

**STATE OF NEVADA**  
**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**NATIONAL CSBG ORGANIZATIONAL STANDARDS**  
**NEVADA CAA COMPLIANCE INSTRUCTIONS**  
**February 2016**

## CATEGORY 1: MAXIMUM FEASIBLE PARTICIPATION

1.1	Private/Public	The Organization demonstrates low-income participation in its activities.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION: One of the following:	SUBMISSION REQUIREMENT: One of the following:
Low-income participation in advisory boards connected with the CAA (other than the tripartite board).	Advisory board roster and meeting minutes.	Submit advisory board roster and most recent meeting minutes.
Volunteering opportunities within the agency.	Volunteer log listing name, date, and volunteer activity.	Submit the most recent volunteer log.
Policy workgroups.	Workgroup roster and meeting minutes.	Submit advisory board roster and most recent meeting minutes.
Participation in community events/educational activities that are not tied to a service or case plan.	Event announcement, number of participants who attended.	Submit the most recent event announcement and indicate the number of participants.

**CAP SUBMISSION TIMELINE:** Every year.

**NOTES:**

1. "Low-income" is not defined. People do not have to be below the CSBG eligibility standard of 125% of poverty to be considered "low-income." Each CAA can develop its own definition.

1.2	Private/Public	The Organization analyzes information collected directly from low-income individuals as part of the Community Assessment.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Print and analyze standard Elogic report based on the 13 initial assessment scales.	DHHS will assist CAAs to analyze the results. Analysis will be documented in the agency's Community Needs Assessment.	Completed needs assessment report based on the sample guidelines and template provided by DHHS.

**CAP SUBMISSION TIMELINE:** Every 3 years as part of the Community Needs Assessment.

1.3	Private	The Organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.
1.3	Public	The Organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the tripartite board/advisory body, which may be met through broader local government processes.

CAAs may implement the standard statewide customer satisfaction form. If a modified or alternative form is used, the CAA will request prior approval from DHHS.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
<p>Private: Implement the standard statewide customer satisfaction form or a pre-approved alternative. Provide customers an opportunity to complete the form at case closure or completion of brief encounter.</p> <p>Public: Implement that standard statewide customer satisfaction form or a pre-approved alternative. Public organizations may use an alternative customer satisfaction process that meets the intent of this standard if the entity has one.</p>	<p>Private: Summary report of survey results and Board meeting minutes.</p> <p>Public: Summary report of survey results (or alternative process and Board meeting minutes).</p>	<p>Private: Submit the summary report for the prior 12 months and the most recent board meeting agenda and minutes indicating that the results were presented to the Board.</p> <p>Public: Same as private.</p>

**CAP SUBMISSION TIMELINE:** Every year.

## CATEGORY 2: COMMUNITY ENGAGEMENT

2.1	Private/Public	The Organization has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Use the standard statewide template for documenting community partnerships, collaborations and coalitions provided in the Community Action Plan. Document up to 10 major partnerships.	Complete the standardized statewide template. Maintain one or more of the following for each partnership: MOUs, subagreements, meeting agendas, meeting dates and summaries.	None. (DHHS will upload the standard statewide report contained in the agency's Community Action Plan on to the agency's file in the FTP site.)

**CAP SUBMISSION TIMELINE:** Every year.

2.2	Private/Public	The Organization utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.
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The information gathering process must include each of the identified five sectors noted above. Exceptions will be made for organizations that do not have an educational institution in their service area.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
A forum (or forums) with the identified sectors based on the guidelines provided by DHHS.	Written summary of forum results.	Community needs assessment report based on the sample guidelines and template provided by DHHS.

**CAP SUBMISSION TIMELINE:** Every 3 years. (All CAAs will submit a copy of the Community Needs Assessment the first year, then every 3 years.)

2.3	Private/Public	The organization communicates its activities and its results to the community.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Prepare an annual report based on the guidelines established by DHHS and make it available in print and/or online to other community-based agencies, local and state government organizations, and the public at large.	Completed annual report.	Submit the annual report.

**CAP SUBMISSION TIMELINE:** Every year.

2.4	Private/Public	The organization documents the number of volunteers and hours mobilized in support of its activities.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Track name of volunteer, types of volunteer activity provided, and hours provided. Identify volunteer hours provided by low-income members of the community.	Tracking log.	Submit the number of volunteer hours annually as part of the NPI report and the completed volunteer tracking log (or a sample if the log involves numerous pages).

**CAP SUBMISSION TIMELINE:** Hours will be submitted annually as part of the NPI report. The sample of the volunteer log will be submitted annually with other Organizational Standard documents that are also due annually.

## CATEGORY 3: COMMUNITY ASSESSMENT

3.1	Private	The organization conducted a Community Assessment and issued a report within the past 3 years.
3.1	Public	The organization conducted a Community Assessment and issued a report within the past 3 years, <b><i>if no other report exists.</i></b>

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Conduct a community assessment every three years based on DHHS guidelines and issue a report.  Public CAAs: May substitute an assessment conducted by county government if one exists. Prior approval from DHHS is needed.	Private CAAs: Community needs assessment report based on the sample template provided by DHHS.  Public CAAs: Community needs assessment report based on the sample template provided by DHHS, if no other report exists.	Private CAAs: Submit with CAP every three years.  Public CAAs: Submit with CAP every three years.

**CAP SUBMISSION TIMELINE:** Every 3 years. (All CAAs will submit Community Needs Assessment the first year.)

3.2	Private/Public	As part of the Community Assessment, the organization collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
At a minimum, CAAs will collect the standard list of data elements per the guidelines prepared by DHHS.	Standard data elements, organized as one section of the community needs assessment report.	Submit the community needs assessment report with CAP every three years.

**CAP SUBMISSION TIMELINE:** Every 3 years. (All CAAs will submit Community Needs Assessment the first year.)

3.3	Private/Public	The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the Community Assessment.
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CRITERIA	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
CAAs will collect and analyze data collected through Organizational Standards 2.2, 3.1, and 3.2 per the guidelines prepared by DHHS.	Needs assessment report, including required data elements and analysis.	Submit the community needs assessment report with the CAP every three years.

**CAP SUBMISSION TIMELINE:** Every 3 years. (All CAAs will submit the Community Needs Assessment the first year.)

3.4	Private/Public	The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.
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CRITERIA	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
The needs assessment report will include key findings on the causes and conditions of poverty and the need of the community.	Needs assessment report, including key findings.	Submit the community needs assessment report with the CAP every three years.

**CAP SUBMISSION TIMELINE:** Every 3 years. (All CAAs will submit the Community Needs Assessment the first year.)

3.5	Private/Public	The governing board formally accepts the completed Community Assessment.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Complete the Community Needs Assessment report and present it to the Board.	Final report and Board meeting agenda and minutes.	Submit a copy of the Board meeting agenda and minutes documenting acceptance of the report.

**CAP SUBMISSION TIMELINE:** Every 3 years. (All CAAs will submit Community Needs Assessment the first year. An existing report will be accepted if it meets all of the criteria referenced in the Organizational Standards.)

#### CATEGORY 4: ORGANIZATIONAL LEADERSHIP

4.1	Private/Public	The governing board (or public CAA tripartite advisory board) has reviewed the Organization's mission statement within the past 5 years and assured that: 1) The mission addresses poverty; 2) The Organization's programs are in alignment with the mission.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Present the agency mission statement to the Board for review every 5 years.	Board meeting agenda and minutes, including agency mission statement.	Submit the Board meeting agenda and minutes documenting the Board review. Include agency mission statement.

**CAP SUBMISSION TIMELINE:** Every 5 years. (All CAAs will submit documentation the first year).

4.2	Private/Public	The Organization's Community Action Plan is outcome-based, anti-poverty focused, and ties directly to the Community Assessment.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Submit a Community Action Plan with the required elements.	Completed Community Action Plan.	None. (DHHS will upload the Community Action Plan into the agency's Organizational Standards file on the FTP site.)

**CAP SUBMISSION TIMELINE:** Every year.

4.3	Private/Public	The Organization's Community Action Plan and Strategic Plan document the continuous use of the full ROMA cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the Organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Strategic Plan: The plan will document that each step in the ROMA cycle was incorporated.	Completed Strategic Plan.	Submit Strategic Plan.

**CAP SUBMISSION TIMELINE:** Every year for Community Action Plan; every 5 years for Strategic Plan.

4.4	Private/Public	The governing board (or tripartite board/advisory body) receives an annual update on the success of specific strategies included in the Community Action Plan.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Prepare a report on the progress made toward achieving the annual goals referenced in the Community Action Plan.	Annual goal progress report and board agenda and minutes.	Submit annual report with the Community Action Plan. Submit board agenda and minutes each year documenting Board review.

**CAP SUBMISSION TIMELINE:** Every year.

4.5	Private	The Organization has a written succession plan in place for the CEO/ED approved by the governing board, which contains procedures for covering an emergency/unplanned, short-term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.
4.5	Public	The Department adheres to its local government's policies and procedures around interim appointments and processes for filling a permanent vacancy.

This Standard is only applicable for private CAAs.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Prepare a succession plan that contains the required elements based on the guidelines provided by DHHS.	Written succession plan.	Submit the plan every 5 years.
Public CAAs: Follow County policy.	Public: Provide a brief description of the County policy.	Public: Provide a brief description of the County policy.

**CAP SUBMISSION TIMELINE:** Every 5 years. (All CAAs will submit a copy of the succession plan the first year, then every 5 years.)

4.6	Private	An organization-wide risk assessment has been completed with the past 2 years and reported to the governing board.
4.6	Public	The Department complies with its local government's risk assessment policies and procedures.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Complete risk assessment based on DHHS guidelines.  Public CAAs: Document county process, if any.	Private CAAs: Completed risk assessment by logging into the following website and completing the online Risk Assessment.  <a href="https://www.nonprofitrisk.org/cap/Default.asp">https://www.nonprofitrisk.org/cap/Default.asp</a>  Public CAAs: Documentation of county process if available.	Private CAAs: Submit completed risk assessment.  Public CAAs: Submit brief description of County process.

**CAP SUBMISSION TIMELINE:** Every 2 years. (All CAAs will submit a copy of the risk assessment the first year, then every 2 years.)

## CATEGORY 5: BOARD GOVERNANCE

5.1	Private/Public	The Organization's governing board is structured in compliance with the CSBG Act: 1) At least one-third democratically selected representatives of the low-income community, 2) With one-third local elected officials (or their representatives), and 3) The remaining one-third from major groups and interests in the community.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Establish and maintain a Board roster, indicating name of Board member, the affiliation of each Board member (e.g., the organization or business they are associated with), the sector that the Board member is representing, and the date their Board term ends.	Board roster.	Submit Board roster.

**CAP SUBMISSION TIMELINE:** Every year.

5.2	Private/Public	The Organization's Governing Board (or tripartite board/advisory body) has written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Incorporate the democratic selection process into the bylaws.	Bylaws in compliance with DHHS Board Governance Standards.	Submit the bylaws.

**CAP SUBMISSION TIMELINE:** Submit bylaws first year, then annually only if changes are made.



5.3	Private	The Organization's bylaws have been reviewed by an attorney within the past five years.
5.3	Public	Review of bylaws by an attorney is outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.

This standard is not applicable for public organizations.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Submit the bylaws to an attorney for review.	Attorney's review comments.	Submit attorney's review comments.

**CAP SUBMISSION TIMELINE:** Every 5 years. (All CAAs will submit a copy of the attorney's review comments the first year, then every 5 years.)

5.4	Private/Public	The Organization documents that each tripartite board/advisory body member has received a copy of the governing documents, within the past two years.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Provide Board members with bylaws and other Board documents, including Conflict of Interest and Whistleblower Policy and review them at a Board meeting.	Board agenda.	Submit Board agenda indicating that bylaws and other Board documents have been distributed and reviewed at a Board meeting.

**CAP SUBMISSION TIMELINE:** Every 2 years.

5.5	Private/Public	The Organization's governing board (tripartite advisory board) meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
The Board items in Standard 5.5 will be reviewed during on-site monitoring. Board meeting agendas and minutes will be reviewed for the previous 12 months. No more than one meeting was skipped or postponed. No more than one meeting was held without a quorum. Board vacancies were filled in accordance with the bylaws.	Board meeting agendas and minutes; documentation of the process that was used to fill Board vacancies.	Submit a table summarizing Board meeting dates, the number of members required for a quorum, and actual attendance. Submit documentation that shows how any Board vacancies were filled.

**CAP SUBMISSION TIMELINE:** NA

5.6	Private/Public	Each governing board (advisory board) member has signed a conflict of interest policy within the past 2 years.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
All Board members will sign the conflict of interest statement every two years.	Conflict of interest statement with Board member signatures and signing date.	Submit the conflict of interest statement, board roster, and a copy of each board member's sign off.

**CAP SUBMISSION TIMELINE:** Every 2 years. (All CAAs will submit a copy of the sign off the first year, then every 5 years.)

5.7	Private/Public	The Organization has a process to provide a structured orientation for governing board (advisory board) members within 6 months of being seated.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
All new Board members will receive an orientation in accordance with the DHHS CSBG Board Governance Standards.	Completed Board member orientation form for each board per the Board Governance Standards.	Submit the completed Board member orientation form for each new board member per the Board Governance Standards.

**CAP SUBMISSION TIMELINE:** Every year.

5.8	Private/Public	Governing board (advisory board) members have been provided with training on their duties and responsibilities within the past 2 years.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
All Board members will receive, at a minimum, standard training on their duties and responsibilities.	Board agenda and minutes referencing training or documentation of one on one training if the training is not provided during a Board meeting..	Submit the Board agenda and minutes if training was provided to the entire Board. Submit documentation of one-on-one training if training was provided one-on-one OR for board members that missed the group training.

**CAP SUBMISSION TIMELINE:** Every 2 years.

5.9	Private/Public	The Organization's governing board (advisory board) receives programmatic reports at each regular board meeting.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
At a minimum, provide the following reports to the Board: Fiscal Status Reports – Every meeting Status of Annual Plan Goals – Quarterly or Semi-Annually Elogic Reports - Quarterly	Board agenda, meeting minutes, and Board packets	Submit information from one Board meeting that contains the Board agenda, meeting minutes, and the required programmatic reports.

**CAP SUBMISSION TIMELINE:** NA.

### CATEGORY 6: STRATEGIC PLANNING

6.1	Private	The Organization has an agency-wide Strategic Plan in place that has been approved by the governing board within the past 5 years.
6.1	Public	The Department has a Strategic Plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory board body within the past 5 years. If the Department does not have a plan, the tripartite board/advisory body will develop the plan.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Complete a Strategic Plan based on DHHS guidelines.  Public CAAs: May use a Department plan.	Private CAAs: Completed Strategic Plan.  Public CAAs: Completed Strategic Plan	Private CAAs: Submit the completed plan every 5 years.  Public CAAs: Submit the completed Strategic Plan every 5 years.

**CAP SUBMISSION TIMELINE:** Every 5 years.

6.2	Private/Public	The approved Strategic Plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low-incomes to become more self-sufficient.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Complete a Strategic Plan based on DHHS guidelines that include the required elements.	Completed Strategic Plan	Submit the completed plan every 5 years

**CAP SUBMISSION TIMELINE:** Every 5 years.

6.3	Private/Public	The approved Strategic Plan contains Family, Agency and/or Community Goals.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
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Complete a Strategic Plan based on DHHS guidelines that include the three goal areas.	Completed Strategic Plan	Submit the completed plan every 5 years
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**CAP SUBMISSION TIMELINE:** Every 5 years.

6.4	Private/Public	Customer satisfaction data and customer input, collected as part to the community assessment, is included in the strategic planning process.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Complete a Strategic Plan based on DHHS guidelines that include customer satisfaction data.	Completed Strategic Plan	Submit the completed plan every 5 years

**CAP SUBMISSION TIMELINE:** Every 5 years.

6.5	Private/Public	The governing board has received an update(s) on meeting the goals of the Strategic Plan within the past 12 months.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Provide a written report at least once every 12 months to the Board on the progress that is being made toward meeting the goals of strategic plan.	Written report, Board agenda, and Board minutes.	Submit a copy of the agenda, minutes, and report.

**CAP SUBMISSION TIMELINE:** Every year.

## CATEGORY 7: HUMAN RESOURCES MANAGEMENT

7.1	Private	The Organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.
7.1	Public	Local government personnel policies are outside of the purview of the Department and the tripartite board/advisory body, therefore, this standard does not apply to public entities.

This standard is not applicable for public organizations.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
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Private CAAs: Ensure that the personnel policies are reviewed by an attorney and approved by the Board.  Public CAAs: NA	Private CAAs: Documentation of review by an attorney; board minutes documenting approval by the Board.	Private CAAs: Submit documentation of attorney review and Board minutes indicating Board approval.
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**CAP SUBMISSION TIMELINE:** Every 5 years.

7.2	Private	The Organization makes available the Employee Handbook (or personnel policies in cases without a handbook) to all staff and notifies staff of any changes.
7.2	Public	The Department follows local government policies in making available the employee handbook (or personnel policies in cases without a handbook) to all staff and in notifying staff of any changes.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private: Inform staff that an Employee Handbook is available. Notify staff of any changes at least yearly.  Public: Follow the standard for private, non-profit CAAs unless the County has alternative policy.	Private: Notification to staff regarding how to access to the employee handbook and any changes that have been made.  Public: Provide a brief description of the County policy.	Private Submit a copy of the email or memo sent to staff each year regarding access and changes to the Employee Handbook.  Public: Provide a brief description of the County policy.

**CAP SUBMISSION TIMELINE:** Every year. (All CAAs will submit a copy of the email/memo the first year, then every 5 years.)

7.3	Private	The Organization has written job descriptions for all positions, which have been updated within the past 5 years.
7.3	Public	The Department has written job descriptions for all positions. Updates may be outside the purview of the Department.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Develop and maintain written job descriptions for all positions.  Public CAAs: Develop and maintain written job descriptions for all positions.	Private CAAs: Written job descriptions.  Public CAAs: Written job descriptions.	Private CAAs: Submit written job descriptions indicating the date of the last review/revision.  Public CAAs: Submit written job descriptions for CAA related positions indicating the date of the last review/revision.

**CAP SUBMISSION TIMELINE:** NA.

7.4	Private	The governing board conducts a performance appraisal of the CEO/Executive Director within each calendar year.
7.4	Public	The Department follows local government procedures for performance appraisal of the Department Head.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Develop a written template for the CEO/Executive Director and conduct the appraisal every calendar year.  Public CAAs: Follow local government procedures.	Private CAAs: Written template and board minutes indicating completion of the performance appraisal.  Public CAAs: Depends on County policy and process.	Private CAAs: Appraisal template and board agenda and minutes noting completion of appraisal and review and approval of compensation per Standard 7.5.  Public CAAs: Provide a brief description of the County procedure.

**CAP SUBMISSION TIMELINE:** Every year.

7.5	Private	The governing board reviews and approves CEO/Executive Director compensation within every calendar year.
7.5	Public	The compensation of the Department head is made available according to local government procedure.

This Standard is not applicable for Public CAAs.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: The Board will review and approve CEO/Executive Director compensation in a closed session each year.  Public CAAs: NA	Private CAAs: Covered in Standard 7.4.	Private CAAs: Covered in Standard 7.4.

**CAP SUBMISSION TIMELINE:** Same as Standard 7.4.

7.6	Private	The Organization has a policy in place for regular written evaluation of employees by their supervisors.
7.6	Public	The Department follows local government policies for regular written evaluation of employees by their supervisors.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Establish a written policy. Public CAAs: Follow local government policy.	Private CAAs: Written policy. Public CAAs: Written policy.	Private CAAs: Submit policy every 5 years. Public CAAs: Provide a brief description of the County procedure.

**CAP SUBMISSION TIMELINE:** Every 5 years.

7.7	Private	The Organization has a Whistleblower policy that has been approved by the governing board.
7.7	Public	The Department provides a copy on any existing local government whistleblower policy to members of the tripartite board/advisory body at the time of orientation.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Establish a Board approved Whistleblower policy. Public CAAs: Provide the Whistleblower policy (if available) to Board members during orientation. Development of a policy is optional if the local government does not have one.	Private CAAs: Whistleblower policy and meeting minutes indicating approval by the Board. Public CAAs: Copy of local government policy (if applicable.)	Private CAAs: Submit a copy of the policy and a copy of the Board minutes indicating Board approval. Public CAAs: Submit a copy of local government policy and a copy of the Board minutes indicating Board approval.

**CAP SUBMISSION TIMELINE:** Every 5 years. (All CAAs will submit a copy of the policy and Board minutes the first year, then every 5 years.)

7.8	Private	All staff participate in a new employee orientation within 60 days of hire.
7.8	Public	The Department follows local governmental policies for new employee orientation.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Establish an orientation documentation form indicating the items that will be covered during the orientation. Public CAAs: Follow local government policy if one has been established.	Private CAAs: Orientation form and documentation of employee orientations. Public CAAs: Provide a brief description of the County procedure.	Private CAAs: Submit completed orientation forms for the prior 12 months for new employees or a table from the Human Resources Department indicating the name of employee, date of hire and date orientation completed. Public CAAs: Provide a brief description of the County procedure.

**CAP SUBMISSION TIMELINE:** NA.

7.9	Private/Public	The Organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.
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CAAs will provide and document staff training on an on-going basis. ROMA related training will be provided at least once every two years with appropriate staff positions.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Document staff training and ROMA related training.	Name of staff trained, date of training, type of training provided.	Submit training documentation for the prior 12 months: name of staff trained, date of training, and type of training.

**CAP SUBMISSION TIMELINE:** Every year.

**CATEGORY 8: FINANCIAL OPERATIONS AND OVERSIGHT**

8.1	Private/Public	The Organization's annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with Title II of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Complete the annual audit.	Annual audit for the most recent year.	Completed audit for the most recent year.

**CAP SUBMISSION TIMELINE:** Every year.

8.2	Private	All findings from the prior year's annual audit have been assessed by the Organization and addressed where the governing board has deemed it appropriate.
8.2	Public	The Department follows local government procedures in addressing any audit findings related to CSBG funding.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Review audit findings and develop a plan for addressing them if determined appropriate.	Private CAAs: Documentation of Board review of the audit and a plan for addressing findings (if applicable).	Private CAAs; Submit a plan for addressing audit findings (if applicable) or if the findings have been resolved, a description of the actions taken by the agency.
Public CAAs: Confirm that the Department is following procedures in addressing any audit findings pertaining to the Department.	Public CAAs: Provide a brief description of the County procedure.	Public CAAs: Provide a brief description of the County procedure.

**CAP SUBMISSION TIMELINE:** Every year.



8.3	Private	The Organization's auditor presents the audit to the governing board.
8.3	Public	The Department's tripartite board/advisory body is notified of the availability of the local government audit.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: The auditor will present the audit to the governing Board during a Board meeting.  Public CAAs: The Board will be notified of the completion of the audit and how to access a copy.	Board meeting agenda and minutes indicating that the Auditor has presented the Audit.  Public CAAs: Board meeting agenda and minutes indicating that the audit is available and how to access a copy.	Private CAAs: Board agenda and minutes.  Public CAAs: Board agenda and minutes.

**CAP SUBMISSION TIMELINE:** Every year.

8.4	Private	The governing board formally receives and accepts the audit.
8.4	Public	The tripartite board/advisory body is notified of any finding related to CSBG.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Same as 8.3 above.	Same as 8.3 above.	Same as 8.3 above.

**CAP SUBMISSION TIMELINE:** Every year.

8.5	Private	The organization has solicited bids for its audit within the past 5 years.
8.5	Public	The audit bid process is outside of the purview of the tripartite board/advisory body, therefore, this standard does not apply to public entities.

This standard is not applicable for public CAAs.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Solicit bids or the audit every 5 years.  Public CAAs: Not applicable.	Private CAAs: Documentation of bid solicitation.	Private CAAs: Submit documentation of bid solicitation.

**CAP SUBMISSION TIMELINE:** Every 5 years. (All CAAs will submit bid documentation the first year, then every 5 years.)

8.6	Private	The IRS form 990 is completed annually and made available to the governing board for review.
8.6	Public	The federal tax reporting process is outside of the purview of the tripartite board/advisory body, therefore, this standard does not apply to public entities.

This standard is not applicable for public CAAs.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Complete IRS form 990 and make it available to the governing Board. Public CAAs: No applicable.	Private CAAs: IRS form 990 and Board agenda and minutes indicating Board review.	Private CAAs: Submit IRS form 990 and Board agenda and minutes.

**CAP SUBMISSION TIMELINE:** Every year.

8.7	Private	The governing board receives financial reports at each regular meeting that include the following: 1) Organization-wide report on Revenue and Expenditures that compares Budget to Actual, categorized by program, and 2) Balance Sheet/Statement of Financial Position.
8.7	Public	The tripartite board/advisory body receives financial reports at each regular meeting for those program(s) the body advises as allowed by local government procedure.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: At each meeting, provide the Board with the required reports. Public CAAs: At each meeting, provide the Board with the required reports for CSBG and other programs that the Board is involved in providing advisory oversight on..	Private CAAs: Required reports included in Board packet. Public CAAs: Required reports included in Board packet.	Private CAAs: Submit the most recent Board agenda and reports. Public CAAs: Submit the most recent Board agenda and reports.

**CAP SUBMISSION TIMELINE:** Every year.

8.8	Private	All required filings and payments related to payroll withholdings are completed on time.
8.8	Public	The payroll withholding process for local governments is outside of the purview of the Department, therefore, this standard does not apply to public entities.

This standard is not applicable for public CAAs. Allowable extensions filed by private CAAs will be accepted in evaluating compliance with this Standard.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Submit annual total of all required filings and payments. Public CAAs: Not applicable.	Private CAAs: Submit the most recent annual summary report.	Private CAAs: Submit the most recent annual summary report. .

**CAP SUBMISSION TIMELINE:** Every year.

8.9	Private	The governing board annually approves an organization-wide budget.
8.9	Public	The tripartite board/advisory body has input as allowed by local governmental procedures into the CSBG budget process.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Annual approval by Board of an organization-wide budget.  Public CAAs: Review and input on the CSBG budget if allowed by local government.	Private CAAs: Agency wide budget and Board meeting agenda and minutes.  Public CAAs: Board meeting agenda and minutes.	Private CAAs: Submit the agency wide budget and Board meeting agenda and minutes.  Public CAAs: Submit Board meeting agenda and minutes documenting approval of CAA budget.

**CAP SUBMISSION TIMELINE:** Every year.

8.10	Private	The Fiscal Policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.
8.10	Public	The Fiscal Policies for local governments are outside of the purview of the Department and the tripartite board/advisory body, therefore, this standard does not apply to public entities.

This standard is not applicable for public CAAs.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Fiscal staff will review and update fiscal policies every 2 years. Board approval required if changes are made.  Public CAAs: Not applicable.	Private CAAs: Fiscal policies with current date of update and Board review and approval if changes were made.	Private CAAs: Submit documentation of staff review and the Board agenda and minutes if Board approval was required.

**CAP SUBMISSION TIMELINE:** Every 2 years.

8.11	Private	A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.
8.11	Public	Local government procurement policies are outside of the purview of the Department and the tripartite board/advisory body, therefore, this standard does not apply to public entities.

This standard is not applicable for public CAAs.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Establish and update a written procurement policy and obtain Board approval every 5 years.  Public CAAs: Not applicable.	Private CAAs: Written procurement policy; agenda and Board minutes verifying review by governing Board.	Private CAAs: Submit written procurement policy and Board agenda and minutes every 5 years.

**CAP SUBMISSION TIMELINE:** Every 5 years.

8.12	Private	The Organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.
8.12	Public	A written cost allocation plan is outside the purview of the Department and the tripartite board/advisory body, therefore, this standard does not apply to public entities.

This standard is not applicable for public CAAs.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Obtain a federally approved indirect cost rate approval or establish a written cost allocation plan. Public CAAs: Not applicable.	Private CAAs: Federally approved indirect cost rate approval or establish a written cost allocation plan	Private CAAs: Submit the approved indirect cost rate or a written cost allocation plan every year.

**CAP SUBMISSION TIMELINE:** Every year.

8.13	Private	The Organization has a written policy in place for record retention and destruction.
8.13	Public	The Department follows local government policies for record retention and destruction.

COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Private CAAs: Establish a written policy for record retention and destruction. Public CAAs: Follow local government policy.	Private CAAs: Written Policy Public CAAs: Provide a brief description of the County procedure.	Private CAAs: Submit the written policy Public CAAs: Provide a brief description of the County procedure.

**CAP SUBMISSION TIMELINE:** Every 5 years. (All CAAs will submit a copy of the written policy the first year, then every 5 years.)

**CATEGORY 9: OPERATIONS AND ACCOUNTABILITY**

9.1	Private/Public	The Organization has a system or systems in place to track and report services customers receive.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Maintain compliance with the Nevada Service Delivery Model.	Elogic agency data model.	None. DHHS will upload the agency data model into the agency's Organizational Standards file on the FTP site..

**CAP SUBMISSION TIMELINE:** NA.

9.2	Private/Public	The Organization has a system or systems in place to track Family, Agency, and/or Community Outcomes.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Maintain compliance with the Nevada Service Delivery Model. Submit Agency and Community Outcomes in the Community Action Plan.	Approved agency data model plus submission of the Community Action Plan.	Submit a progress report on the goals in the Community Action Plan.

**CAP SUBMISSION TIMELINE:** NA.

9.3	Private/Public	The Organization has presented to the governing board (tripartite board/advisory board) for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
Source documents include: eLogic reports, progress on Strategic Plan goals, and the Community Action Plan. Document the results of the analysis and any identified adjustments.	Report documenting the analysis of outcomes and any adjustments and Board minutes indicating review by the Board.	Submit a report on the analysis of outcomes and any adjustments and Board minutes indicating review by the Board.

**CAP SUBMISSION TIMELINE:** Every year.

9.4	Private/Public	The Organization submits its annual CSBG Information Survey Data Report and it reflects organization-wide outcomes.
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COMPLIANCE REQUIREMENT	REQUIRED DOCUMENTATION	SUBMISSION REQUIREMENT
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Submission of CSBG IS Data Report. Some sections will be generated from Elogic and won't require submission from CAAs; other sections will need to be completed by CAAs.	Submission of CSBG IS Data Report.	None. DHHS will upload the agency report into the agency's Organizational Standards file on the FTP site..
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**CAP SUBMISSION TIMELINE:** Every year.