agency provide a confidential method for staff to communicate concerns regarding illegal or unethical behavior which they have observed?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

6. Team Building

Can you describe how teams are used within the agency to carry out management functions and/or manage or provide services to consumers?

Comments:

Is the formation and use of teams to perform management and service assignments a routine practice within the agency which is promoted by senior management or, is it more casual practice which requires the initiative of an individual to be realized?

Comments:

Has the agency offered training for senior managers and other staff on topics related to team building, etc.? When was this training last offered? Who attended? What impact did the training have on the use of teams within the agency?

Comments:

Has the agency organized and used cross-functional teams (work group composed of representatives from different work units with different skills/knowledge and job functions) to perform short or longer term assignments?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

7. Organizational Decision-Making

What philosophy or approach governs how the agency makes decisions on topics ranging from budgets to program intake? Are decisions generally made by senior managers or is authority delegated to other staff to make decisions appropriate to their positions and scope of responsibilities?

Comments:

In most instances, is staff who will be involved in carrying out decisions offered opportunities to share their ideas and opinions and, as appropriate, participate in making these decisions?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____	Reviewer Score _____	Team Score _____
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8. Employee Satisfaction

How does the agency evaluate the degree to which employees are satisfied with agency policies, practices and their work environment? How frequently is this assessment undertaken?

Comments:

Based on exit interviews with staff, what, if any effect are issues associated with employee morale and satisfaction having on the agency's staff turnover experience?

Comments:

How is the information collected from employees used to address perceived needs, suggestions and concerns? Are action goals established? Is progress monitored and openly reported?

Comments:

Has the agency incorporated any innovative elements into its efforts to assess employee satisfaction and address needs and suggestions?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

9. Diversity

How is the principle of diversity reflected in the policies and practices of the agency?

Comments:

Is there a written plan which identifies agency diversity goals, strategies and timetables? What areas of agency operation are covered by this plan? How frequently is the plan reviewed and updated? How would you assess the agency's performance in implementing this plan?

Comments:

What, if any, diversity training has the agency provided during the past 2 years?

Comments:

Are questions related to agency accessibility, respect and responsiveness to persons of different cultures, color, beliefs, etc. included in the agency's customer satisfaction research? What have been the results of customer feedback on these questions?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

10. Human Resources Policies and Procedures

Does the agency have a written HR Policies and Procedures which cover essential core subjects and address legal requirements? When was the last time the agency reviewed its HR Policies and Procedures? How frequently are these reviews normally conducted? Who was involved in the review and the approval of any changes to these Policies and Procedures?

Comments:

How are the agency's HR Policies and Procedures disseminated to agency staff? Does the agency take any steps to confirm staff receipt of this information?

Comments:

What trainings have been provided to agency managers, supervisors and line staff to assure understanding of the agency's HR Policies and Procedures and consistent application and implementation?

Comments:

Has the agency used legal counsel to assist in the review and update of its HR policies and procedures?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

11. Human Resources Management

Who is responsible for the overall management of the HR function within the agency?
Are any essential HR management responsibilities assigned to other staff within the agency? If so, what responsibilities are assigned to whom?

Comments:

Who is responsible for the administration of the agency's payroll function? If not HR, how is the management of agency's payroll and HR functions coordinated to assure that the risks of payroll errors are eliminated? Is there an integrated database to track accurate employee timesheet, leave, hire and termination data?

Comments:

What is the scope of authority delegated to the manager(s) of the agency's HR function? Is the manager primarily responsible for documentation and compliance management matters or, does the person also perform planning, budgeting, and problem-solving assignments?

Comments:

How is the agency's HR function represented in the agency's: Budget, Strategic, Policy IT and Development planning processes?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____	Reviewer Score _____	Team Score _____
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12. Workplace Safety

Does the agency have written Policies and Procedures which comply with applicable, federal (e.g., OSHA), State and local workplace laws, standards and regulations? How frequently are these Policies and Procedures reviewed and updated? What was the date of the last review of these Policies and Procedures?

Comments:

What is the agency's track record for submitting accurate and timely compliance reports to applicable local, state and federal authorities? Has the agency been cited for any reporting and/or Health and Safety violations in the past 3 years? Have these issues been fully addressed?

Comments:

How frequently, and in what manner are the agency's Health and Safety Policies disseminated/communicated to staff and volunteers? Is any training provided to staff and volunteers on these Policies and Procedures?

Comments:

Has the agency established a Safety Risk Management Program which monitors insurance liability, worker's compensation claims, etc. to assess risks and develop action plans to reduce or prevent accidents and injuries? How does this program work? Who is involved in implementing the program?

Comments:

Does the agency sponsor an Employee Wellness Program?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

13. Job Descriptions

Does the agency have a complete and updated job description for every authorized employment position in the agency? If not, what positions are missing job descriptions or have descriptions that are outdated?

Comments:

What information is uniformly included in an agency job description?

Comments:

How, if at all, are the agency's job descriptions linked to the agency's wage and salary scale and performance management system?

Comments:

Are job descriptions routinely disseminated to agency staff as well as candidates who are being interviewed to fill open employment positions within the agency? When and how are job descriptions disseminated?

Comments:

How frequently are the agency's job descriptions reviewed and updated? Are there policies and procedures which govern the creation and revision of agency job descriptions?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

14. Staff Development and Training

Please describe how the agency provides orientation for new employees? How soon is this orientation offered following the employee's first day of employment? Who is responsible for providing new employee orientation?

Comments:

Does the agency have a written, updated Staff Training and Development Plan? If not, how, if at all, does the agency offer training to its staff? How many trainings proposed have been actually provided during the past 12 months?

Comments:

Is the scope of the agency's Staff Development and Training Program limited to those areas and topics mandated by law, regulation or a funding source (e.g., sexual harassment, health and safety, etc) or does it include discretionary offerings aimed at building knowledge and skills?

Comments:

How are staff training and development needs and priorities identified?

Comments:

To what degree is the agency's Staff Training and Development Program linked to the agency's performance management/compensation systems and Strategic Plan?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

15. Performance Appraisal

Does the agency have written, standardized policies, procedures and forms for conducting performance appraisals for all staff?

Comments:

How frequently is staff performance appraisals conducted?

Comments:

Are objective, measurable performance goals and criteria included in the agency's performance appraisal process?

Comments:

Have agency managers and other key staff been trained on principles of effective performance management as well as the application and use of agency policies, procedures and documentation?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

TEAM SCORES: E. HUMAN RESOURCES

Individual Items	Score
1. Employee Compensation	
2. Employee Benefits	
3. Hiring Policies and Procedures	
4. Employee Recognition	
5. Communication and Information Sharing	
6. Team Building	
7. Organizational Decision Making	
8. Employee Satisfaction	
9. Diversity	
10. Human Resources Policies and Procedures	
11. Human Resources Management	
12. Workplace Safety	
13. Job Descriptions	
14. Staff Development and Training	
15. Performance Appraisal	
<i>Total Score</i>	
<i>Average Score (Total divided by 15)</i>	
<i>Range (Highest to Lowest) Example 5 - 2</i>	

F. FINANCE AND BUDGET

1. *Financial Controls*²⁸

1—at risk	A written Finance Manual detailing agency fiscal control policies and procedures does not exist or, a Manual exists but appears incomplete. Agency fiscal controls are documented but strong evidence exists (e.g., Audit citations) that current controls are inadequate or are not routinely being applied.
2—approaching achievement of standard	A written Finance Manual which details fiscal control policies and procedures exists but there has not been a review/update of the policies in 3+ years.
3—fully meets standard	A written Finance Manual detailing a complete and updated (within the last 2 years) set of fiscal control policies and procedures exist. Audit reports confirm the integrity of the agency’s control policies and procedures. Control policies appear to be understood and uniformly applied..
4—exceeds standard; approaching excellence	3, plus control policies and procedures are regularly internally tested by more than one person and findings are reviewed by senior management.
5—excellent	4 plus, innovative financial controls exist and policies and procedures are integrated into every function and level of the organization.
Score: _____ (Description of current status)	

2. *Involvement in Financial and Budget Report Development*²⁹

1—at risk	Only finance department personnel provide input in preparing reports.
2—approaching achievement of standard	Finance department and either development, planning or program managers may formally or informally participate in preparing reports.
3—fully meets standard	Finance department plus development, planning and program managers or staff participate in a structured process designed to produce complete and reliable financial reports.
4—exceeds standard; approaching excellence	3, plus some strides are being made toward an integrated approach (e.g., seeking IT or HR manager involvement) to report design and development. Board feedback is occasionally solicited in Report development.
5—excellent	3, plus all agency managers with major functional responsibilities are involved in an integrated approach to design and development of financial and budget reports. Board feedback is consistently solicited and considered in report design and development.
Score: _____ (Description of current status)	

²⁸ Financial controls are procedures for ensuring the proper accounting for and management of financial transactions. Routine financial controls include procedures for payments, cash receipts, requisitions, procurement, and separation of duties.

²⁹ Financial reports include balance sheets, income statements, and cash flow reports. Budget reports include information at the unit, program, or organizational level regarding projected and actual revenues and expenditures for the report period.

3. Distribution and Use of Financial and Budget Reports

1—at risk	There is little or no distribution or use of financial or budget reports.
2—approaching achievement of standard	There is some routine, timely distribution of reports, but either not all reports are provided to all who need them or not all reports are routinely distributed. Attention to reports appears to occur only when a problem or crisis emerges.
3—fully meets standard	There is routine and timely distribution of all reports in a program format to all who need them and this information is used to track plan vs. actual monthly budget expenditures and quarterly cash flow and fund balances. Evidence exists that reports are routinely reviewed by users.
4—exceeds standard; approaching excellence	3, plus some customized report functions for recipients, such as drill-down capability for additional details or alternate data displays are provided and information is occasionally used to revise policies, plans, budgets and programs.
5—excellent	4, plus information is routinely used to determine the need to revise plans, budgets, policies or programs to protect the fiscal well-being of the agency.
Score: _____ (Description of current status)	

4. Involvement in the Budget Development Process³⁰

1—at risk	Only finance department provides input in preparing budgets.
2—approaching achievement of standard	Finance department and either planning or program managers are involved.
3—fully meets standard	Finance department plus planning and program managers and board members are involved.
4—exceeds standard; approaching excellence	3, plus some strides toward an integrated approach, e.g., with IT or HR managers. Board Budget or Finance Committee, etc. is involved.
5—excellent	4, plus all staff with major functional management and supervisory responsibilities participate in an integrated approach to budget development.
Score: _____ (Description of current status)	

³⁰ The budget development process refers to the process of building the budget, i.e., estimating projected revenues and determining how funds will be allocated to different programs and activities.

5. Building and Equipment Capital Asset Management

1—at risk	The agency has no inventory of its facilities and equipment and no budget plans for improvements, upgrades, repair, maintenance or replacement of capital items.
2—approaching achievement of standard	The agency has an inventory of its facilities and equipment but it is not routinely updated (2yrs old +) and priorities for expenditures are driven by crisis rather than a plan.
3—fully meets standard	The agency maintains and updated inventory of its facilities and equipment and a schedule for depreciation, improvement, repair, maintenance and/or replacement. Capital budgets based on priority needs are developed and regularly submitted to the Board for approval.
4—exceeds standard; approaching excellence	3 plus, the agency has a written multi-year plan for capital expenditures and funding which is aligned with the agency’s strategic plan.
5—excellent	4 plus, the agency consistently seeks to develop strategic community alliances which promote cost savings and the most efficient use of existing or new facilities and equipment.
Score: _____ (Description of current status)	

6. Accounting Records Management

1—at risk	The agency fails to comply with maintaining up-to-date accounting records, balanced monthly in two or more of the following areas: a. reconciliation of the bank statement to the general ledger, b. reconciliation of subsidiary records to the general ledger, c. up-to-date posting of cash receipts and disbursements, d. monthly updating of the general ledger, e. review of bank reconciliations by at least two personnel, one of whom is not involved in maintaining accounting records.
2—approaching achievement of standard	The agency fails to comply with accounting records standards in one of the five areas.
3—fully meets standard	The agency generally complies with all 5 standards but compliance could be strengthened to avoid minor delays in postings in one or two areas.
4—exceeds standard; approaching excellence	The agency fully complies with the standards in all 5 areas for at least a 12 month period.
5—excellent	4 plus, the agency has fully complied with standards in all 5 areas for at least 2 years.
Score: _____ (Description of current status)	

7. Program Cost Analysis and Monitoring

1—at risk	The agency has not performed an analysis of the (direct and indirect) costs of the programs it provides and may be running unplanned operating deficits in two or more its major programs.
2—approaching achievement of standard	The agency has performed an analysis of the costs of its programs but the analysis has not been updated in the past year and the agency may be running an unplanned operating deficit in a major program.
3—fully meets standard	The agency maintains an updated analysis of the costs of its programs and is not running any unplanned program operating deficits.
4—exceeds standard; approaching excellence	3, plus the agency routinely uses cost information as a basis for pricing services, negotiating contracts and strategic planning.
5—excellent	4, plus the agency seeks to analyze its costs against local, regional and national practice and benchmarking standards.
Score: _____ (Description of current status)	

8. Timeliness of Reporting to Funders in Last 12 Months

1—at risk	10% or more of reports are late, and there are written questions from funders on 5% or more.
2—approaching achievement of standard	Between 5% and 9% of reports are late, and there are written questions from funders on 2-4%.
3—fully meets standard	Between 1% and 4% of reports are late, and there are written questions from funders on 1%.
4—exceeds standard; approaching excellence	Less than 1% of reports are late, and there are no questions.
5—excellent	Reports have not been late for the last year, there are no questions from funders, and the reports are used as a tool for program development.
Score: _____ (Description of current status)	

9. Audit

1—at risk	Agency audit was not completed within 180 days after the fiscal year. The audit contains major findings (i.e. Reportable Condition or Material Weakness) related to deficiencies in accounting policies/ practices. The audit was not reviewed by a designated Committee or reported to members of the governing Board. No action has been taken to address Audit findings and concerns.
2—approaching achievement of standard	Agency audit was completed on time but major Findings were identified. Audit was reviewed by a designated Committee but response to Findings was either delayed or incomplete. Audit findings were reported to the Board and copies made available for distribution on request.
3—fully meets standard	Agency’s audit was completed on time with a clean opinion. No major deficiencies cited. Audit reviewed by designated Committee, reported and distributed to the Board, funders, etc. Timely action taken has been taken to address any recommendations related to the audit or the Committee’s review.
4—exceeds standard; approaching excellence	3, plus a specialized Audit Committee composed of individuals with accounting expertise has been created and designated by the Board to review the agency audit, meet with the auditors separate from management, report audit findings to the board.
5—excellent	4, plus the Audit Committee is charged with responsibility to assure that, if possible, auditors rotate in-firm assignments (Senior, Partners, etc.) at least every 3-4 years and recommend changes in auditing firms as appropriate to assure objectivity and independence.
Score: _____ (Description of current status)	

10. Financial Planning³¹

1—at risk	Little or no financial planning is undertaken.
2—approaching achievement of standard	Sporadic financial planning efforts are in place.
3—fully meets standard	Formal, financial planning efforts are in place and are used as an input into the annual budget process.
4—exceeds standard; approaching excellence	There are some efforts to adopt new or innovate financial planning efforts.
5—excellent	An innovative financial planning approach is linked to strategic and operational planning.
Score: _____ (Description of current status)	

³¹ Financial planning addresses, for instance, cash flow projections, debt management, and the management of transitions from one budget year to the next.

11. Training in Financial Matters³²

1—at risk	No training or technical assistance in financial matters is provided.
2—approaching achievement of standard	Fragmented training is provided.
3—fully meets standard	Standard but limited training for fiscal staff and program managers of a formal or informal type is in place.
4—exceeds standard; approaching excellence	3, plus additional training is provided for relevant program staff using classroom and on-the-job approaches.
5—excellent	Comprehensive program of training in financial issues is routinely delivered and periodically updated.
Score: _____ (Description of current status)	

12. Diversity of Program Funding.

1—at risk	Revenue for any one program accounts for more than 40% of total agency revenue.
2—approaching achievement of standard	Revenue for any one program accounts for 25 to 39% of total agency revenue.
3—fully meets standard	No one program accounts for more than 25% total of revenue.
4—exceeds standard; approaching excellence	3, plus the five largest programs account for no more than 80% of total revenue.
5—excellent	3, plus the five largest programs account for no more than 60% but at least 50% of total revenue.
Score: _____ (Description of current status)	

³² Financial matters refers broadly to any organizational activities related to the review of financial and budget information as part of the process of organizational decision-making or program management

13. Stability of Funding Sources

1—at risk	Less than 55% of total revenue comes from renewable sources that are likely to fund for two years or more from present.
2—approaching achievement of standard	Between 55 and 69% of total revenue comes from renewable sources that are likely to fund for two years or more from present.
3—fully meets standard	70% of total revenue comes from renewable sources that are likely to fund for two years or more from present.
4—exceeds standard; approaching excellence	65% of total revenue comes from renewable sources that are likely to fund for three years or more from present.
5—excellent	70% of total revenue comes from renewable sources that are likely to fund for three years or more from present.
Score: _____ (Description of current status)	

14. Unrestricted Agency Operating Revenue³³

1—at risk	Budgeted unrestricted operating revenue amounts to less than 1% of the agency's total budgeted revenue.
2—approaching achievement of standard	Budgeted unrestricted operating revenue amounts to between 1% - 1.9% of the agency's total budgeted revenue.
3—fully meets standard	Budgeted unrestricted operating revenue amounts to between 2% - 4% of the agency's total budgeted revenue.
4—exceeds standard; approaching excellence	Budgeted unrestricted operating revenue amounts to between 3.1% - 5% of the agency's total budgeted revenue.
5—excellent	Budgeted unrestricted operating revenue amounts to 5+% of the agency's total budgeted revenue.
Score: _____ (Description of current status)	

³³ Revenue that is not restricted for a specific use or purpose by a donor or funder. Agency uses discretion in budgeting unrestricted income for operating purposes.

15. Cash Flow and Debt Management

1—at risk	Asset/debt ratio ³⁴ of .90:1 or less with frequent use of short-term loans.
2—approaching achievement of standard	Asset/debt ratio of .91:1 to .95:1 with occasional use of short-term loans.
3—fully meets standard	Asset/debt ratio of .96:1 to 1.00:1 with little use of short-term loans.
4—exceeds standard; approaching excellence	Asset/debt ratio of 1.01:1 to 1.10:1 with no use of short-term loans.
5—excellent	Asset/debt ratio of 1.11:1 or greater with no use of short-term loans.
Score: _____ (Description of current status)	

16. Purchasing and Contract Management

1—at risk	There are no purchasing or contracting standards. ³⁵
2—approaching achievement of standard	Written purchasing and contracting standards exist but are ill defined and adherence is inconsistent.
3—fully meets standard	Written purchasing and contracting standards exist and are followed consistently including competitive bidding. Contracts are reviewed and assessed regularly. Responsibility for contract management is clearly designated.
4—exceeds standard; approaching excellence	3 plus, Some written performance-based standards are used in developing and monitoring contracts.
5—excellent	4 plus, written, objective (measurable) standards are used for negotiating, reviewing or renewing all contracts. Performance-based standards are used whenever appropriate and are linked to incentives and sanctions to encourage high performance. Competitive bidding is standard practice.
Score: _____ (Description of current status)	

³⁴ The literature suggests that assets to debt ratios are more revealing than income to debt ratios. The asset to debt ratio is calculated by dividing current assets by current debts.

³⁵ Purchasing and contracting standards might include a list of preferred vendors reflecting agency values, e.g., preference for community-based or women-owned businesses, the level of oversight, or the amount of competition required depending on contract amount. See OMB Circular A-110, Sections 40-48, as well as the National Association of Purchasing Management for a list of purchasing standards.

F. Finance and Budget Scoring

Self-Assessment Interview and Scoring Summary

Reviewer(s) _____
Interview Date: _____ **Time:** _____

Documents: Prior Year Agency Audit; Finance Manual, Financial Control Policies and Procedures; Accounting Policies and Procedures; Financial and Budget Reports (6 months) prepared for Board/Managers; Corrective Action Plans in response to Audit or Fiscal Program Compliance reviews; Financial Plan; Documentation of Training on Financial Matters; Contracting Policies and Procedures (Evidence of Competitive Bidding Compliance); Current Agency budget; Agency budgets (past 3 years).

Document Observations:

Persons to be Interviewed: Finance Director/CFO, Executive Director, Treas./Finance Committee Board Member, Program Manager/Director.

Persons Interviewed (Name, Title)

Questions/Comments

#1. Financial Controls

Does the agency have written Finance Manual which describes the agency's financial Control policies and procedures? When are the last time the agency's financial control policies and procedures were reviewed and updated? To whom is the agency's Finance Manual distributed?

Comments:

Do the control policies and procedures specify the separation of duties for making and recording deposits as well as a hierarchy for authorizing expenditures? Are there any areas of financial activity related to transactions, which are not covered by the existing policies and procedures?

Comments:

Have the agency's auditors identified any weakness in the agency's controls system? What has been done to strengthen controls in response to these observations and recommendations?

Comments:

How does the agency monitor compliance with its Control policies and procedures? Is more than one person responsible for assessing compliance?

Comments:

Has the agency developed and implemented any innovative Control methods or procedures for identifying violations of agency policies?

Comments:

Other Observations:

Scoring Rationale:

Agency Score: _____	Reviewer Score _____	Team Score _____
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#2. Involvement in Financial and Budget Report Development

Who has been involved in the design and development of the financial and budget reports prepared by the Finance Department? What, if any role, have Board members played in the design and development of these reports?

Comments:

If staff beyond the Finance Department have been involved, was their participation structured through a formal process or, was their involvement more ad hoc and informal?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

3. Distribution and Use of Financial and Budget Reports

For who are agency budget and financial reports prepared? What is the schedule for the distribution of these reports to users?

Comments:

Are budget (monthly) and financial reports (quarterly fund balances, cash flow, etc.) consistently prepared and distributed on a timely basis? During the past 12 months, have there been any circumstances where reports either were not prepared or not distributed on a timely basis? How many times has this occurred? Why were these reports delayed?

Comments:

In what format are these reports presented (e.g., plan vs. actual, program, etc)? How are these reports used to make budget, program and policy decisions during the course of the year? Could you give examples of the decisions which have been made in response to these monthly and quarterly reports during the past 12-18 months?

Comments

Are standard or customized reports prepared and distributed which integrate fiscal and program measurement data? Are there examples of other specialized reports which demonstrate a response to anticipated user needs?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

4. Involvement in the Budget Development Process

Who is responsible for preparing budgets within the agency? What is the process used by the agency to prepare budgets? Is this process more formal and structured or more informal and ad hoc?

Comments:

Could you identify by position the staff who participates in the process of developing budgets within the agency?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

5. Building and Equipment Capital Asset Management

Does the agency maintain an updated inventory of its buildings and capital equipment? How frequently is the inventory normally updated? Who is responsible for updating the inventory? What was the date of the last update?

Comments:

Does the agency have a written plan for capital expenditures involving the repair, replacement, etc. of its facilities and equipment? Does this plan identify priorities for expenditures over one year or over multiple years? In the absence of a plan, how does the agency address capital asset repair or replacement needs?

Comments:

Has the agency developed a budget which identifies Capital expenditure priorities and revenue sources to address these needs? Has the board reviewed and approved the Capital Budget?

Comments:

How, if at all, is the agency's Capital Asset Plan linked to the agency's overall Strategic Plan?

Comments:

To what degree has the agency actively pursued the development of strategic community alliances or partnerships which could create cost savings by sharing space or accessing in-kind donations of office equipment, furniture, etc?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

6. Accounting Records Management

To what degree does the agency comply with the standards for maintaining accounting records as described under this section? Are postings and reconciliations routinely completed on a monthly basis? If not, what activities have experienced delays? How frequent and long have these delays been over the course of the past 12 months? Over the past 24 months?

Comments:

Has the agency's Auditors cited any concerns about the agency's fiscal controls or recordkeeping policies and procedures?

Comments:

How does the agency monitor compliance with its financial recordkeeping policies and procedures? How often is this monitoring undertaken?

Comments:

If delays have been experienced, what impact have these delays had on the agency's ability to prepare and distribute timely and accurate budget and financial reports to managers and the board?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____	Reviewer Score _____	Team Score _____
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7. Program Cost Analysis and Monitoring

Has the agency performed an analysis of the actual (direct/indirect) costs of each of its programs? How often is this analysis performed? When was the last analysis completed?

Comments:

If an analysis has not been prepared, how does the agency price its services to assure that programs are self supporting or, anticipate the need for agency subsidy?

Comments:

If an analysis has been completed, how do agency managers use this information during the course of the year? Is this information integrated with other data to make decisions? If yes, what other information is considered?

Comments:

Has the agency compared its costs against local, regional or national benchmarking standards or experience? What conclusions have been drawn from these comparisons?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____	Reviewer Score _____	Team Score _____
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8. Timeliness of Reporting to Funders in the Last 12 Months

What percent of the fiscal and program reports required by the agency's funders have been submitted on time during the past 12 months?

Comments:

Of the reports submitted, in what percent of the cases did funders respond with written questions related to information provided?

Comments:

How, if at all, has the agency used this reporting information to make fiscal and/or programming decisions?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

9. Audit

How many days after the close of the agency's last fiscal year was the agency's audit completed and available for review? Based on the audited Balance Sheet how did the agency end the fiscal year?

Comments:

What was the auditor's opinion? Were any findings suggesting weaknesses or concerns regarding the agency's accounting policies and practices included in the agency audit? What actions have been taken to address these issues and concerns? Have these issues been fully addressed or, is work continuing?

Comments:

Did a designated board committee receive and review the agency audit? How many members of this committee have financial expertise and training? Did members of this committee meet independently with the agency's auditors to discuss the audit?

Comments:

Were copies of the agency audit distributed to the Board or simply made available upon request? Was a verbal report summarizing the agency audit provided to the Board ? Who presented this report?

Comments:

Has the agency responded to any findings or recommendations contained in the last audit on a full and timely basis? What changes were made? If action has not been taken why has this delay occurred?

Comments:

Has the agency formed an Audit Committee? Who serves on this Committee? Does at least one member of this Committee have financial expertise and experience? What is the scope of this Committee's authority and responsibilities? Is this Committee responsible for recommending changes in audit firms as well as assuring auditing responsibilities by the current firm are rotated on a periodic basis?

Comments:

How long has the agency employed its current audit firm? How long has the same individual(s) within the firm conducted the agency's audit? Has or does the agency's audit firm provide any other services to the agency?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ **Reviewer Score** _____ **Team Score** _____

10. Financial Planning

What short and/or long term financial planning is carried out by the agency? Is this planning effort a structured, formalized process or is it more informal process driven by issues or problems? Who normally participates in this planning process?

Comments:

How does the agency's Financial Plan(s) mesh with the agency's Strategic Plan? How does this Plan(s) influence the agency's annual budgeting process and other management operating policies and plans?

Comments:

Has the agency developed any new or innovative approaches to financial planning ?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

11. Training in Financial Matters

What, if any, training does the agency provide to staff and board members on financial matters? Please describe the trainings offered during the past year. Who participated?

Comments:

How are training needs and priorities assessed and established? How is effectiveness evaluated?

Comments:

What methods or approaches are used to train participants? Is this training integrated into an overall agency Staff Development Plan?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

12. Diversity of Funding Sources

To what degree is the agency's fiscal stability and viability tied to funding for 1-2 of its major programs? Is the agency satisfied with the diversity and balance of its overall funding for programs? Has this situation been relatively stable over the past 3-4 years or, have there been changes? How has the situation changed?

Comments:

Does the agency have any plans to generate greater diversity and bring better balance to the funding of its major programs? What actions have been taken to reduce dependence on funding for a few programs? What success has there been in seeking to diversify agency funding?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____	Reviewer Score _____	Team Score _____
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13. Stability of Funding Sources

How satisfied is the agency with the proportion of its funding which is derived from sources offering 2-3 year renewable commitments?

Comments:

Does the agency have any plans to increase funding from sources offering multi-year funding commitments? What is the agency's goal for achieving greater funding stability? What progress has been made in achieving this goal?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

#14. Unrestricted Agency Operating Revenue

Please describe efforts the agency has made to develop new or increase existing sources of unrestricted revenue to help support short and long term agency operations and services.

Comments:

How satisfied are agency managers and board members with the agency's current balance of restricted and unrestricted revenue? What if any plans have been developed to increase the proportion of unrestricted revenue available to the agency to support operations and services?

Comments:

How are decisions made to allocate unrestricted revenue (e.g., fundraising, investment income, etc) to support operating budget needs? Have any criteria been established to guide these decisions?

What role does fundraising play in this effort to generate unrestricted revenue? What role has the agency's board played in helping to generate fundraising revenue to support agency operations?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

#15. Cash Flow and Debt Management

Is the agency's current asset to debt ratio of concern to agency management or the board? Has this ratio remained relatively stable during the past few years or has it changed? How has the ratio changed?

Comments:

Does the agency maintain a line of credit? If so, what is the ceiling on the credit line? What is the interest rate? What is the current balance? How often during the past 12 months has the agency used this line of credit? Beyond the line of credit, has the agency taken out any loans to address cash flow or debt management issues during the past year?

Comments:

What steps has the agency taken or is considering to address cash flow and debt management concerns?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

16. Purchasing and Contract Management

Does the agency have written standards and procedures for purchasing goods and services? Are these standards and procedures uniform for all agency purchasing and contracting ?

Comments:

Who is responsible for assuring that these standards and procedures are understood and being consistently implemented throughout the agency?

Comments:

Is the principle of competitive bidding followed in purchasing of goods and Services? Is this principle followed: 1. Consistently, 2. Normally or, 3 Sporadically? What are the circumstances when this principle is not followed?

Comments:

Is the principle of performance-based contracting reflected in the agency's policies, contract management policies and procedures? Is this principle followed; 1. Consistently, 2. Usually, or, 3. Occasionally? What are the circumstances when this principle is not followed?

Comments:

What are the protocols for processing and approving purchase requisitions and service contracts? Has staff been trained on these policies and procedures?

Comments:

How does the agency monitor compliance with its purchasing and contracting policies and procedures? How often is this monitoring undertaken?

Comments:

How often are the agency's policies and procedures reviewed ? Who is responsible for conducting this review?

Comments:

Other Observations:

Scoring Rationale:

Agency Score _____ Reviewer Score _____ Team Score _____

TEAM SCORES: F. FINANCE AND BUDGET SCORES

Individual Items	Score
1. Financial Controls	
2. Involvement in Financial and Budget Report Development	
3. Distribution and Use of Financial and Budget Reports	
4. Involvement in the Budget Development Process	
5. Building and Equipment Capital Asset Management	
6. Accounting Records Management	
7. Program Cost Analysis and Monitoring	
8. Timeliness of Reporting to Funders in Last 12 Months	
9. Audit	
10. Financial Planning	
11. Training in Financial Matters	
12. Diversity of Funding Sources	
13. Stability of Funding Sources	
14. Unrestricted Agency Operating Revenue	
15. Cash Flow and Debt Management	
16. Purchasing and Contract Management	
<i>Total Score</i>	
<i>Average (Total divided by 16)</i>	
<i>Range (the highest – the lowest) Example: 2 - 5</i>	

III. SUMMARY AGENCY ASSESSMENT SCORES



<i>QCAS Assessment Areas</i>	<i>Agency Scores</i>	<i>PR Team Scores</i>
Governance		
Operational Management and Organizational Structure		
Planning and Community Investment		
Information Technology		
Human Resources		
Finance and Budget		
Overall Agency Score		

IV. NIQCA Peer Review Overview



Purpose of the Peer Review

The Peer Review is a voluntary element of the QCAS Self-Assessment process intended to provide an independent, informed perspective on the accuracy and validity of the agency's own internal assessment. The findings of the Peer Review Team are shared with the agency's Assessment Team and discussed at a special Feedback meeting scheduled on the third day of the site visit. The report of the Peer Review Team is intended to provide the agency additional information which can be used by the agency's Assessment Team to identify and address opportunities for strengthening management policies and practices.

Fees and Agreements

A modest fee is charged for conducting a Peer Review site visit to help offset visit expenses including housing, meals and transportation. The sliding fee scale is based on the size of the agency's total operating budget \$1,000 (-\$10 million), \$1,500 (\$10-\$25 million) and, \$2,000 (+\$25 million). Prior to the conduct of a Peer Review site visit, the agency will be asked to review and sign a NIQCA –CAA Participating Agency Agreement which details the roles and responsibilities of the parties involved in Peer Review visit. Included in this Agreement is a Confidentiality Statement which underscores the NIQCA's commitment to respect and protect the confidentiality of the information provided to the NIQCA Peer Reviewers. Prior to Certification, Peer Reviewers are required to sign NIQCA Confidentiality and Code of Conduct Agreements.

Peer Reviewers

NIQCA Peer Reviewers are seasoned, experienced CAA professionals who currently or recently held senior management positions in one or more local CAA's. Reviewers are trained and certified by the NIQCA and commit between 30-40 hours of service over the course of a 12 month period. Reviewers from Massachusetts, Connecticut and Rhode Island have been trained and certified. Peer Reviewer assignments are always match out-of-state reviewers with a local agency. The NIQCA assigns a Team Leader to help facilitate and coordinate the site review. Questions related to a scheduled Peer site visit should exclusively be communicated to the assigned Team Leader. Peer Reviewers are compensated for out-of-pocket expenses associated with their 3 day agency visit.

The role of a Peer Reviewer is to simply assess and verify information documented in the agency's internal self assessment. The Peer Reviewer's role is not to act as a consultant or investigator. Peer Reviewers may from time to time share thoughts, ideas and experiences in response to questions or simply during the flow of conversation at scheduled feedback meetings. These exchanges are one of the real strengths of the Peer Review experience. Agency participants should understand however that the Reviewer's role is not to make decisions about agency improvement priorities or suggest actions to address identified needs.

If agency's need assistance in developing their Action Plan for Improvement, contact should be made with the NIQCA's Executive Director. The NIQCA had prepared a "Bank of Experts" Resource Directory for agency managers to use to seek consultation on a variety topics.

Overview of Pre-Site Preparation for a Peer Review Site Visit

- Agency makes decision to include a Peer Review Site Visit in its original Self-Assessment Plan. Decision is communicated to NIQCA Executive Director.
- NIQCA-CAA Peer Review Agreement completed and signed.
- NIQCA Director and Agency Assessment Team Coordinator confirm dates of the scheduled Peer site visit.
- NIQCA Director recruits Peer Site Review Team members and provides brief agency orientation and schedule confirmation
- Agency Team Coordinator collects required QCAS documentation including a copy of the agency's completed Self-Assessment and mails information to Peer Reviewers not less than two weeks prior to the scheduled visit.
- Peer Reviewers review documentation prior to scheduled visit. Interview schedules and visit logistics details are confirmed with Reviewers and the Agency Team Coordinator.

Peer Review Site Visit Overview and Schedule

The Peer Review agency visit will last three days. While Reviewer's have individual assignments and responsibilities during the visit, they act as a Team in making decisions related to QCAS scoring. Many sections of the QCAS standards address similar topics so that the consistency of responses to similar questions posed by different Reviewer's is a consideration in the Team's overall scoring process. The Team's activities during the three day visit are summarized as follows:

- **Day # 1. Team Preparation Meeting (Afternoon and Evening)**
Peer Review Team arrives, settles in and then meets to review: Team Assignments and Schedules; Roles and Responsibilities; Documentation Questions/Issues; Scoring and Team Decision-making Procedures; Other Questions.
- **Day # 2. Agency Assessment (Morning, Afternoon and Evening)**
 - ✓ Morning Interview with Executive Director
 - ✓ Morning Kickoff Meeting with agency Assessment Team
 - ✓ Morning Assessment Interviews
 - ✓ Lunch
 - ✓ Early Afternoon Assessment Interviews
 - ✓ Late Afternoon Assessment Interviews
 - ✓ Dinner – Evening Team meeting to review Reviewer scores/findings and assign Team Scores to each QCAS area. Confirm Team assignments for reporting to the Agency Assessment Team on Day #3.
- **Day # 3. Presentation of Results (Morning)**
Peer Review Team meets with the agency's Assessment Team and presents the Team's findings with particular emphasis on scoring differences between the Peer Team and Agency's Self-Assessment. This Feedback Meeting provides opportunities for discussion and questions as well as a chance to discuss the next steps in developing an Action Plan for Improvement.

Post Site Visit Activities

Ten days following the Peer Review site visit, the Team Leader will prepare and submit a written **Site Visit Summary Report** to the agency Executive. This Report will summarize the Team's Scoring and comments on each Section of the Assessment. With this Report a Site Visit Evaluation Form will be sent, which agency representatives can complete and return to the NIQCA Executive Director. A similar Evaluation Form will be completed by the Peer Reviewers assigned to the visit.

The NIQCA Executive Director will follow-up with the agency's Executive Director to assess whether any assistance is needed in preparing the agency's Action Plan for Improvement.

APPENDIX A – FEDERAL REQUIREMENTS

Federal CSBG Community Action Agency Board and Bylaw Requirements Compliance Checklist

State: NA

Legal Requirements	Compliance*			Comment
	F	P	DNC	
Tripartite board composed of: A. 1/3 of the board are elected public officials, holding office on the date of selection or their representatives or, if elected officials are not available, appointive officials or their representatives, B. not fewer than 1/3 of the members are chosen in accordance with democratic selection procedures and, C. the remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education or other major groups or interests in the community served.				
Each representative of low-income individuals and families selected to represent a specific geographic area within the community served resides in the area represented by the member				
Role of the board is to “fully participate in the development, planning, implementation and evaluation of the program to serve low-income communities.”				
Members of tripartite boards are selected by the agency.				

- * F Agency fully complies with this Federal CSBG requirement.
- P Agency partially complies with this Federal CSBG requirement.
- DNC Agency does not comply with this Federal CSBG requirement.

APPENDIX B – CONNECTICUT

State CSBG Community Action Agency Board and Bylaw Requirements Compliance Checklist

State: Connecticut

Regulatory Requirements	Compliance*			Comment
	F	P	DNC	
Size of CAA Board not less than 15 members or more than 51 members.				
Tripartite Board with one-third Public officials, one third representatives of the poor chosen in a democratic fashion and one third officials of business, industry, labor, religious, welfare, education or other major groups and interests in the community.				
Board members selected to represent a specific geographic area shall reside in that area.				
Board shall appoint the agency Executive Director.				
Board shall determine major personnel, fiscal and program policies.				
Board shall determine overall program plans and priorities including the provisions for evaluating progress against performance.				
Board shall have final approval of all program proposals and budgets.				
Board shall enforce compliance with all conditions of all grants.				
Board shall determine rules of procedures for the Board.				
Board shall select the Officers and Executive Committee of the Board.				
Board shall have a Standing Nominating Committee				

* F Agency fully complies with this State CSBG requirement.

P Agency partially complies with this State CSBG requirement.

DNC Agency does not comply with State CSBG requirement.

APPENDIX C – MASSACHUSETTS

State CSBG Community Action Agency Board and Bylaw Requirements Compliance Checklist

State: Massachusetts

Regulatory Requirements	Compliance*			Comment
	F	P	O	
Tripartite board composed of one-third public officials, one-third representatives of low- income persons and one third community representatives consistent with federal CSBG statute.				
Board shall consist of at least 15 persons				
Each member of the board selected to represent a specific neighborhood within the CAA service area shall reside in the neighborhood he/she represents.				
Bylaws describe the total number of seats on the board and the allotment of seats by type of representation (public officials, low-income persons, etc)				
Procedures for selecting board members are stated				
Performance standards for board members are described including standards of conduct and attendance the violation of which may be grounds for removal.				
Description of specific procedures to be followed in the case of the removal of board members.				
Procedures for selecting new board members in the case of a vacancy on the board. With respect to low income persons, the bylaws will include one of the following methods for filling the vacancy: 1. the selection procedure used originally to elect the individual or, 2 the remaining low income representatives may select a replacement to serve for the remainder of the term with the provision that, to the maximum extent possible, the individual represent the same constituency as the original representative.				
A description of the selection and service of an alternate member of the board (if permitted) shall include: 1. An alternate shall be selected/elected in the same manner and at the same time as a representative, 2. Public officials may not select an alternate to substitute for them, 3. The selection of an alternate shall be reflected in the records of the CAA showing the membership of the board, 4 No alternate shall be counted toward a quorum or cast a vote when the person he/she is an alternate is present at the meeting, 5 No alternate may hold office on the board of directors				
A quorum shall consist of a number of members equal to 50% of the non-vacant seats on the board				
The board shall meet at least 6 times annually				
The CAA shall provide written notice of any meeting and an agenda at least seven day in advance of the meeting.				
The CAA will provide public notice of its board meetings at least five days in advance.				

All meetings of the board shall be open to the public. Executive sessions should be held in accordance with the MA. Open Meeting Law.				
The board and its committees shall keep written minutes for each meeting. Minutes shall be made available to the public upon request. Upon request copies of the minutes in the appropriate language will be made available where a significant portion of the low-income population does not speak English and speaks such language.				
Copies of the minutes of each board meeting shall be submitted to the Department within ten days after the date of the meeting at which they were approved by the board.				

- * F Agency Bylaws fully comply with this State CSBG requirement.
- P Agency Bylaws partially comply with this State CSBG requirement.
- O Agency Bylaws omit reference to this State CSBG requirement.

APPENDIX D – RHODE ISLAND

State CSBG Community Action Agency Board and Bylaw Requirements Compliance Checklist

State: Rhode Island

Regulatory Requirements	Compliance*			Comment
	F	P	DNC	
Tripartite board composed of one-third public officials, one-third representatives of low- income persons chosen in accordance with democratic selection procedures and one third private sector representatives consistent with federal CSBG statute.				
Board shall consist of at least 15 but not more that 51 members.				
Each low-income member of the board selected to represent a specific geographic area within the CAA service area shall reside in the area he/she represents.				
Low-income and private sector representatives on the board shall not serve more than 6 consecutive years but may be reelected or selected to serve on the board an additional 4 years provided an interval of 12 months passes between periods of board service.				
The board shall determine the board’s operating rules and procedures.				
The board shall select the board’s officers and establish committees necessary to insure effective board operations.				
The board shall establish overall program goals and priorities.				
The board shall set major personnel, organizational, fiscal and program policies.				
The board shall hire, fire and evaluate the performance of the Executive Director.				
The board shall approve funding requests and proposals.				
The board shall conduct evaluations of programs and projects.				
Bylaws will indicate the total number of seats on the board and the allotment of seats by sector.				
Bylaws will state procedures for appointing, electing or selecting board members.				
Bylaws will state procedures to remove board members. Procedures will limit removal for cause and will include due process procedures in the cases of contested removals.				
Bylaws will state procedures to fill vacant seats.				
Bylaws will state the manner in which an official record of board actions will be made, approved, recorded and maintained.				
Bylaws will state the names, structure, compositions and powers of all board committees. Composition of committees in terms of sector representation will parallel the board. No committee may act on behalf of the board without reporting such action to the board. All actions will be ratified or modified through subsequent board				

action.				
Bylaws state that a quorum for the board to conduct business is at least 50% of its seated members.				
Bylaws state that the board will meet at least 6 times during the year and it will meet at least every 10 weeks.				
Bylaws state the method utilized to notify board members of regular and emergency meetings.				
Bylaws will describe actions taken to notify the community of board meetings. At a minimum this will include posting notices in prominent places in the agency's major administrative and service locations to include the date, time and place of such meetings at least 5 days prior to the date meetings are held.				
Bylaws state that board meetings are open to the public.				
Bylaws prohibit all forms of proxy voting.				
Bylaws state that all changes in the Bylaws will be submitted to DHS within 30 days of the date such changes take effect.				

* F Agency fully complies with this State CSBG requirement.

P Agency partially complies with this State CSBG requirement.

DNC Agency does not comply with this State CSBG requirement.