



## Community Services Block Grant (CSBG) Monitoring Tool Face Sheet – Public Agencies

**Purpose:** The CSBG Act requires that CSBG eligible entities, or Community Action Agencies (CAAs), be monitored at least once every three years by the state CSBG office. It is an important part of a strong partnership that should be forged between state CSBG office, the state community action association, and eligible entities to build capacity at the local level and to provide training and technical assistance to CAAs so that they can excel in working to eliminate poverty. The Department of Commerce holds the standards of mutual respect, open communication, and joint problem solving. We follow the current monitoring practices as set forth by the National Association for State Community Services Programs (NASCS), which supports assessing the health of the entire agency, not just program-by-program compliance.

In January 2015, [Information Memorandum 138](#) was released by the U.S. Department of Health and Human Services which established national Organizational Standards for CSBG eligible entities. The Organizational Standards were designed to ensure that CAAs have the capacity to provide high-quality services to low-income families and communities. As a whole, they reflect many of the requirements of the CSBG Act, applicable Federal laws and regulations, good management practices, and the values of Community Action. Organizational Standards are referenced in this monitoring tool and used to help inform the monitoring process.

### Monitoring practices include:

1. Looking at more than compliance with program specific rules and regulations
2. Assessing the effectiveness of the Board of Directors
3. Assessing administrative and leadership capacity of agency management as it relates to meeting the Board of Director's goals
4. Monitoring is part of a process to strengthen not only the individual agency, but the entire network
5. Having a system in place to document and inform the agency of findings and/or deficiencies
6. Having a system in place to provide training and technical assistance when necessary.
7. Being familiar with all aspects of the Performance Management Framework and utilizing that understanding in the monitoring process

**CAA Name:** Snohomish County Human Services Department  
**Service Area:**

**Date(s) of Visit:** September 4-5, 2018

**Date of draft report:** September 12, 2018

**Date of agency response:**

**Date of final report:**

**Lead Grant Manager/Monitor:** Tracy Gunter

**Supporting Grant Manager/Monitor:** Karl Hoffman

### CSBG Grant Amounts:

FFY17 – \$478,519

FFY18 – \$484,147

SFY19 – \$73,667

### CSBG Grant Balance:

FFY17 – \$203,106.47

FFY18 – \$484,147

SFY19 – \$73,667

**Date of Last On-Site CSBG Monitor:** September 15-17, 2015



## Community Services Block Grant (CSBG) Monitoring Preparation

**Documents CAA must submit to the lead CSBG Grant Manager 10 days prior to on-site visit.** *Note: If any of the following documents are current in your Organizational Standards Self-Assessment or Organizational Information on eGov, it is not necessary to send another copy. Upon emailing documentation, please indicate which documents are available on eGov.*

- Board bylaws (and Board Policies/Procedures, if applicable)
- Board member roster
  - Board Member File worksheet, completed
  - Board Member Attendance worksheet, completed
- Organizational Chart
- Community Needs Assessment
- Strategic Plan
- Annual Audit
- Agency/Department Budget for current fiscal year

### **Documents and files CAA must have ready for review at the time of on-site visit**

- Full Board meeting minutes and Board packages for a minimum of 24 months prior
- Board member files
- Personnel Policies and Procedures Manual
- Fiscal Policies and Procedures Manual
- Monitoring reports from at least two other major funding sources (may be named based on audit report or of agency/department choosing)
- Personnel files – including ED, Program Manager, line staff, volunteer (minimum 5%)
- Client files for programs funded with CSBG dollars (minimum of 3 per program)
- CSBG invoices and backup documentation for 1 month per grant (TBD on-site)

### **Space Needs**

Please arrange for the use of a meeting room or office that is available for the duration of the monitor visit, anticipated two full days. Wi-Fi availability is appreciated.

### **Interviews**

Please arrange time for the following meetings/interviews. Each should require no more than an hour. Please also allow for some down time for document review.

- Entrance conference – include Executive Director, Senior Management and/or Leadership Team. Purpose is to review the monitoring process and for staff to provide description and updates of agency programs and services.
- Executive Director (optional)
- Board President/Chairperson
- Chief Financial Officer/Fiscal Director
- Human Resources Director
- Program Director(s) – specific to those divisions that use CSBG funds
- ROMA trainer/implementer
- Staff responsible for data entry for Community Action Plan/Annual Report and Organizational Standards
- Program/site visit (optional)
- Exit conference – this will likely occur via conference call within a week of the visit. Where scheduling permits and as agreed upon by all parties, it may occur on-site.



## Board Meeting

It is preferred, although not mandatory, the Monitor(s) attend a Board meeting as part of the monitoring visit.

## Programs

It is preferred, although not mandatory, the Monitor(s) see/experience at least one program as part of the monitoring visit.

## Community Services Block Grant (CSBG) Monitoring Tool – Public Agencies

### CAA Staff and/or Board Members Interviewed:

Name	Title	Time with Agency
Jackie Anderson	Division Manager, Housing and Community Services	12 years
Debbi Trosvig	Supervisor, Community and Homeless Services	3 years
Tyler Verda	Human Services Specialist	2 years
Mike Liddicoat	Financial Compliance Officer	13 years
Wanda Staples	Admin Supervisor	19 years
Anthony Balk	Community Services Advisory Council (CSAC) Chairperson	9 months

### Legend:

**Red font** – Requirements of the Federal CSBG Act

**Green font** – Requirements of the Office of Community Services, Division of State Assistance, Information Memoranda (IM)

**Blue font** – Requirements of the State Department of Commerce Grant Agreement

**Black font** – General requirements and/or relevant information

### A. Board Governance

**CSBG Act Reference** – Public Law 105-285. Sections 676(b)(10) and 676B

**IM #82**

**Grant terms and conditions**

**Organizational Standards Reference** – Standard 5.1 – 5.9. Other standards where board involvement is identified: 1.3, 3.5, 4.1-4.2, 4.4, 6.1, 6.5, 7.1, 7.4, 7.5, 7.7, 8.2-8.4, 8.6-8.7, 8.9-8.11, and 9.3.

☒ Board of Directors - composition, training, effectiveness, knowledge of roles & responsibilities, attendance, by-laws

Compliance	Yes	No
How many Board members are specified in the Bylaws? Public agencies: minimum 6 members		12 to 24
How many Board members are on the Board currently?		10
<b>The Board meets the requirements of representation from:</b>		
a) At least one-third low-income representatives	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) One-third local elected officials (or their representatives)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c) Remaining membership from private-sector community members	<input checked="" type="checkbox"/>	<input type="checkbox"/>
A democratic selection process exists for low-income Board representation.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The democratic selection process was used to select low-income representatives.	<input type="checkbox"/>	<input checked="" type="checkbox"/>



The Board has written procedures for low-income individuals, community organizations, or religious organization to petition the Board for adequate representation.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do the low-income representatives on the Board reside in the area(s) served? <i>[Public Entities]</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do Board members fully participate in the development, planning, implementation, and evaluation of the program?		
<i>Development</i>		
Input on Community Needs Assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Clarifying Agency Mission	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Planning (See section B below)</i>		
Long-range Strategic Planning	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Annual Planning	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Implementation</i>		
Agency Program Implementation	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Fiscal Controls	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<i>Evaluation</i>		
Outcome or performance-focused information	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are Board members adequately trained in the areas of fiduciary responsibilities, board roles and responsibilities, and conflict of interest?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the Board bylaws or policy specify how long a seat can remain vacant?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Were there Board vacancies in the past 24 months that extended beyond the vacancy policy?	N/A	
Does the agency have documentation showing effort to fill vacant positions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the Board bylaws or policy address excused/unexcused absences?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Were there Board members that exceeded the maximum excused/unexcused absences in the past 24 months that were not addressed according to applicable bylaws or policy?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did any Board meetings have business conducted when there was <i>not</i> a quorum present?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Supplemental Board Member Attendance worksheet completed and reviewed, as attached.		
a) Worksheet accurately reflects meeting minutes reviewed	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b) Seats have been vacant with no documentation showing effort to fill	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Vacancies are concentrated in one sector: <u>Low-income</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
d) Absences exceed the limits set in bylaws	<input checked="" type="checkbox"/>	<input type="checkbox"/>
e) Absences are concentrated in one sector	<input type="checkbox"/>	<input checked="" type="checkbox"/>
f) Members were appropriately removed for absences	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Supplemental Board Member File worksheet completed and reviewed, as attached.		
a) Worksheet accurately reflects board member files reviewed	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b) Each member has an individual file containing all required documents	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Board member's files are organized and accessible	<input checked="" type="checkbox"/>	<input type="checkbox"/>
d) Public sector members' files contain appointment letters	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e) Low income sector members' files contain documents describing democratic selection process	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Supplemental Board Meeting Report completed, as attached.		
Supplement Board Leadership Interview Questionnaire completed, as attached.		

## Comments/Notes

- The Community Services Advisory Council (CSAC) has been moving away from CSBG funded pilot projects to larger advocacy and community impact work. Members have input on the division budget, legislative agenda, and writing Op-Ed articles on community initiatives, especially on homelessness.



- The current Council has two priorities – setting a clear framework/calendar for advocacy and other required activities and to recruit more members, specifically low- income representatives. Current efforts are being made to recruit an ECAP family member and someone from the soon to be established Snohomish County Resident Action Project.
- The Council is not in tripartite compliance, and as indicated below in Organizational Standard 5.1, has been out of compliance for the past two years.
- The department as a democratic selection procedure, but it has not been utilized in selecting low-income representatives to the Council.
- The Council currently consists of 10 members, which is out of compliance with their Bylaws.
- The Council has not removed members according to their Bylaws.
- The Council did not have a quorum at the July 2018 meeting, but proceeded with a letter to the County Executive about budget recommendations. Minutes indicated those members not in attendance may vote via email with a formal vote at the next meeting after the letter was issued. The Council is out of compliance with their Bylaws on this issue.

The following chart lists related Organizational Standards and the compliance status for each over the past two years. Standards are indicated by MET or NOT MET status, with comments as applicable.

Organizational Standard	FFY16	FFY17	Comments
1.3	The department 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.		
	Met	Met	
3.5	The tripartite board/advisory body formally accepts the completed community assessment.		
	Met	Met	
4.1	The tripartite board/advisory body has reviewed the department's mission statement within the past 5 years and assured that: 1. The mission addresses poverty; and 2. The organization's programs and services are in alignment with the mission.		
	Met	Met	
4.2	The department's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.		
	Met	Met	
4.4	The tripartite board/advisory body receives an annual update on the success of 8 specific strategies included in the Community Action plan.		
	Met	Met	
5.1	The department's tripartite board/advisory body is structured in compliance with the CSBG Act, by either: 1. Selecting the board members as follows: *At least one third democratically-selected representatives of the low-income community; *One-third local elected officials (or their representatives); and *The remaining membership from major groups and interests in the community. OR 2. Selecting the board through another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.		
	Not Met	Not Met	
5.2	The department's tripartite board/advisory body either has: 1. 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, or 2. Another mechanism specified		



	by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.		
	<b>Met</b>	<b>Met</b>	
5.4	The department documents that each tripartite board/advisory body member has received a copy of the governing documents, within the past 2 years.		
	<b>Met</b>	<b>Met</b>	
5.5	The department's tripartite board/advisory body meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its governing documents.		
	<b>Met</b>	<b>Met</b>	
5.6	Each tripartite board/advisory body member has signed a conflict of interest policy, or comparable local government document, within the past 2 years.		
	<b>Met</b>	<b>Met</b>	
5.7	The department has a process to provide a structured orientation for tripartite board/advisory body members within 6 months of being seated.		
	<b>Met</b>	<b>Met</b>	
5.8	Tripartite board/advisory body members have been provided with training on their duties and responsibilities within the past 2 years.		
	<b>Met</b>	<b>Met</b>	
5.9	The department's tripartite board/advisory body receives programmatic reports at each regular board/advisory meeting.		
	<b>Met</b>	<b>Met</b>	
6.1	The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years. If the department does not have a plan, the tripartite board/advisory body will develop the plan.		
	<b>Not Met</b>	<b>Met</b>	
6.5	The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.		
	<b>Met</b>	<b>Met</b>	
7.4	The department follows local government procedures for performance appraisal of the department head.		
	<b>Met</b>	<b>Met</b>	
7.5	The compensation of the department head is made available according to local government procedure.		
	<b>Met</b>	<b>Met</b>	
7.7	The department provides a copy of any existing local government whistleblower policy to members of the tripartite board/advisory body at the time of orientation.		
	<b>Met</b>	<b>Met</b>	
8.2	The department follows local government procedures in addressing any audit findings related to CSBG funding.		
	<b>Met</b>	<b>Not Met</b>	
8.3	The department's tripartite board/advisory body is notified of the availability of the local government audit.		
	<b>Met</b>	<b>Not Met</b>	
8.4	The department's tripartite board/advisory body is notified of any findings related to CSBG funding.		



	Met	Not Met	
8.7	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.		
	Met	Met	
8.9	The tripartite board/advisory body has input as allowed by local governmental procedure into the CSBG budget process.		
	Met	Met	
9.3	The department has presented to the tripartite board/advisory body 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.		
	Met	Met	

## B. Planning

**CSBG Act Reference** - Public Law 105-285. Sections 676(b)(11), 676B(a)(1), and 676B(b)(2).

**IM #82**

**Organizational Standards Reference** – Standard 6.1 – 6.5. Other associated standards: 1.2, 3.1 – 3.5, 4.1 – 4.4

☒ Agency Mission, Vision, Values

☒ Community Assessment and Strategic Planning

Compliance	Yes	No
The CAA has a mission statement that addresses poverty. The Board has reviewed the mission statement within the past 5 years. The CAA's programs and services are in alignment with the mission.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
-The department conducted or was engaged in a community assessment and issued a report within the past 3 years, if no other report exists.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
-The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the board/advisory body within the past five years.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Board helps the agency/department a) identify broad goals and results it hopes to achieve through its work among low-income individuals and families, and within the community being served; b) mobilize and array programs and activities, both within and outside the agency, to achieve those goals and results; and c) establish and maintain procedures for gathering and presenting information on goals and results for agency and Board use.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The CAA completes an annual Community Action Plan that include annual goals/targets.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Progress on achieving goals/targets is tracked throughout the year.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

## Comments/Notes

- The mission statement is within the bylaws; last revised Jan 2013.
- A Community Needs Assessment will be conducted this year for publication in 2019. An RFP will be released later this year for a consultant.
- The first strategic plan was conducted in 2017. Admittedly it was put together primarily in order to meet organizational standards. Looking to review and update it annually.
- The Human Services Specialist embraced the new performance framework and really worked with all divisions to identify appropriate NPIs and community initiatives for all.



The following chart lists related Organizational Standards and the compliance status for each over the past two years. Standards are indicated by MET or NOT MET status, with comments as applicable.

Organizational Standard	FFY16	FFY17	Comments
1.2	The department analyzes information collected directly from low-income individuals as part of the community assessment.		
	Met	Met	
3.1	The department conducted or was engaged in a community assessment and issued a report within the past 3 years, if no other report exists.		
	Met	Met	
3.2	As part of the community assessment, the department collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).		
	Met	Met	
3.3	The department collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.		
	Met	Met	
3.4	The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.		
	Met	Met	
3.5	The tripartite board/advisory body formally accepts the completed community assessment.		
	Met	Met	
4.1	The tripartite board/advisory body has reviewed the department's mission statement within the past 5 years and assured that: 1. The mission addresses poverty; and 2. The organization's programs and services are in alignment with the mission.		
	Met	Met	
4.2	The department's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.		
	Met	Met	
4.3	The department's Community Action plan and strategic plan document the continuous use of the full Result Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the department documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.		
	Met	Not Met	
4.4	The tripartite board/advisory body receives an annual update on the success of 8 specific strategies included in the Community Action plan.		
	Met	Met	
6.1	The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years. If the department does not have a plan, the tripartite board/advisory body will develop the plan.		
	Not Met	Met	



6.2	The approved strategic plan, or comparable planning document, addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.		
	Met	Met	
6.3	The approved strategic plan, or comparable planning document, contains family, agency, and/or community goals.		
	Met	Met	
6.4	Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process, or comparable planning process.		
	Not Met	Met	
6.5	The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.		
	Met	Met	

## C. Evaluation

**CSG Act Reference** - Public Law 105-285. Section 678E and Section 676(b)(12).

### Grant terms and conditions

**Organizational Standards Reference** – Standards 9.1 – 9.4. Other associated standards: 1.3, 4.3, 4.4, 6.5, 7.9, and 8.7.

☒ ROMA Implementation (Board and staff) on an agency-wide basis as a framework for sound management

☒ Agency outcomes and performance measures

☒ Reporting to funders and to the Board of Directors

☒ Government Performance and Results Act (GPRA) implementation

Compliance	Yes	No
The CAA submits its Community Action Plan and associated progress report in a timely manner.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The CAA submits its Annual Report in a timely manner.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The CAA submits its Organizational Standards Self-Assessment in a timely manner.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Based on the reports submitted to CSBG State Office, does the agency/department demonstrate that they understand National Performance Indicators (NPIs)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Information system technology: Does agency/department have an integrated, effective, technically proficient information management system/data base from which data is easily entered and accurate reports generated?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does the CAA have either a Certified ROMA Trainer or Implementer on staff? If not, does the agency/department have documentation showing outside ROMA Trainer/Implementer services were utilized?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Results Oriented Management and Accountability concepts are evident in agency planning and assessment process. NOTE: ROMA verification form under Standard 4.3 useful to verify compliance	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the agency/department collect customer/client satisfaction data?	N/A	
The agency/department sets targets, analyzes outcomes and makes operational or strategic program adjustments and improvements identified as necessary.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

## Comments/Notes

- The department utilizes many different databases, dependent on the program. Many of the subcontractors input directly into corresponding system with oversight/access by department staff. Because multiple systems are used, a metrics with various assumptions has been established on how to report unduplicated clients for the year.



Unduplicated client count definitively unduplicated but likely low given they are not adding in those they cannot definitively verify as unduplicated.

- Tyler Verda, Human Services Specialist, is the Certified ROMA Implementer.
- ROMA – Used in working through the new performance framework. Educating staff about the value of collecting and reporting data. Data used to inform advocacy, public awareness and grant writing. Use of data when updating the strategic plan and Community Needs Assessment. Management Team and Division Head meetings held monthly. Countywide initiative to incorporate LEAN management practices. Recently reviewed contracts to ensure standardized language.
- Because CSBG funds are used only to pay for staff structure and administration within the division, collecting customer/client satisfaction is not applicable to this CAA.

## Supplemental discussion topics about ROMA

- Performance Management and Improvement System: Does CAA have specific measures they track over time to assess their progress and success? What is measured – outputs or outcomes? Is financial and program data linked?
- Information and Knowledge management: Does the CAA's info management system ensure that staff has ready, reliable and accurate information for the decision making process?
- Does the CAA systematically assess, track and report staff feedback over time, including staff turnover, professional development, and satisfaction?
- Does the CAA regularly assess and improve internal administrative, operations and work processes?
- Does the CAA regularly assess and track the impact/benefits of partnerships?
- Does the CAA collect, track and report feedback from customers, community residents and other stakeholders, including funders? Is this information used to improve programs and services it operates?

The following chart lists related Organizational Standards and the compliance status for each over the past two years. Standards are indicated by MET or NOT MET status, with comments as applicable.

Organizational Standard	FFY16	FFY17	Comments
1.3	The department 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.		
	<b>Met</b>	<b>Met</b>	
4.3	The department's Community Action plan and strategic plan document the continuous use of the full Result Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the department documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.		
	<b>Met</b>	<b>Not Met</b>	
4.4	The tripartite board/advisory body receives an annual update on the success of 8 specific strategies included in the Community Action plan.		
	<b>Met</b>	<b>Met</b>	
6.5	The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.		



	Met	Met	
7.9	The department conducts or makes available staff development/training (including ROMA) on an ongoing basis.		
	Met	Met	
8.7	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.		
	Met	Met	
9.1	The department has a system or systems in place to track and report client demographics and services customers receive.		
	Met	Met	
9.2	The department has a system or systems in place to track family, agency, and/or community outcomes.		
	Met	Met	
9.3	The department has presented to the tripartite board/advisory body 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.		
	Met	Met	
9.4	The department submits its annual CSBG Information Survey data report and it reflects client demographics and CSBG-funded outcomes.		
	Met	Met	

## D. Partnerships

**CSBG Act Reference** - Public Law 105-285. Sections 672(2)(c), 676(b)(5),(6)(9) and 676G(b)

**Grant terms and conditions**

**Organizational Standards Reference** – Standard 2.1-2.3.

☒ Coordination/collaboration/linkages with relevant partners

☒ Subgrantees/delegates

Compliance	Yes	No
There are formal and informal agreements with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups and community organizations.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The CAA is involved in community-building or community organizing activities.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Coordinate and establish linkages between:		
a) employment and training activity entities providing services through statewide and local workforce investment systems under the Workforce Investment Act of 1998.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b) antipoverty programs, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c) coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.	<input checked="" type="checkbox"/>	<input type="checkbox"/>



Does the organization inform custodial parents in single-parent families that participate in CSBG-funded activities, about the availability of child support services, and refer eligible parents to the appropriate state and local support service offices?	N/A	
The CAA subcontracts part or all of its CSBG funds.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
a) Subcontracts are on file.	N/A	
b) Proof of insurance is on file for all Subcontracts.	N/A	
c) The CAA has evidence that they monitor subcontract activities. [OMB A-110, Sec. 51(a)]	N/A	
The agency/department is registered and displays Washington 2-1-1 information & referral phone number.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is the agency/department website current?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the agency collaborate with law enforcement?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

## Comments/Notes

- MOUs in place with cities for CDBG funds.
- Many partnerships around opioid abuse to include the sheriff, EMS, cities, human services department, health district, law enforcement, county council. Opioid Response Multi-Agency Coordination Group meets monthly.
- Partnerships to end homelessness – Continuum of Care (CoC) funding. Largest source of HUD funding. Homeless youth, religious organizations, state offices.
- Many advisory boards under the human services department.
- Contracts with six cities that have embedded social work programs to provide first responder flex funds.
- Homeless housing/rapid reemployment. Employment navigators provide services tailored to housing clients. Young stages of development; started with Bill and Melinda Gate Foundation money. Continue to look for ways to improve program and systems.
- 211 is the coordinated entry system; schedule appointment with homeless housing navigator who performs assessment and screening.
- Website is constantly updated. List serve under Office of Community Services provides daily communication.
- Because CSBG funds are used only to pay for staff structure and administration within the division, informing single-parent families about the availability of child support services and referring eligible parents to the appropriate state and local support service offices is not applicable to this CAA.

The following chart lists related Organizational Standards and the compliance status for each over the past two years. Standards are indicated by MET or NOT MET status, with comments as applicable.

Organizational Standard	FFY16	FFY17	Comments
2.1	The department has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.		
	Met	Met	
2.2	The department 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.		
	Met	Met	



2.3	The department communicates its activities and its results to the community.		
	Met	Met	

## E. Administrative systems and procedures

**CBSG Act Reference - Public Law 105-285. Sections Sec 678D and 678F**

**Grant terms and conditions**

**Organizational Standards Reference – Standards 2.4, 7.1-7.9.**

☒ HR & personnel policies

☒ Records retention

☒ Technology implementation and planning

☒ Equipment and purchasing

☒ Conflict resolution and grievance procedures

☒ CSBG Assurances and Prohibitions

☒ Review pending and past litigation

Compliance	Yes	No
Hours of operation:	8 am – 5pm	
Does the CAA have a 24-hour phone message appropriately addressing after hours service?	N/A – 211 utilized	
Are all client service locations, services provided, and hours of operation accessible to persons with disabilities (to the extent feasible)?	N/A – no direct service	
Has the agency/department taken appropriate steps to address language barriers with the clientele in their service area?		
The department serves the entire county/city.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the agency/department take appropriate steps to ensure privacy and confidentiality of client information, such as secure files, confidentiality policies, private consultation space, etc.?	N/A – no direct service	
How many staff does the agency/department employ?	215	
Are regular employee evaluations performed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are periodic salary surveys conducted?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does agency/department have policies that support professional development?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is there a process for employee grievances/complaints?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are there any pending or recent (within the past 3 years) lawsuits? Does/Did the lawsuit involve any CSBG funds?	Not within the department – unknown countywide	
Is the CAA part of any coordinated disaster response for the community?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Review monitoring reports from at least two other funding sources.		
a) Were findings issued?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b) If so, have findings been adequately addressed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Client Files (for programs funded with CSBG)	Yes	No
Are files maintained for each person and/or family served?	N/A – no direct service	
Do client files contain information regarding types of assistance and dates of services provided?		
Does the CAA refer clients to other programs in the community when services required are beyond the agency's scope? Are those referrals documented?		



Is there evidence that applicants are informed of program specific grievance procedures if services are denied?

## Client File Review for program(s) supported with CSBG funds

ID designation	Program/Service	Eligibility (125% FPL or below)	Comments
No direct services provided; no client files to review			

## Personnel Review

ID designation	Job Description	Personnel Policies received	Time sheets signed by supervisor	Performance Evaluation	Criminal Hx background check
M.J.V.	x	x	x	x	x
D.T.	x	x	x	x	x
T.V.	x	x	x	NO	x

## Comments/Notes

- County HR performs salary surveys, not specifically within departments.
- Use of Continuous Learning Center for all employees. Optional training available as well as required courses.
- Employee complaint form completed and submitted to the director and union.
- New employee orientation folder.
- The department assists with Emergency Support Function support for Human Service Response – shelter, housing, mental health services. Assistance provided with both immediate and long-term needs. Resiliency work for families and communities.
- Monitoring reports from U.S. Department of Housing and Urban Development from June 2016 and May 2017 were reviewed. One finding and several concerns were noted and adequately addressed.

The following chart lists related Organizational Standards and the compliance status for each over the past two years. Standards are indicated by MET or NOT MET status, with comments as applicable.

Organizational Standard	FFY16	FFY17	Comments
2.4	The department documents the number of volunteers and hours mobilized in support of its activities.		
	Met	Met	
7.2	The department follows local governmental 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.		
	Met	Met	
7.3	The department has written job descriptions for all positions. Updates may be outside of the purview of the department.		
	Met	Met	
7.4	The department follows local government procedures for performance appraisal of the department head.		
	Met	Met	



7.5	The compensation of the department head is made available according to local government procedure.		
	Met	Met	
7.6	The department follows local governmental policies for regular written evaluation of employees by their supervisors.		
	Met	Met	
7.7	The department provides a copy of any existing local government whistleblower policy to members of the tripartite board/advisory body at the time of orientation.		
	Met	Met	
7.8	The department follows local governmental policies for new employee orientation.		
	Met	Met	
7.9	The department conducts or makes available staff development/training (including ROMA) on an ongoing basis.		
	Met	Met	

## F. Fiscal procedures

**CSBG Act Reference** - Public Law 105-285. Section 678D and Section 678F.

**IM #81**

**Grant terms and conditions**

**Organizational Standards Reference** – Standards 8.1-8.13.

**Audit and results of previous/other monitoring/fiscal issues**

Compliance	Yes	No
CSBG funds are used for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility. NOTE: These are NOT allowable expenses.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
CSBG funds are used for prohibited activities (partisan or nonpartisan political activity, transportation of voters to the polls, voter registration activity). NOTE: These are NOT allowable activities.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
The agency/department insurance is current, meets minimum requirements, and is submitted to the Department of Commerce in a timely manner.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The agency/department submits its annual audit to the Department of Commerce in a timely manner (no later than nine (9) months after the end of the Grantee's fiscal year).	<input checked="" type="checkbox"/>	<input type="checkbox"/>
a) Are there any outstanding audit findings and if so, are they being actively addressed?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
The agency/department submits expenditures in line with its State/Federal budget.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The agency/department stays below the targeted 16% in administrative costs. *Check against IS report and/or closeout reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the CAA have verification that a pro rata share of clients (at or below 125% of the HHS Poverty Guidelines) that received the CSBG co-funded program or service was equivalent to, or greater than, the percentage of CSBG program funds co-funding the program or service?	N/A – no direct service	

Grant	Month	Comments
FFY16	June 2017	This was the last month CSBG funds were contracted out. Back up documentation was provided through Volunteers of America for the use of Flex Funds. Internal staff and admin costs verified as well.



FFY17	April 2018	Internal staff and admin costs verified.
SFY18	Nov 2017	Internal staff and admin costs verified.
FFY18	N/A	No invoices to date under this grant.

## Comments/Notes

- Direct and admin staff allocated based on actual work. As of April 2018, direct staff time is not only billed to CSBG for actual time worked, but to specific expenditure domains as applicable.
- Administrative costs run approximately 10%.

The following chart lists related Organizational Standards and the compliance status for each over the past two years. Standards are indicated by MET or NOT MET status, with comments as applicable.

Organizational Standard	FFY16	FFY17	Comments
8.1	The department's annual audit is completed through the local governmental process in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements. This may be included in the municipal entity's full audit.		
	<b>Met</b>	<b>Not Met</b>	
8.2	The department follows local government procedures in addressing any audit findings related to CSBG funding.		
	<b>Met</b>	<b>Not Met</b>	
8.3	The department's tripartite board/advisory body is notified of the availability of the local government audit.		
	<b>Met</b>	<b>Not Met</b>	
8.4	The department's tripartite board/advisory body is notified of any findings related to CSBG funding.		
	<b>Met</b>	<b>Not Met</b>	
8.7	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.		
	<b>Met</b>	<b>Met</b>	
8.9	The tripartite board/advisory body has input as allowed by local governmental procedure into the CSBG budget process.		
	<b>Met</b>	<b>Met</b>	
8.13	The department follows local governmental policies for document retention and destruction.		
	<b>Met</b>	<b>Met</b>	



## Community Services Block Grant (CSBG) Monitoring Summary

### Monitoring Findings that require a corrective action plan:

*Monitoring Finding is a term used to describe a lack of compliance with a significant contractual requirement. A Quality Improvement Plan is required to be completed and submitted within 30 days of receipt of the final Monitoring Report.*

None

### Discrepancies that require a corrective action plan:

*Discrepancy is a term used to describe an instance of non-compliance with a contractual or programmatic requirement that in the monitor's judgement does not warrant a Monitoring Finding. A Quality Improvement Plan is required to be completed and submitted within 30 days of receipt of the final Monitoring Report.*

- 1) The Council is not currently in tripartite compliance, and as indicated by Organizational Standard 5.1, has been out of compliance for the past two years.  
*NOTE:* This issue would have been listed as a finding given it is a requirement of the CSBG Act. However, because department staff provided recent documentation on efforts to recruit low-income representatives, it is listed as a discrepancy.
- 2) Article IV, Section 1, B.2. of the Bylaws states, "Elected public officials currently holding office or their representatives, or appointive public officials if there are not enough elected officials available; members of this sector shall be termed Elected Official Representative." This does not meet the CSBG Act requirement as it potentially allows for less than one-third from the elected official sector. Amend language to ensure one-third of the Board shall represent the elected official sector.

### Recommendations:

*Recommendation is a notice of the existence of an inefficient activity or process, or lack of a useful policy, activity or process. No formal response is required.*

- 1) Article IV, Section 1 of the Bylaws states, "The Advisory Council shall make efforts to have each County Council legislative district represented through membership and shall consist of at least 12 and not more than 24 members." It is recommended that the Council either come into compliance with membership or amend the bylaws to reduce the number of members required.
  - Resource - [CSBG Information Memorandum 182 – Tripartite Boards](#)
- 2) Article IV, Section 7, A. of the Bylaws states, "Upon missing two (2) consecutive meetings without at least one excused absence, the Advisory Council member will be notified in writing that his or her membership is in jeopardy and that failure to appear at the next meeting will result in his or her position being declared vacant." It is recommended that the Council either come into compliance with recall or amend the bylaws so that recall is an option rather than required.
- 3) Article VIII, Section 1, B. of the Bylaws states, "The Executive Committee shall take actions that are consistent with policies and positions already established by the Advisory Council. In emergencies, the Executive Committee is authorized to make decisions to take action when there is not time to assemble the full Advisory Council. Any decisions or actions taken by the Executive Committee must come before the full Advisory Council for ratification. The Executive Committee is empowered to advise the Department on such policy or program matters as may be delegated. The Advisory Council Chairperson shall serve as Chairperson for the committee." It is recommended that the Council utilize this option for taking action on time sensitive issues when there is not a quorum present at the regular meeting.
- 4) Utilize the established democratic selection process for all low-income sector Board positions consistently and maintain records of such process in corresponding Board member files.



- 5) Ensure employee performance evaluations are completed in a timely manner according to department policy.

### Strengths or exemplary actions:

*Actions of compliance or performance beyond contractual or legal requirements; best practices.*

- 1) The Bylaws allow for child care, transportation and parking costs to be reimbursed to low-income individuals on a case by case basis as a means of reducing barriers that might inhibit or prevent said members for participating on the Council.
- 2) Council meetings are very well documented in the minutes. Information is clear and easy to read and follow.
- 3) Direct staff time is not only billed to CSBG for actual time worked, but to specific expenditure domains as applicable.

### Additional comments, as applicable:

- 1) The work of the Snohomish County Human Services Department in the opioid epidemic is noteworthy. In fact, their efforts were included in both the federal House and Senate testimony provided by National Association for State Community Services Programs Executive Director in support of FY2019 CSBG appropriations.
- 2) Because CSBG funds are used only to pay for staff structure and administration within the division, collecting customer/client satisfaction is not applicable to this CAA. Please note, however, that having subcontractors collect customer satisfaction information would be considered a best practice.
- 3) Because CSBG funds are used only to pay for staff structure and administration within the division, informing single-parent families about the availability of child support services and referring eligible parents to the appropriate state and local support service offices is not applicable to this CAA. Please note, however, that having subcontractors do this would be considered a best practice.

## Process Improvement Feedback

CAA staff and Board members are encouraged to provide feedback based on their experience during the on-site CSBG Monitor process. The goal of the State CSBG Office is to make the overall monitoring process efficient and effective for your agency/department and Governing/Advisory Board while evaluating systems and programs to ensure federal and state compliance. Should you have any questions or concerns, please contact Karen Dunn, CSBG Program Manager (contact information provided below).

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