

# Technical Assistance Guide Category Four: Organizational Leadership



*Presented by:*

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# Agenda

- Overview of the TA Guide
- Guidance on conducting the review process
- Discussion of Standards 4.1-4.6
- Questions

# Overview of TA Guide Structure

Purpose is to:

- Assist with definition, intent, and documentation of the Standards
  - Section A covers definition and intent
  - Section B covers interpretation and documentation
- Provide resources to go “beyond compliance”
  - Section C provides diagnostic questions
  - Section D provides resources

# Category Four: Leadership

## Considerations for the review process

- Make sure the review process for Category Four is connected to reviews for other standards
- Look for opportunities to connect the review process into ongoing agency activities
- Consider including a team of staff
- Ensure all staff know how to assess compliance
- Use uniform documentation processes
- Set up a process for managing recommendations
- Ensure uniform processes for archiving reviews

# Category Four: Leadership

Options for going “beyond compliance”:

- Short discussion of strengths and opportunities for improvement
- Review of resource materials (e.g. guides, case studies)
- Interviews/focus group with key staff
- Interviews/focus group with outside partners and experts

## Standard 4.1

The governing board has reviewed the organization'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.

# A. Guidance on the Definition and Intent of the Standard

- Guiding principle for all nonprofits
- Does not have to include the specific term “poverty”
- 5 year requirement meant to align with the Strategic Planning Standards
- Help limit the potential for mission drift

## B. Guidance on Compliance and Documentation

- The review of the mission is “in process” at the time of review
- The board has reviewed the mission, but has not addressed alignment with programs and services

# B. Guidance on Compliance and Documentation Cont...

- Documentation should address all three requirements
  - Within the past 5 years
  - Addresses poverty
  - Programs and services in alignment with mission
- Could include:
  - Minutes from board meeting or retreat
  - Strategic Plan that includes the mission statement, the process of review and other comments
  - Mission statement with board review date noted

# C. Beyond Compliance: Benchmarking Organizational Performance

- Does your agency have written policies and procedures in place to structure your mission review process?
- Is your mission infused into all aspects of agency operations?
- Is your mission a factor in the decision-making process at your organization?

## D. Resources

- Module 2 in the ROMA curriculum – The Agency’s Mission
- *How to Create an Effective Non-Profit Mission Statement*, Harvard Business Review

## Standard 4.2

**The organization's Community Action Plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.**

# A. Guidance on the Definition and Intent of the Standard

- CSBG Act – “an assurance that the State will secure from each eligible entity in the state, as a condition to receipt of funding by the entity through a community services block grant made under this chapter for a program, a community action plan ... that includes a community-needs assessment for the community served...”
- Three elements – outcome-based (focused on outcomes or changes in status), anti-poverty focused (requirements and uses of CSBG); tied to the community assessment (CSBG Act cited above)
- State defines the template/format for your Community Action Plan so you may see changes to make sure that all three elements are readily identifiable

## B. Guidance on Compliance and Documentation

- The format prescribed by the State CSBG Lead Agency does not easily identify the three elements
- The agency's Community Action Plan only addresses one or two of the three requirements
- Developing a common understanding of "outcome-based"

# Guidance on Compliance and Documentation Cont...

- Documentation must show all three elements
- Could include:
  - Community Action Plan
  - Logic Model
  - Community Assessment

# C. Beyond Compliance: Benchmarking Organizational Performance

- Is the process to create the Community Action Plan tightly connected to the Community Assessment and Strategic Plan?
- Are staff from different parts of the agency engaged in the development of the Community Action Plan?

# D. Resources

- Information Memorandum 49 *Program Challenges, Responsibilities and Strategies*
- Any State templates or guidelines

## Standard 4.3

The organization's Community Action Plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.

# A. Guidance on the Definition and Intent of the Standard

- Implementation of the full ROMA cycle including consultation with a Certified ROMA trainer
- *IM 49* – ROMA is how we answer “Why are we here, who are we helping, what are we helping them to become, and how will we know and describe success, both theirs and ours?”
- About how we as Community Action do business – not about ROMA training or having a ROMA trainer on staff

## B. Guidance on Compliance and Documentation

- All elements of the ROMA cycle (assessment, planning, implementation, achievement of results, and evaluation) are not complete at the time of the review

## B. Guidance on Compliance and Documentation Cont...

- Documentation must include both parts – full ROMA cycle and consult with a certified ROMA trainer
- Documentation could include:
  - Documentation tool or other narrative speaking to the full ROMA cycle and the involvement of a certified ROMA trainer
  - Agreement with a ROMA trainer
  - Meeting summaries with trainer

# C. Beyond Compliance: Benchmarking Organizational Performance

- Does your CAA have a ROMA trainer on staff and encourage staff to become ROMA trainers?
- Are ROMA principles applied at the program and the front line levels of the agency?

# D. Resources

- IM 49
- *Improving Performance, Scoring Success: Using Balanced Scorecards for Organizational Excellence* – planning and outcome management process using all five stages of the ROMA cycle to create a scorecard
- *Utilizing a Strengths-Based Approach to Implement ROMA Throughout the CAA* – discussion of a “results orientation” at all levels of the CAA by using strengths-based practices

STANDARDS



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**Documenting  
 Standard 4.3**

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# D. Resources Cont...

<b>Name of Certified ROMA Trainer</b>	
<b>Relationship of Trainer to CAA (On staff, consultant, State Association, Other)</b>	
<b>Type of Interaction (in person or by phone/web meeting)</b>	
<b>Date(s) of Interaction</b>	
<b>Brief Description of Interaction</b>	

	Community Assessment	Strategic Plan	Agency Rep
Assessment			
Planning			
Implementation			
Achievement of Results			
Evaluation			

## Standard 4.4

The governing board receives an annual update on the success of specific strategies included in the Community Action Plan.

# A. Guidance on the Definition and Intent of the Standard

- CSBG Act as noted in 4.2
- IM 49 – “entity and its board complete regular assessment of the entity’s overall mission, desired impact(s) and program structure...”
- CSBG Act – tripartite boards must “fully participate in the development, planning, implementation, and evaluation of the program to serve low-income communities”
- IM 82 – “boards should request, and be provided with, information concerning actual changes or improvements that have occurred among clients and the community as a result of agency assistance. To determine the relative ‘success’ of the agency, its staff and programs, boards may compare the nature and level of these outcomes with performance expectations, or targets, which were developed during the agency’s planning cycle.

# B. Guidance on Compliance and Documentation

- What qualifies as “updated”?
- The update is “in process” at the time of assessment

# B. Guidance on Compliance and Documentation Cont...

- Documentation could include:
  - Board minutes showing the date that the update was given to the board
  - Board packet with any reports, materials given, or time on the agenda for updates
  - Report or update document

# C. Beyond Compliance: Benchmarking Organizational Performance

- Does your CAA have written policies and procedures in place for the Community Action Plan?
- Does your CAA have a process to review the Community Action Plan more frequently at the board level?
- Are your Community Assessment, Community Action Plan, and strategic plan clearly connected?

# D. Resources

- IM 49
- IM 82

## Standard 4.5

The organization has a written succession plan in place for the CEO/ED, approved by the governing board, which contains procedures for covering an emergency/unplanned, short-term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.

# A. Guidance on the Definition and Intent of the Standard

- 4 parts
  - Covers the CEO/ED position
  - Approved by the governing board
  - Covers unplanned short absence
  - Process for filling a permanent vacancy
- Risk management strategy
- Typically a plan names interim leader(s), locations of critical organizational documents, communication plan, important contacts
- Typically a policy does not name individuals but articulates the process for the board to follow to fill a vacancy at the CEO/ED position

## B. Guidance on Compliance and Documentation

- The agency only has some of the elements of a succession plan in place.
- The board has not approved the succession plan.

## B. Guidance on Compliance and Documentation Cont...

- Documentation must include all elements as well as show board approval
- Documentation could include:
  - Succession plan/policy **AND**
  - Board meeting minutes showing approval through a formal mechanism such as a vote or resolution

# C. Beyond Compliance: Benchmarking Organizational Performance

- Has your succession plan been reviewed and/or refreshed recently?
- Are the key tenets of your succession plan communicated?
- Are other key positions in your agency also covered by succession plans?
- Is succession planning built into a conscious leadership development process

# D. Resources

- *Preparing for Your Community Action Agency's Future: Sustainability, Succession & Transition – Part 2 Executive Succession Planning Guide* focuses on “succession essentials” – getting a backup plan in place and a board policy for vacancies with a step-by-step process and templates
  - *Accompanying webinar*
- *Batter Up! Building Your Leadership Bench* – guide for structuring a leadership development program, inclusive of succession planning
  - *Accompanying webinars*
- *Infographic on Succession Planning* from Nonprofit Risk Management Center

## Standard 4.6

**An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.**

# A. Guidance on the Definition and Intent of the Standard

- Risk management is how we deal with uncertainty, which begins with identification and assessment of potential risks
- IM 112 – specifically requires a certification of a risk assessment for receipt of ARRA funds, but the importance of risk assessment and the principles articulated are still important
- CSBG is an agency-wide perspective so Standard 4.3 requires “organization-wide” and “comprehensive”

## B. Guidance on Compliance and Documentation

- The risk assessment or timing of report to the governing board is “in process” at the time of assessment
- The agency conducted risk assessment for some but not all areas of management and operations.
- The risk assessment is a collection of assessments, not a singular process.
- The risk assessment was made available, but not reported to the board.

## B. Guidance on Compliance and Documentation Cont...

- Documentation must demonstrate two items - that an assessment was conducted in the prescribed time frame and that it was reported to the governing board
- Documentation could include:
  - Reports from the risk assessment (if the CAA feels it should share), policies and procedures for risk assessment, or listing of elements included **AND**
  - Board meeting minutes showing date and that the risk assessment was discussed

# C. Beyond Compliance: Benchmarking Organizational Performance

- Does the agency have written policies and procedures for conducting the risk assessment?
- Does your agency have a committee with responsibility for the risk assessment?
- Does your agency continually assess risk to your organization?
- Does your agency have an overall risk management plan?

# D. Resources

- My Risk Assessment – customized tool from Community Action Partnership and Nonprofit Risk Management Center that has assessment questions, and automates a report with recommendations
  - Archived webinar on accessing the above “My Risk Assessment” tool and other resources available through the Nonprofit Risk Management Center
- Two part webinar series on conducting a risk assessment using the above “My Risk Assessment” tool and what to do with your results
- *Organizational Self-Assessment for Risk Mitigation* webinar from 2014

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