STATE OF NEW YORK DEPARTMENT OF STATE
DIVISION OF COMMUNITY SERVICES

Excellence in Results Oriented Management and Accountability (E-ROMA)

DIMENSION 1: Service Delivery

Contractor: _

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Date of Contact: __
Corresponds to ROMA Goals 1, 2, 6

Individuals, families, and communities served by the grantee are recognized as the sole purpose for grantee existence.

1	DETERMINING FACTORS (w/indicators) - Service Delivery	Source(s) for Verification	MET	NEEDS WORK
Services to Individuals And Families:				
1a	Individuals and families are involved in the planning, design, implementation and evaluation of programs, services, and activities. 1. Clients and potential clients have the opportunity to participate in program development. 2. Stakeholders are involved in the evaluation process.	needs assessment, strategic plan, evaluation tools and reports, board meeting minutes		
1b	Physical environment is a positive and welcoming place.	client surveys		
1c	Nurturing office atmosphere protects customer confidentiality.	client surveys, site visit		
1d	Those served are representative of the general community.	demographic data from intake system		
1e	Ethnicity, culture, and diversity are recognized and celebrated.	sample training agenda, PPRs		
1f	Grantee practices strength-based approach to service.	intake and assessment forms used, grant applications		
1g	Holistic and comprehensive services are provided to individuals and families either directly or by referral. 1. Programs within the organization are integrated to provide more complete services to clients. 2. Agency conducts case management conferences.	directory of programs and services, referral procedures/follow up, client evaluations		
1h	Individuals and families are actively involved in identifying their strengths and needs, and developing plans to achieve success.	client assessment and goal planning tools, family development reports (to the board and funding sources)		
1i	Individuals and families served are actively involved in advocating for institutional change.	newspaper clippings, flyers for public meetings, community partner surveys, client surveys, PPRs		

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1	DETERMINING FACTORS (w/indicators) - Service Delivery	Source(s) for Verification	MET	NEEDS WORK
Services to the Community:				

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1	DETERMINING FACTORS (w/indicators) - Service Delivery	Source(s) for Verification	MET	NEEDS WORK
1j	Grantee has developed a mission statement which is geared to providing quality services to individuals, families and communities and which is outcome based. 1. The organization has a value statement that is reflected in the agency's activities and is communicated by its constituents. 2. The value statement includes standards of ethical behavior and respect for other's interests. 3. The organization has a clear, meaningful written mission statement which reflects its purpose, values and people served. 4. The board and staff periodically review the mission statement and modify it to reflect changes in the environment.	mission statement, strategic plan		
1k	The community is involved in planning, design, implementation and evaluation of programs, services, and activities. 1. The organization's purpose and activities meet community needs. 2. The organization frequently evaluates, by soliciting community input, whether its mission and activities provide benefit to the community. 3. Board, staff, service recipients, volunteers, key constituents and general members of the community participate in the planning process. 4. Through work plans, human and financial resources are allocated to insure the accomplishment of the goals in a timely fashion.	needs assessment, evaluation tools and reports, meeting minutes		
1l	Needs and strengths are assessed on an ongoing and periodic basis.	needs assessment , work plan, planning committee meeting minutes, progress reports		
1m	Positive change in the community, (affordable housing, transportation, access to day care, etc.) has resulted from Grantee services and programs.	partners, newspaper articles, program reports, awards from funders, partners, or the community.		
1n	Grantee staff and customers are encouraged to serve as community volunteers.	list of volunteer assignments among staff & customers		

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1	DETERMINING FACTORS (w/indicators) - Service Delivery	Source(s) for Verification	MET	NEEDS WORK
1o	Grantee-sponsored events and activities spur community pride and advance the ideals of community action.	event announcements, press releases/articles, community action month activities, newsletters, annual reports		
1p	Ongoing outreach increases community awareness of Grantee services.	outreach activities, satellite offices, newsletters, community presentations		
1q	Grantee offices/centers, are located in areas accessible by residents of the service area. Number of site locations_____ (WIC, HS, FD)	site visit, proximity to bus routes & bus schedules, satellite offices, client surveys		
1r	Hours of operation at Grantee sites improve accessibility for the area and people served. 1. Number and type of home based services _____ _____ 2. Number and type of mobile services _____ _____	evening and weekend hours of service, emergency accessibility after hours, client surveys		
	NARRATIVE:			

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Corresponds to ROMA Goal 5

Grantee is governed by a tripartite board of directors which is representative of individuals, families and communities served. Board activities effectively achieve the Grantee mission.

2	DETERMINING FACTORS (w/indicators) - Governance	Source(s) for Verification	MET	NEEDS WORK
2a	Board members are recruited and selected in accordance with applicable federal and state statutes and Grantee bylaws. 1. The organization has at least the minimum number of members on the board of directors as required by their bylaws or state statute.	selection process outlined in bylaws complies with laws and was followed		
2b	Board membership is diverse and represents the full range of individuals, families, and area served. 1. The board's nominating process ensures that the board remains appropriately diverse with respect to gender, ethnicity, culture, economic status, disabilities, and skills and/or expertise.	demographics of board is compared to community served (age, ethnicity, geographic area).		
2c	Board members are knowledgeable about grantee-operated programs and are familiar with organizational structure.	board meeting minutes, board interviews, attendance and observations at board meetings		
2d	Board functions, roles, and responsibilities are clear and can be understood by all members. 1. Board members serve without payment unless the agency has a policy identifying reimbursable out-of-pocket expenses.	board orientation package, board meeting minutes, annual meeting, board training		
2e	Bylaws are clear, functional and current. 1. The bylaws should include: a) how and when notices for board meetings are made; b) how members are elected/appointed by the board; c) what the terms of office are for officers/members; d) how board members are rotated; e) how ineffective board members are removed from the board; f) a stated number of board members to make up a quorum which is required for all policy decisions. 2. The board of directors reviews the bylaws.	date of bylaws and review of document		

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2	DETERMINING FACTORS (w/indicators) - Governance	Source(s) for Verification	MET	NEEDS WORK
2f	Board practices are consistent with bylaws and other policies and procedures governing the grantee. 1. The board of directors acts as governing trustee of the organization on behalf of the community at large and contributors while carrying out the organization's mission and goals. To fully meet this goal, the board of directors must actively participate in the planning process as outlined in planning sections of this checklist. 2. Board organization is documented with a description of the board and board committee responsibilities. 3. Each board member has a board operations manual.	observation and analysis at board meeting, board meeting minutes		
2g	Established fiscal internal controls ensure proper conduct of the fiduciary responsibilities of the board. (Board oversight function.) 1. Training is made available for board and appropriate staff on relevant accounting topics and all appropriate persons are encouraged to participate in various training opportunities. 2. Employees, board members and volunteers who handle cash and investments are bonded to help assure the safeguarding of assets. 3. The organization files IRS form 990's in a timely basis within prescribed time lines. 4. The organization reviews income annually to determine and report unrelated business income to the IRS. 5. The organization has an annual, independent audit of their financial statements, prepared by a certified public accountant. 6. In addition to the audit, the CPA prepares a management letter containing recommendations for improvements in the financial operations of the organization. 7. The board of directors ,or an appropriate committee, is responsible for soliciting bids, interviewing auditors and hiring an auditor for the organization.	fiscal manual, finance committee review and meeting minutes, audit management letter, authorized check signatories		
2h	Use of funds is in compliance with requirements of funders, donors and contributors, and supports the Grantee mission.	audit management letter, monthly reports, strategic plan, PPRs		

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2	DETERMINING FACTORS (w/indicators) - Governance	Source(s) for Verification	MET	NEEDS WORK
2i	Board members are knowledgeable about Not-For-Profit Corporation Law (NFPCL). 1. If the organization has adopted bylaws, they conform to state statute and have been reviewed by legal counsel.	training agenda for NFPCL , board meeting minutes		
2j	Board functions are in compliance with NFPCL and other applicable laws and regulations. 1. If the organization has any related party transactions between board members or their family, they are disclosed to the board of directors, the Internal Revenue Service and the auditor. 2. The organization maintains a conflict-of-interest policy and all board members and executive staff review and/or sign to acknowledge and comply with the policy. 3. The board has a written policy prohibiting employees and members of employees' immediate families from serving as board chair or treasurer. 4. Quorum is evident when decisions are made and minutes are maintained.	bylaws, certificate of incorporation, meeting minutes, legal actions		
2k	An active recruitment process is in place.	recruitment letters, announcements of vacancies, press releases, membership committee minutes		
2l	Efforts are made to retain active members in order to maintain a stable and effective board.	benefits extended to board members, recognition, awards, membership committee minutes, board meeting minutes, board orientation		
2m	Board has established policies for board, grantee and program evaluations.	evaluation tools and reports generated by the board, planning committee minutes, review of APR		
2n	Board creates opportunities and advocates for institutional change.	newspaper clippings, press releases, public meetings		

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2	DETERMINING FACTORS (w/indicators) - Governance	Source(s) for Verification	MET	NEEDS WORK
2o	Opportunities are available for board orientation, development, and training. 1. The board members receive regular training and information about their responsibilities. 2. New board members are oriented to the organization, including the organization's mission, bylaws, policies, and programs, as well as their roles and responsibilities as board members.	training agendas, orientation materials and agenda, announcements of other training available, participation at sponsored training (NYSCAA, NACAA, or NCAF)		
2p	Board / executive relationship is clearly defined and understood by both parties. 1. The roles of the board and the executive director are defined and respected, with the executive director delegated as the manager of the organization's operations and the board focused on policy and planning. 2. The board conducts an annual review of the executive director in relation to a previously determined set of expectations. 3. Executive director compensation is set by the board in a reasonable process and is in compliance with the organizations compensation plan.	job description & or contract for executive director, bylaws		
2q	Board has a specific policy for removing/replacing executive director, and search process. 1. The executive director is recruited, selected, and employed by the board of directors. The board provides clearly written expectations and qualifications for the position, as well as reasonable compensation.	procedure for replacing the executive director, by laws, committee powers, board minutes		
2r	Records of the grantee and board are secure and adequately maintained.	site visit, file review		
2s	Board was trained in ROMA principles.	training agenda, board meeting minutes		
2t	Board receives outcome-based reports on programs operated by the grantee.	reports to board in meeting package, PPR review, board meeting minutes		

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2	DETERMINING FACTORS (w/indicators) - Governance	Source(s) for Verification	MET	NEEDS WORK
2u	Board conducts periodic assessments of its own function and outcomes are documented.	assessment tool and report , APR, board meeting minutes		
2v	Board meetings are adequate and complete the business of the grantee. 1. The board has a process for handling urgent matters between meetings. 2. The board has an annual calendar of meetings. The board also has an attendance policy such that a quorum of the organization's board meets at least quarterly. 3. Meetings have written agendas and materials relating to significant decisions are given to the board in advance of the meeting.	observation and analysis of board meeting, comparison with board meeting minutes, bylaws		
2w	Board participates in program development, implementation and evaluation.	needs assessment, evaluation tools and reports, meeting minutes		
2x	Board vacancies are filled in a timely manner with qualified candidates.	review of board roster (attendance) over course of year to determine vacancies and time taken to fill them, board files		
2y	Board regularly evaluates the performance of the executive director /chief executive officer, in a manner that documents measurable outcomes for the grantee and the area served.	evaluation procedure for executive director And use of measurable outcomes, committee and board meeting minutes of review, bylaws		
2z	Board annually reviews the grantee audit. 1. The board of directors, or an appropriate committee, reviews and approves the audit report and management letter and with staff input and support, institutes any necessary changes.	board and finance committee minutes of the meeting when the audit was reviewed, board member attendance at these meetings		
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(Corresponds to ROMA Goal 5)

Grantee management structure is capable of carrying out policies as set by its board of directors, and can lead in efforts to achieve its mission and goals.

3	DETERMINING FACTORS (w/indicators) - Management	Source(s) for Verification	MET	NEEDS WORK
3a	Grantee has sufficient resources to provide quality management and administration. 1. The organization has suitable insurance coverage which is periodically reviewed to ensure the appropriate levels and types of coverages are in place.	indirect cost rate proposal, cost allocation plan, agency administrative budget, senior staff interviews		
3b	Board of directors, staff, community, local organizations, volunteers, etc., have the opportunity for contact and interaction between the various parties.	meeting agendas, special events, attendance at board meetings (staff, community residents, volunteers)		
3c	Grantee effectively uses CSBG funds to achieve successful management. 1. The evaluation includes a review of organizational programs and systems to insure that they comply with the organization's mission, values and goals.	board meeting minutes, CSBG budget & work plan, PPRs, APR, salary & wage schedule		

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3	DETERMINING FACTORS (w/indicators) - Management	Source(s) for Verification	MET	NEEDS WORK
3d	The process for resource development is active and effective. 1. Funds are raised in an ethical manner for activities consistent with the organization's mission and plan. 2. The board of directors and organization staff are knowledgeable about the fundraising process and the roles in the organization. 3. The organization's board of directors has established a committee charged with developing, evaluating and reviewing fundraising policies, practices and goals. 4. The committee is actively involved in the fundraising process and works to involve others in these activities. 5. The board of directors, executive director and committee supports and participates in the total fundraising process, including project identification, cultivation, solicitation and recognition. 6. The fundraising program is staffed and funded at a level consistent with fundraising expectations. 7. There is direct communications and relationship between information services or marketing, accounting and other administration support functions to assist in the fundraising needs and efforts. 8. The organization is accountable to donors and other key constituencies and demonstrates their stewardship through annual reports. 9. The organization meets the nonprofit standards of the state charities review council (if one exists in the state). 10. If the organization chooses to use outside professional fundraisers, several competitive bids are solicited. Each prospective outside fundraiser's background and references are checked. 11. The organization makes legal, mutual agreed upon, signed statements with outside professional fundraisers, outline each parties' responsibilities and duties, specifying how the contributed funds will be physically handled, and to guarantee	list of proposals / requests for funding submitted compared with those awarded, strategic plan, senior management staff meeting minutes & agendas		

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3	DETERMINING FACTORS (w/indicators) - Management	Source(s) for Verification	MET	NEEDS WORK
3e	Grantee has the capacity to achieve its goals.	strategic plan, work plan (goal 5),annual retread agenda, senior management staff meeting minutes & agendas, budgets		
3f	Effective and positive working relationships exist with multiple funding sources.	years of continued funding from entitlement and discretionary funding sources, letters from funders		
3g	Grantee advocates for institutional change.	PPRs, newspaper clippings, press releases		
3h	An effective approach is used to increase grantee visibility and accessibility of services provided.	newsletters, press releases, satellite offices, community events		
3i	An up-to-date strategic plan is in place to guide grantee organizational direction. 1. The board and staff developed and adopted a written strategic plan to achieve its mission. 2. The plan was developed by researching the internal and external environment. 3. The plan identifies the changing community needs including the agency's strengths, weaknesses, opportunities and threats. 4. The planning process identifies the critical issues facing the organization. 5. The plan sets goals and measurable objectives that address these critical issues. 6. The plan integrates all the organization's activities around a focused mission. 7. The plan prioritizes the agency goals and develops time lines for their accomplishments. 8. The plan establishes an evaluation process and performance indicators to measure the progress toward the achievement of goals and objectives. 9. The plan is communicated to all stakeholders of the agency -- service recipients, board, staff, volunteers and the general community.	date of strategic plan, community action plan, work plan		

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3	DETERMINING FACTORS (w/indicators) - Management	Source(s) for Verification	MET	NEEDS WORK
3j	Grantee measures its progress annually against the strategic plan.	annual report on progress made on strategic plan, APR, planning committee minutes, senior management staff meeting minutes & agendas		
3k	Executive director is evaluated annually or biannually. 1. The organization's board of directors conducts an annual review/ evaluation of its executive director in relationship to a previously determined set of expectations. 2. The executive director's salary is set by the board of directors in a reasonable process and is in compliance with the organization's compensation plan.	evaluation process for the executive director on file, board meeting minutes		
3l	Facilities operated by the grantee are well maintained.	site visit, budget, indirect cost rate proposal		
3m	Strategic plan identifies short term and long term outcomes for the organization and which are being addressed. 1. The results of the evaluation are reflected in the revised plan. 2. Periodically, the organization conducts a comprehensive evaluation of its programs. This evaluation measures program outcomes.	review of strategic plan and (annual) reports on progress to date, community action plan, work plan, APR		
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Grantee views its workforce as a valuable asset, vital to the accomplishment of its mission. Grantee is a learning or continuous improvement workplace.

4	DETERMINING FACTORS (w/indicators) - Work Force Environment	Source(s) for Verification	MET	NEEDS WORK
4a	Workplaces and work spaces are positive and welcoming.	site visit		
4b	Working conditions, work rules, practices and policies enhance performance and the quality of services provided. 1. The organization has a written personnel handbook/policy that is regularly reviewed and updated: a) to describe the recruitment, hiring, termination and standard work rules for all staff; b) to maintain compliance with government regulations including Fair Labor Standards Act, Equal Employment Opportunity Act, Americans with Disabilities Act, Occupational Health and Safety Act, Family Leave Act, Affirmative Action Plan (if required), etc. 2. The organization follows nondiscriminatory hiring practices. 3. The organization provides a copy of or access to the written personnel policy to all members of the board, the executive director and all staff members. All staff members acknowledge in writing that they have read and have access to the personnel handbook/policies. 4. The organization maintains contemporaneous records documenting staff time in program allocations.	Site visit and personnel policies & procedures, required postings, bulletin boards.		

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4	DETERMINING FACTORS (w/indicators) - Work Force Environment	Source(s) for Verification	MET	NEEDS WORK
	5. The organization has a clearly defined purpose of the role that volunteers have within the organization. 6. Job descriptions exist for all volunteer positions in the organization. 7. The organization has a well-defined and communicated volunteer management plan that includes a recruitment policy, description of all volunteer jobs, an application and interview process, possible stipend and reimbursement policies, statement of which staff has supervisory responsibilities over what volunteers, and any other volunteer personnel policy information. 8. The organization maintains contemporaneous records documenting volunteer time in program allocations. Financial records can be maintained for the volunteer time spent on programs and recorded as in-kind contributions.	(Continued)		
4c	Mission statement is posted prominently.	mission statement, site visit		
4d	Employees and volunteers are committed to the mission and actively participate in accomplishments of goals. 1. The organization has a process for reviewing and responding to ideas, suggestions, comments and perceptions from employees and volunteers.	site visit, staff interviews, annual retreat and agenda, senior management staff meeting minutes & agendas, functional team meetings		

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4	DETERMINING FACTORS (w/indicators) - Work Force Environment	Source(s) for Verification	MET	NEEDS WORK
4e	Professional advancement opportunities are available within and outside the agency; Opportunities are available; personal growth and higher education are encouraged; staff and volunteers are provided with ongoing training opportunities. 1. The organization provides opportunities for employees and volunteers professional development and training with their job skill area and also in such areas as cultural sensitivity and personal development. 2. The organization provides appropriate training and orientation to the agency to assist the employee and volunteer in the performance of their activities. Volunteers are offered training with staff in such areas as cultural sensitivity. 3. Agency provides tuition supports.	list of benefits available, list of staff participating in higher education/ professional development / skills training/ and personal development, personnel policies, funds budgeted for training, number of staff with FDC and CCAP		
4f	Workforce practices/applies strengths-based approach to itself and to those served. 1. The organization has a timely process for filling vacant positions to prevent an interruption of program services or disruption to organization operations. 2. The organization has a process for reviewing and responding to ideas, suggestions, comments and perceptions from all staff members. 3. The FDC curriculum, i.e. strength-based assessment, is used for intake purposes in some or all programs.	number of staff with FDC, performance appraisals, job descriptions, personnel policies		
4g	Staff are competent in ROMA Principles.	training agenda, work plan, quality of PPRs and program reports to board		
4h	Grantee supports employees who face personal problems.	EAP services (by contract or in-house), personnel policies, performance evaluation forms		
4i	Compensation system is fair and reasonable. 1. The organization has a compensation plan, and a periodic review of salary ranges and benefits is conducted.	salary schedule for agency, comparison of pay rates for comparable jobs , benefits plans, agency investment policies, board minutes		

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4	DETERMINING FACTORS (w/indicators) - Work Force Environment	Source(s) for Verification	MET	NEEDS WORK
4j	Job descriptions contain measurable performance indicators. 1. The organization has job descriptions including qualifications, duties, reporting relationships and key indicators.	job descriptions at various levels of agency		
4k	Employee and volunteer evaluations contain measurable outcomes. 1. The organization requires employee performance appraisals to be conducted and documented at least annually. 2. The organization does employee and volunteer performance appraisals periodically and communicates to both how well they are doing, or where additional attention is needed. At the same time, volunteers are requested to review and evaluate their involvement in the organization and the people they work with and suggest areas for improvement.	evaluation forms used at various levels of agency		
4l	Employee and volunteer excellence is recognized and rewarded. 1. The organization does some type of volunteer recognition or commendation periodically and staff continuously demonstrates their appreciation towards the volunteers and their efforts.	forms of staff recognition and awards given, internal promotions, affirmative action reports		
4m	Workforce is inclusive and representative of the population served. 1. The organization provides opportunities for program participants to volunteer.	demographic comparison of staff to general customer base, affirmative action plan and reports		
4n	Ethnicity, culture and diversity are recognized and respected. 1. The organization follows a recruitment policy that does not discriminate, but respects, encourages and represents the diversity of the community. 2. The organization is respectful of the employees and volunteer's abilities and time commitment and has various job duties to meet these needs.	activities to promote diversity, training agenda, affirmative action plan		
4o	Work force displays cultural competencies.	community events documentation, availability of bilingual of staff, signs, forms		
4p	Staff turnover is low, leading to grantee stability.	turn over rate		

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4	DETERMINING FACTORS (w/indicators) - Work Force Environment	Source(s) for Verification	MET	NEEDS WORK
4q	Executive director meets periodically with line staff in order to maintain contact with all levels of operation.	agency-wide staff meeting schedule, other forums used		
4r	Program staff meet regularly.	schedule of staff meetings, minutes or reports from staff meetings, senior staff interviews		
4s	Staff are adequately supervised.	organization/reporting structure, evaluation format, staff interviews		
4t	A grievance policy is in place.	personnel policies and grievance policy, sexual harassment policy		
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Fiscal operation assures effective program operation, proper receipt, disbursal, and accounting of funds administered by the Grantee.

5	DETERMINING FACTORS (w/indicators) - Fiscal Operations	Source(s) for Verification	MET	NEEDS WORK
5a	Knowledge, skills and abilities of fiscal personnel are adequate for grantee size and complexity 1. The organization has a written fiscal policy and procedures manual and follows it.	job descriptions, educational level of fiscal staff, audit review, financial reports		
5b	Equipment and technology satisfactorily ensure high fiscal standards and adequately safeguard resources and assets. 1. Organizations that purchase and sell merchandise take periodic inventories to monitor the inventory against theft, to reconcile general ledger inventory information and to maintain an adequate inventory level.	site visit, software, repots generated, fiscal manual		
5c	Fiscal reports and audits are accurate, free of material deficiencies, and are submitted on time. 1. The organization follows accounting practices which conform to accepted standards. 2. Payroll is prepared following appropriate State and Federal regulations and organizational policy. 3. The organization has systems in place to fulfill Internal Revenue Service requirements.	DOS document review forms filed by CRU & CAU,		

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5	DETERMINING FACTORS (w/indicators) - Fiscal Operations	Source(s) for Verification	MET	NEEDS WORK
5d	Fiscal internal controls are established, understood, and regularly tested. 1. The organization reconciles all cash accounts monthly. 2. The organization has a review process to monitor that they are receiving appropriate and accurate financial information whether from a contracted service or internal processing. 3. Government contracts, purchase of service agreements and grant agreements are in writing and are reviewed by a staff member of the organization to monitor compliance with all stated conditions. 4. Individuals or businesses used on a contract basis meet all Federal requirements for this form of employment. Disbursement records are kept so 1099's can be issued at year end. 5. The organization has documented a set of internal controls, including the handling of cash and deposits, approval over spending and disbursements. 6. The organization has a policy identifying authorized check signers and the number of signatures required on checks in excess of specified dollar amounts. 7. All expenses of the organization are approved by a designated person before payment is made. 8. Training is made available for board and appropriate staff on relevant accounting topics and all appropriate persons are encouraged to participate in various training opportunities. 9. Employees, board members and volunteers who handle cash and investments are bonded to help assure the safeguarding of assets. 10. The organization files IRS form 990's in a timely basis within prescribed time lines. 11. The organization reviews income annually to determine and report unrelated business income to the IRS. 12. The organization has an annual, independent audit of their	audit, fiscal manual, finance committee minutes, report generated by the testing of internal controls		

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5	DETERMINING FACTORS (w/indicators) - Fiscal Operations	Source(s) for Verification	MET	NEEDS WORK
5e	Fiscal office demonstrates ability to communicate necessity of fiscal policies, procedures and requirements in a timely manner to board members and program staff. 1. The organization prepares timely financial statements including the Balance Sheet [or statement of financial position) and Statement of Revenue and Expenses [or statement of financial activities] which are clearly stated and useful for the board and staff. 2. The organization prepares financial statements on a budget versus actual and/or comparative basis to achieve a better understanding of their finances. 3. The organization develops an annual comprehensive operating budget which includes costs for all programs, management and fundraising and all sources of funding. This budget is reviewed and approved by the board of directors. 4. The organization has a written policy related to investments. 5. Capital needs are reviewed at least annually and priorities established.	fiscal reports to the board, finance committee and board meeting minutes, board training agenda		
5f	Fiscal office shares appropriate and relevant information with program staff.	monthly reports to program staff		
5g	Fiscal Officer and staff serve as a resource to program staff, executive staff, and board. 1. The organization has established, or is actively trying to develop, a reserve of funds to cover at least three months of operating expenses (fund development).	budget development review, senior staff interviews		
5h	Fiscal staff are knowledgeable about programs operated by the Grantee. 1. If the organization has billable contracts or other service income, procedures are established for the periodic billing, follow-up and collection of all accounts, and has the documentation that substantiates all billings.	interview fiscal officer		

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5	DETERMINING FACTORS (w/indicators) - Fiscal Operations	Source(s) for Verification	MET	NEEDS WORK
5i	Budget development process includes board and staff.	board meeting minutes, finance committee minutes		
5j	Grantee has the ability to 'budget-up' and 'budget-down'; fiscal flexibility and accountability. 1. The organization has systems in place to provide the appropriate information needed by staff and board to make sound financial decisions. 2. The organization has established a plan identifying actions to take in the event of a reduction or loss in funding.	board minutes, fiscal officer's reports to board		
5k	Budgets tie costs to outcomes.	cost coding software or system, PPRs, fiscal reports, program reports		
5l	Grantee is developing methods for assigning costs to outcomes.	cost coding software or system, PPRs, fiscal reports, program reports		
5m	Administrative costs and indirect costs are reasonable and charged equitably to all funders. 1. The organization monitors unit costs of programs and services through the documentation of staff time and direct expenses and use of a process for allocation of management and general and fundraising expenses.	indirect cost rate proposal, CSBG budget, cost allocation plan		
5n	Program managers are involved in the budgeting process.	senior staff interviews, minutes or reports on budget meetings		
5o	Program directors are provided expenditure reports to monitor program costs compared to budgets. 1. The organization prepares cash flow projections for programs. 2. The organization periodically forecasts year-end revenues and expenses to assist in making sound management decisions during the year.	software, sample reports, senior staff interviews		
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Corresponds to ROMA Goals 2,3,4,5

Programs and services are geared to the reduction of poverty, the revitalization of low-income communities, and the empowerment of individuals and families in rural and urban areas to become fully self-reliant and to maintain healthy interdependence with their communities.

6	DETERMINING FACTORS (w/indicators) - Program Operations	Source(s) for Verification	**MET**	**NEEDS WORK**
6a	Mission, vision, and values are evident in programs, services, and activities. 1. Programs are congruent with the agency's mission and strategic plan.	programs & services are consistent with mission statement, statement is posted, CAP, Work Plan		
6b	Programs meet specific needs of the community as identified through a planning process which involved the board of directors. 1. Sufficient resources are allocated to ensure each program can achieve the established goals and objectives. 2. Staff has sufficient training and skill level to produce the program.	needs assessment and list of programs are comparable, meeting minutes verify board involvement, strategic planning process		
6c	Grantee has the capacity to meet broad spectrum of needs.	list of services and programs, outcome measures addressed in the work plan		
6d	Grantee has capacity and flexibility to respond to emergencies as well as to emergent needs.	experience handling emergency situations, emergency plan, count disaster plan, personnel policies		
6e	Grantee builds and maintains effective partnerships with other groups and organizations. 1. The organization actively informs the public and its partners about its programs and services.	MOUs and contracts with partners, list of community boards and committees represented by grantee board and staff members		

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6	DETERMINING FACTORS (w/indicators) - Program Operations	Source(s) for Verification	**MET**	**NEEDS WORK**
6f	Comprehensive services are delivered in partnership with other organizations. 1. The agency networks and/or collaborates with other organizations to produce the most comprehensive and effective services to clients.	List of services and programs provided in partnership with others		
6g	Services and activities are planned, delivered, and evaluated with the full and active involvement of fiscal personnel.	Finance committee minutes , CSBG budget & work plan review, senior staff interviews		
6h	Grantee advocates for social and institutional changes.	press releases, newspaper clippings, flyers for public meetings, community task forces for change, PPR (goal 4)		
6i	All Grantee operated programs are described in the CSBG Work Plan.	comparison of all programs with those in CSBG work plan		
6j	All Grantee operated programs are reported on in the Annual Program Report and the Periodic Program Report. 1. Every year, the organization evaluates its activities to determine progress toward goal accomplishment. 2. Periodically, the organization conducts a comprehensive evaluation of its programs. This evaluation measures program outcomes. 3. The results are incorporated in the revised CAP and work plan.	comparison of all programs with those reported in APR and PPRs		

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6	DETERMINING FACTORS (w/indicators) - Program Operations	Source(s) for Verification	**MET**	**NEEDS WORK**
6k	Grantee has begun to integrate ROMA into all services and activities. 1. Each program has performance indicators to insure that the program meets its goals and objectives. 2. Performance indicators are reviewed annually.	work plan and PPRs use coded outcome measures, reports to board		
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Partnerships corresponds to ROMA Goals 3 & 4

Grantee fosters and creates opportunity for partnerships and collaborations within and across the Community.

7	DETERMINING FACTORS (w/indicators) - Partnerships	Source(s) for Verification	MET	NEEDS WORK
7a	Grantee board and staff members serve on boards/committees, workgroups, of other agencies and organizations.	list of other boards/committees/work groups with agency representation		
7b	Services and activities provide and demonstrate partnerships with other groups, agencies and organizations. 1. The audit, or an organization prepared annual report which includes financial statements, is made available to service recipients, volunteers, contributors, funders and other interested parties.	list of services and activities provided in partnership wit other agencies, PPRs, APR		
7c	Program development and implementation are inter-agency functions.	list of programs developed and implemented with other agencies		
7d	Grantee serves as lead in establishing partnerships and collaborations.	agency's annual report, APR, PPRs, newsletters, newspaper clippings		
7e	Other local groups seek to partner with grantee.	written requests from other agencies for partnership, board meeting minutes, executive director's reports to board		
7f	Grantee also functions as a broker of services/facilitator for the community.	contracts, MOUs, agreements, grant applications prepared		
7g	Grantee successfully secures contributions from private sources.	list of private contributors/funders and annual amount of private funds generated		
7h	Other groups and organizations sponsor and support functions conducted by the grantee.	list of sponsors for agency events, list of attendee for agency events		
7i	Input is sought from partners, and the community in general for needs assessment and strategic planning purposes.	needs assessment and strategic planning process		
7j	Formal partnerships are recognized by written agreements.	MOUs and contracts		
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Corresponds to ROMA Goal 5

Grantee effectively communicates with the low-income population, public officials, the general public, the business community and other groups within its service area. Grantee demonstrates through the use of computer systems, people, and organizational structure, the capacity to gather, organize, analyze, and report information about its operations, outcomes, and impacts on the people it serves and the community in general.

8	DETERMINING FACTORS (w/indicators) - Information Management	Source(s) for Verification	MET	NEEDS WORK
8a	Grantee has technology and equipment necessary for planning, development and reporting.	software and hardware available that generate necessary reports, sample reports, APR, central intake and assessment		
8b	Compliance with various fiscal and program requirements is consistent.	CSBG reports (program and fiscal) are submitted on time and require little or no correction		
8c	Grantee has the capacity to keep up with rapidly changing technology.	information technology staffing, consultant contacts, CSBG budget, indirect cost rate proposal		
8d	Grantee makes appropriate use of media.	sample press releases, public service announcements, web site, newsletters,		
8e	Grantee links individuals and families with access and use of information and technology. Closing the Digital Divide.	clients can access agency through web site, clients have computer access at the grantee's office(s), computerized information and referral		
8f	Grantee both creates and uses Web based information.	agency web site, computers are linked to internet		
8g	Staff were trained in outcome-based planning and reporting.	training agenda		
8h	A universal intake process is adaptable by all grantee-operated programs.	intake process and programs using it, interview assigned staff		
8i	A centralized intake process can be accessed by all programs.	intake process and programs using it, review soft ware		
8j	The data collection system tracks and reports customer milestones and outcomes.	data collection system and sample report		
8k	A process exists to integrate fiscal and program data to document cost of outcomes.	review of system codes and sub-codes, PPRs, APR, system to link costs to outcomes		

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8	DETERMINING FACTORS (w/indicators) - Information Management	Source(s) for Verification	MET	NEEDS WORK
8I	Grantee uses outcome based language in developing proposals for funding.	sample proposals for funding		
	NARRATIVE:			