

# Technical Assistance Guide Category Seven: Human Resource Management



*Presented by:*

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# Agenda

- Overview of the TA Guide
- Guidance on conducting the review process
- Discussion of Standards 7.1-7.9
- 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 best practices and diagnostic questions
  - Section D provides resources

# Category Seven: Human Resource Management

## Considerations for the review process

- Make sure the review process for Category Seven 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 Seven: Human Resource Management

Options for going “beyond compliance”:

- Short discussion of strengths and opportunities for improvement
- Review of resource materials (e.g. guides, examples of other HR policies, procedures and template/tools)
- Interviews/focus group with key staff
- Interviews/focus group with outside partners and experts

# Three Types of Standards

HR Policies & Procedures	Effective HR Governance	Effective HR Management
7.1	7.4	7.3
7.2	7.5	7.6
7.7		7.8
		7.9

# Standards Related to HR Policies & Procedures

Standards 7.1 – 7.2, 7.7

# Standard 7.1

**The organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.**



# 7.1 Definition and Intent

- Personnel Policies are also known as an Employee Handbook (they are the same)
- Personnel Policies are those policies and procedures that apply to all staff, and are written and edited in a straightforward layout
- Policies need to be comprehensive to cover changing and diverse HR law and regulations
  - The Department of Labor (DOL)
  - Office of Management and Budget (OMB)
  - Your State
  - Society for Human Resource Management (SHRM)

# 7.1 Definition and Intent

- Seeks to ensure uniformity for when and how Personnel Policies are reviewed, updated and approved in CEEs. Sets the maximum time to update at 5 years
- Personnel Policies are the foundation of strong HR management and reflect the values and expectations of the agency and the Community Action Network

# 7.1 Guidance on Documentation

- Physical or electronic copy of the Personnel Policies
  - No specific list of policies required
- In process policy and/or procedure updates

And

- Board minutes
- Board resolutions
- A statement or invoice from the reviewing attorney

# Standard 7.2

The organization makes available the employee handbook (or personnel policies in cases without a handbook) to all staff and notifies staff of any changes.

# 7.2 Definition and Intent

- What qualifies as “makes available”?
  - State by State
  - Posted online or provided directly
  - Acknowledgement signature
- What qualifies as “notifies staff”?
  - State by State
  - Reissued Personnel Policies
  - Communicating specific changes

# 7.2 Guidance on Documentation

- Physical or electronic copy of the Personnel Policies
- The process or procedure document for staff communication (may be included with the handbook/policies)
- Documentation of location and availability of the Personnel Policies
- Examples of agency communication of policy change notification to staff

# Standard 7.7

The organization has a whistleblower policy that has been approved by the governing board.

# 7.7 Definition and Intent

- Encourages individuals to come forward with credible information on illegal practices or violations of adopted policies
- Specifies the organization will protect individuals from retaliation
- Identifies the staff, board members or outside parties for reporting
  - Sarbanes-Oxley



# 7.7 Guidance on Documentation

- Physical or electronic copy of the Whistleblower policy
- Board minutes
- Board resolutions

# Standards Related to Effective HR Governance

## Standards 7.4 – 7.5

# Standard 7.4

The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.

# 7.4 Definition and Intent

- Clarifies expectation of Board to provide HR oversight to its only employee: the CEO/ED
- Board should ensure moral and professional support to further the organization's goals
- Promotes minimum uniform schedule for executive evaluation
- Manages the risk of executive power and control
- Improves quality and efficacy of the Network's leadership and talent
- May be accomplished through committee or full board
- Board should receive and accept the appraisal via vote

# 7.4 Guidance on Documentation

- Board minutes
- Board resolutions
- By-laws or policies/procedures
- Official board communication to the executive
- Blank assessment forms

# Standard 7.5

The governing board reviews and approves CEO/executive director compensation within every calendar year.

# 7.5 Definition and Intent

- Clarifies expectation of Board to provide HR oversight to its only employee: the CEO/ED
- Independently informed and reviewed
- Market-based; allowable and reasonable
- Promotes minimum uniform schedule for executive pay
- Manages the risk of executive power and control
- Includes salary, fringe, health and dental, expense/travel account, vehicle, etc.
- In conjunction with 7.4

# 7.5 Guidance on Documentation

- Board minutes
- Board resolutions
- By-laws or policies/procedures
- Wage comparability study
- Raw market data for compensation comparison
- Official board communication to the executive
- Executive employment contract, if applicable



# Standards Related to Effective HR Management

Standards 7.3, 7.6, 7.8 – 7.9

# Standard 7.3

The organization has written job descriptions for all positions, which have been updated within the past 5 years.

# 7.3 Definition and Intent

- Ensures job direction and accountability
- Connects each job to CEEs mission or purpose
- Leads to improved performance over time
- Reduces risk for compliance/fraud issues
- JDs for each position, not each staff person
- Does not require changes when reviewed
- May include date of last review/update

# 7.3 Definition and Intent

- Should include:
  - Job title
  - Reporting relationship
  - Summary/purpose
  - Essential duties
  - Additional duties
  - Supervisory responsibilities
  - Minimum qualifications
  - KSAs
  - Working conditions
  - EEO/ADA Statements
  - Acknowledgement

# 7.3 Guidance on Documentation

- Organizational chart/staff list
- Job descriptions
- Date of last review/update on JD
- Board or committee minutes noting documents have been reviewed or updated
- Policy and procedure for updating JDs

# Standard 7.6

The organization has a policy in place for regular written evaluation of employees by their supervisors.

# 7.6 Definition and Intent

- Requires a policy in place
- Does not imply 100% of employees must have annual review
- Ensures accountability and improved performance over time
- Improves quality and efficacy of the Network's talent
- Identifies approach to evaluation by all supervisors
- Manages risk of claims or lawsuits

# 7.6 Guidance on Documentation

- Physical or electronic copy of evaluation policy/process/procedure, likely found in personnel policies
- Blank assessment form(s)



# Standard 7.8

All staff participate in a new employee orientation within 60 days of hire.

# 7.8 Definition and Intent

- Ensures smooth transition from hiring process to onboarding and training for **all staff** into the organization and Network
- Serves as first connection of employees to mission/vision
- Drives employee productivity and results, manages expectations, and increases talent retention
- No curricula requirements
- May be met through individual or group orientation
- Date of hire = first day employee works at organization

# 7.8 Definition and Intent

- Examples of orientation content:
  - Mission and history of Community Action
  - Time and effort reporting
  - ROMA
  - Data collection
  - Job description and performance expectations
  - Education and training
  - Tools and resources
  - Personnel policies/employee handbook

# 7.8 Guidance on Documentation

- Physical or electronic copy of personnel policies/employee handbook
- Orientation packet or materials
- Documentation of attendance from HR/personnel files
  - Sign-in sheet
  - Acknowledgement form

# Standard 7.9

**The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.**

# 7.9 Definition and Intent

- Network of CEEs aligned to results and accountability
  - ROMA or comparable system (if used and approved by State)
- Ensures best use of people potential
- Improves quality and efficacy of the Network's talent
- Targeted, efficient use of T&TA funds
- No specific requirements for training topics
- No specific requirements for delivery methods

# 7.9 Definition and Intent

- Examples of training and/or development delivery methods via third party or the agency:
  - In-house
  - Community-based
  - Conference
  - Online
  - Goal development
  - Coaching

# 7.9 Guidance on Documentation

- Training or Professional Development Plans
- Documentation of agency trainings
  - Presentations and other materials provided
  - Evaluations
  - Attendee lists
- Documentation of attendance at offsite training events/conferences
  - Certificate of Participation
  - Presentations and other materials provided
- HR/personnel files



# Beyond Compliance

## Top 3 Best Practices

# Beyond Compliance: HR Policies and Procedures

- Review discipline warnings and compliance documentation over the past 5 years
- Conduct a brief survey or interviews to evaluate the strengths and weaknesses of the personnel policies and related communication
- Ensure your attorney is qualified and/or credentialed

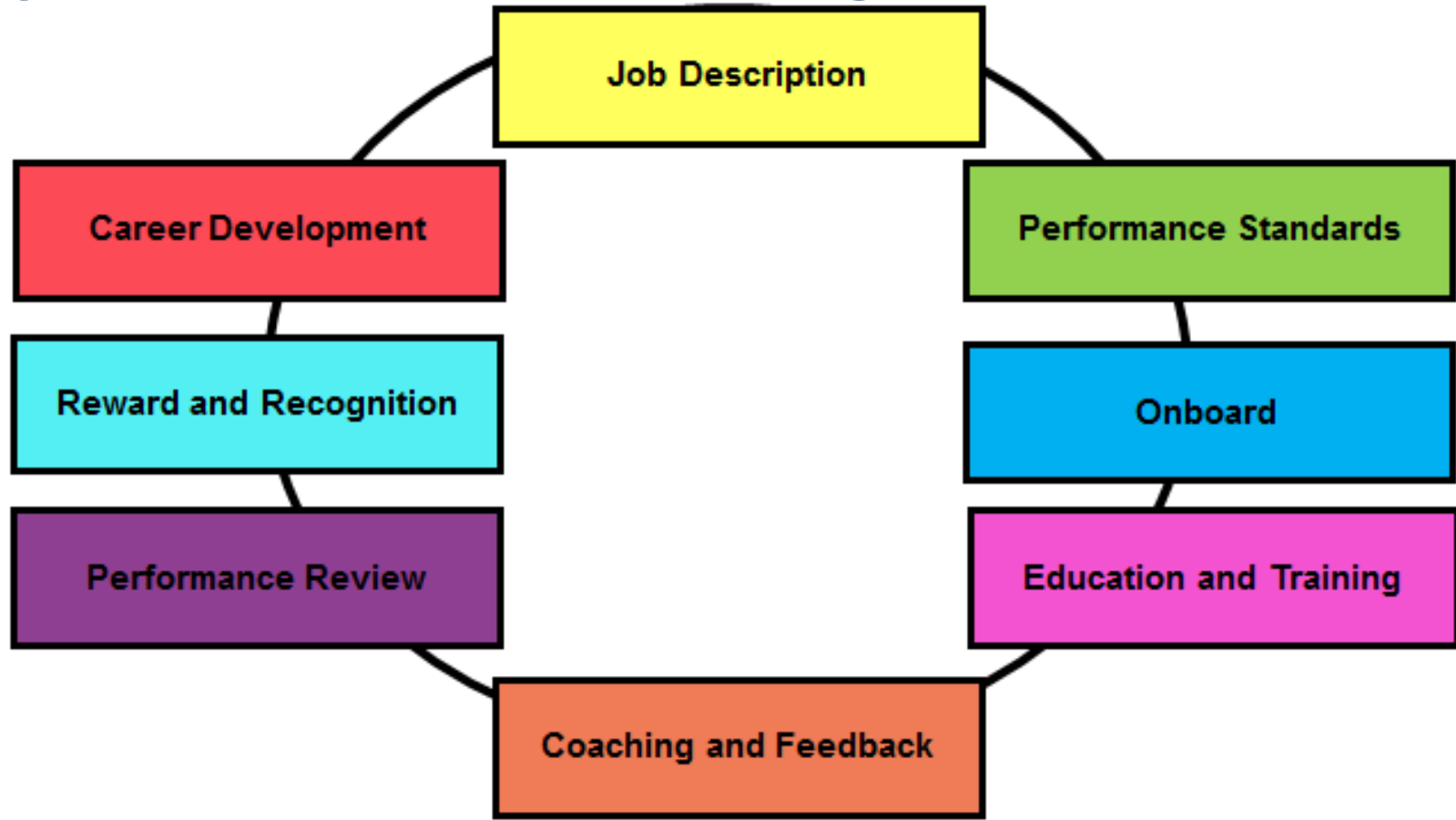
# Beyond Compliance: Effective HR Governance

- Align the executive performance appraisal to the agency's strategic vision and long-range goals
- Gather executive performance feedback from outside the board: community, partners, peers, employees
- Conduct a full wage comparability study for the executive position reflecting the market in which the agency competes

# Beyond Compliance: Effective HR Management

- Design performance management as a process instead of the performance appraisal as an event
- Customize training opportunities to development areas identified in *individual* performance evaluations
- Establish a system of coaching and mentoring vs. managing and discipline

# Successful transitions and improvement over the course of a year; and then throughout a career



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