

Organizational Standards Review

Southeastern Arizona Community Action Program

Preliminary Assessment Summary July 28, 2017 – Updated 8/21/17

Documentation Sufficient = ✓

Documentation or Citation Needed = ☐

Category & Standard	Documentation	Remarks	
Category 1 Consumer Input and Involvement			
1.1	8/20: Board of Director's Application forms.		✓
1.2	8/20: Survey document		✓
1.3	9/8/16 Board Minutes; Pg 4; Client Survey Report (attached) 12/8/16 Board Minutes; Pg 3; Client Survey Report (attached)	8/20: Have client satisfaction surveys and aggregated report. Need board meeting minutes that reflect report was brought to board.	✓
Category 2 Community Engagement			
2.1	CAP Plan	Provided a long list of partnerships, but does not document for what purpose.	✓
2.2	The surveys were completed in 2015 as you can see in some of the ones I attached where they were signed in June 2015 or the organization indicated that the information provided was for 2015. What happened was the surveys were used with the 2011 date, but when staff realized they forgot to change the date, they went ahead and deleted the date altogether and some of the surveys do not have a date on them. I included some of these also. All of these surveys were for the CNA 2016, staff just forgot to change the date on the survey.	In the CNA report, pages 50 and 52, there is a list of key informant interviews, but not an educational institution is identified. Are you able to document that an educational institution completed the survey? At "other", non -CNA" times? 8/20: The surveys are dated 2011, but the CNA report was done in 2016. Were there additional surveys completed for the 2016 assessment?	✓
2.3	8/20: 2016 Annual Report		✓
2.4	IS Survey		✓
Category 3 Community Assessment		Reviewed: Every 3 Years	
3.1	CNA Report Issued: It is on the agency website. It was approved at the December 3, 2015 board meeting.	The document indicates it was done in 2016. <i>Note: (Report should be dated with a specific month.)</i>	✓
3.2	This will not be addressed until we complete the next CNA for SFY19. We will start gathering information soon.	Gender, race/ethnicity, and age data indicators are all in the report but not in relation to poverty.	☐
3.3	CNA Report		✓
3.4	CNA Report		✓
3.5	Board Meeting Minutes	It was approved at the December 3, 2015 board meeting.	✓

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Category 4	Mission and Direction	Reviewed: Varies	
4.1	The mission statement will be presented to the Board at our next regularly scheduled Board meeting on September 26, 2017 for approval.	5 years. Need documentation: 1) Minutes from a board meeting that shows the governing board reviewed and approved the mission statement and any applicable changes, and 2) The mission statement is broad enough to address all of the agencies services in addition to addressing poverty. 8/20: No documentation that board reviewed the mission statement.	<input type="checkbox"/>
4.2	CAP Plan	2 years	✓
4.3	This will be addressed at the November 2017 Board meeting/Strategic Planning Session.	2 years. Need to have documents demonstrating use of ROMA cycle in strategic plan and use of a ROMA-certified trainer in implementation of ROMA principles in strategic and CAP plan. 8/20: Documentation not sufficient. The documentation applies to Standard 7.9. See email with information and documentation necessary for this Standard.	<input type="checkbox"/>
4.4	8/20: Annual Meeting, September, 2016 documentation.		✓
4.5	This will be presented to the Board at our September 26, 2017 meeting for approval.	2 years. Need 1) succession plan and 2) board meeting minutes approving plan.	<input type="checkbox"/>
4.6	This will be presented to the Board at our September 26, 2017 meeting for approval.	2 years. Need 1) risk assessment document and 2) board meeting minutes demonstrating that it was discussed by the board.	<input type="checkbox"/>
Category 5	Vision and Direction – Board Governance	Reviewed: Varies	
5.1	Bylaws	2 years	✓
5.2	Bylaws	2 years	✓
5.3	Letter from Attorney dated March 29, 2017	5 years	✓
5.4	Board Orientation on March 31, 2016	2 years.	✓
5.5	Board bylaws and meeting minutes.	Annually	✓
5.6	8/20: I will note this as met, but two of the conflict of interest forms were signed in 2014. The Standard notes that it has to be done every two years. Please have board members sign the form if they have not done so within the last two years. (Attached New Ones)	2 years.	✓
5.7	There is no documentation to show that Ms. Hester has received orientation. We have orientation scheduled for November-December 2017 because we will have 2 new board members voted in on September 2017.	Annually. 8/20: March 31, 2016 board orientation. (Ms. Hester new on Board as of 12/8/16. Would need orientation within six months.) More recent documentation necessary.	<input type="checkbox"/>
5.8	8/20: Considered this met with agenda from March 31, 2016 board orientation which was also considered to be training. (Note: Going forward, please consider doing board training separate from orientation.)	2 years.	✓

Category & Standard	Documentation	Remarks	
5.9	Programmatic reports attached.	Annually. It's unclear how much program information get discussed at meetings from reading the minutes. Need more documentation that reflect programmatic reports have been provided.	✓
Category 6	Vision and Direction –Strategic Planning	Reviewed 5 years following 1st compliance/implementation or*	
6.1	Strategic Planning Session has been rescheduled for November 2017.	Need plan. The March, 2017 board minutes indicate that dates are being considered to have a planning meeting with the board. Email as of May 3: "As for the Strategic planning, it has been scheduled for June 4th & 15th . Board members and staff will participate in the strategic planning process."	☐
6.2	Strategic Planning Session has been rescheduled for November 2017.	Need Plan.	☐
6.3	Strategic Planning Session has been rescheduled for November 2017.	Need Plan.	☐
6.4	Strategic Planning Session has been rescheduled for November 2017.	Need Plan.	☐
6.5	Strategic Planning Session has been rescheduled for November 2017.	Need Plan.	☐
Category 7	Operations and Accountability –Human Resource Management	Reviewed: Varies	
7.1	Letter from attorney dated March 29, 2017. March 30, 2017 Board minutes indicating board approval (page 9).	5 years. 8/20: No documentation of board approval	✓
7.2	All employees sign the Employee Information Form (on their first day of employment) indicating they received the Employee Handbook as well as a separate form that shows the date in which they received it (attached). Whenever there is an update to the handbook, all employees must sign a form that indicates the changes to the handbook and this form is included in their personnel files (attached).	2 years. 8/20: Have the personnel policies. Need the process used that ensure staff get the handbook and staff receive updates.	✓
7.3	In DES files	5 years. Need job descriptions with dates.	✓
7.4	Voted on and noted in the board meeting minutes on September 8, 2016.	Annually.	✓
7.5	Board will be completing the CEO/ED evaluation at the September 26, 2017 Board meeting and will also review his compensation.	Annually. Need documentation that demonstrated action by the board on the compensation of the CEO/ED such as a motion or a resolution. This may have happened with the evaluation, but it needs to be noted in board meeting minutes. 8/20: September 8, 2016 board approval notes only appraisal, not compensation.	☐
7.6	Contained in personnel policies.	2 years.	✓
7.7	Approved in December 8, 2016 board meeting minutes.	2 years.	✓

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	8/20: Policy contained in Personnel Policies and Procedures Manual.		
7.8	Indicating this is met. Going forward, be clearer about the agenda, contents and process for employee orientation.		✓
7.9	Attendance record attached.	Need documentation of trainings: presentations, evaluations, attendee lists (Including ROMA training) 8/20: ROMA Training on May, 19, 2017. Attendance records needed.	✓
Category 8	Operations and Accountability –Financial Operations and Oversight	Reviewed: Annually*or	
8.1	Completed audit		✓
8.2	Completed audit		✓
8.3	Completed audit. Auditor attended December, 2016 board meeting.		✓
8.4	Audit accepted by board as reflected in December, 2016 board meeting minutes.		✓
8.5	As reflected in Public Notice, February, 2017.	*5 years	✓
8.6	Copy of 990 and board approved the filing of the 990 at the board meeting on December 8, 2016.		✓
8.7	Board Minutes reflect review of revenues and expenditures as well as balance sheet.	Note: please send a copy of board packet.	✓
8.8		Need documentation.	✓
8.9	8/20: Agency wide budget and board approved budget as reflected in the September, 2016 board meeting minutes.		✓
8.10	8/20: Dated Fiscal Manual (May, 2016) and board approval reflected in board meeting minutes March 30, 2017.	Need documentation:	✓
8.11	8/20: Procurement Policy and Board approval as reflected in December, 2016 board meeting minutes.	*5 years.	✓
8.12	Cost allocation plan. Approved by board as reflected in March, 2017 board meeting minutes.	*2 years.	✓
8.13	8/20: Client Records – Storing, Safeguarding, and Destroying policy	*2 years	✓
Category 9	Operations and Accountability –Data and Analysis	Reviewed: Annually or*	
9.1	IS Survey	*2 years	✓
9.2	CAP 60 System	*2 years	✓
9.3	No documentation available until after Strategic Plan is in place.	Need documentation in the board minutes of the results of the analysis of the agency's performance on outcome goals/targets related to Community Action Plan and Strategic Plan and discussion of any proposed revisions to outcome goals/targets.	☐
9.4	IS Survey		✓

End Document