

# State Administrative Standards

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## Documentation Guide

*The suggested documentation listed in this **DOCUMENTATION GUIDE** provides both the commission and the standards review team members with ideas on what evidence might be provided to show how the commission meets individual elements. While this documentation would generally provide sufficient evidence to address the element, and is typical of documentation provided by commissions in recent reviews, a commission may have other documents that would also be acceptable.*

*References below to **Components Noted** refer to those items listed in the Standards Review Tool under the specific identified standard and element. Commissions and reviewers should therefore also use the Standards Review Tool itself in considering, providing, reviewing, and determining needed or appropriate documentation.*

### **STANDARD 1: Uses a Planning and Assessment Process**

Element	Suggested Documentation
1.a.	<ul style="list-style-type: none"> <li>▪ The mission statement</li> </ul>
1.b.	<ul style="list-style-type: none"> <li>▪ Description of how and when mission statement was developed</li> <li>▪ Evidence of items in <b>Components Noted</b></li> <li>▪ Request to stakeholders for input</li> <li>▪ Copies of input from stakeholders</li> <li>▪ Meeting records and agendas</li> <li>▪ Commission retreat records</li> </ul>
1.c.	<ul style="list-style-type: none"> <li>▪ Evidence of distribution of mission statement</li> <li>▪ Copies of items in <b>Components Noted</b></li> </ul>
1.d.	<ul style="list-style-type: none"> <li>▪ Copy of the state service plan</li> <li>▪ Copy of a strategic plan</li> <li>▪ Request to stakeholders for input</li> <li>▪ Copies of input from stakeholders</li> <li>▪ Records from meetings</li> </ul>
1.e.	<ul style="list-style-type: none"> <li>▪ Evidence of steps taken toward meeting the goals of the plan: e.g. conference material, outreach agendas, workshops, meeting agendas</li> </ul>
1.f.	<ul style="list-style-type: none"> <li>▪ Copy of the most recently submitted new or update of plan</li> <li>▪ CNCS approval/disapproval letter and feedback</li> <li>▪ Any revisions to submitted plan</li> <li>▪ Copies of items in <b>Components Noted</b></li> </ul>
1.g.	<ul style="list-style-type: none"> <li>▪ Copies of minutes or agendas from retreats, meetings, conferences where performance accomplishments against plan were assessed or discussed</li> <li>▪ Copies of performance review forms, indicators, surveys, etc.</li> </ul>
1.h.	<ul style="list-style-type: none"> <li>▪ Evidence of directing or revising goals, strategies or operations</li> <li>▪ Copies of revised plans, strategies or changes in operations</li> </ul>

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### STANDARD 2: Manages Staff and Ensures Effective Board Governance

Element	Suggested Documentation
2.a.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
2.b.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
2.c.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
2.d.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
2.e.	<ul style="list-style-type: none"> <li>▪ Written documentation from appropriate official</li> <li>▪ Evidence this was done within the last year and periodically</li> </ul>
2.f.	<ul style="list-style-type: none"> <li>▪ Copy of a list of commissioner's names, party affiliation and category represented</li> <li>▪ Letter from appropriate official confirming that the political composition of the commission complies with the requirements</li> <li>▪ Recent letter to governor regarding the need for commission appointments with suggested nominees</li> <li>▪ Copy of appointment letters/memoranda</li> <li>▪ Copy of any written waiver by the Corporation</li> <li>▪ Other evidence of items listed in <i>Components Noted</i></li> </ul>
2.g.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Agendas/minutes of board/committee meetings</li> <li>▪ Approval/concurrence with staff recommendations</li> <li>▪ Record of votes for approval of programs and budgets</li> <li>▪ Concurrence with executive director's and other reports</li> </ul>
2.h.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Agenda, minutes from board orientation</li> <li>▪ Commission retreat agenda</li> <li>▪ Retreat packet of information</li> <li>▪ Board retreat follow-up packet</li> <li>▪ Policies and procedures for commission board</li> <li>▪ Board books</li> <li>▪ Board needs assessment</li> <li>▪ Written evaluations or feedback from Board members</li> </ul>

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### STANDARD 3: Communicates with and Generates Support from Outside Sources

Element	Suggested Documentation
3.a.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Copies of policies/ legislation</li> <li>▪ Records of appropriations or financial or in-kind support</li> <li>▪ State budget showing financial support</li> <li>▪ Records of legislative initiatives</li> <li>▪ Memos of support from state government agencies such as the department of education</li> </ul>
3.b.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Documentation showing how the commission initiated collaborative service projects and/or requested support</li> <li>▪ Records of financial or in-kind support</li> </ul>
3.c.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Documentation showing how the commission initiated collaborative service projects and/or requested support</li> <li>▪ Records of financial or in-kind support</li> <li>▪ Evidence of collaborative efforts</li> </ul>
3.d.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Evidence of providing information to or collaborating with other agencies</li> <li>▪ Evidence of providing information on programs , activities and events of the commission, CNCS funded programs and other service organizations</li> </ul>

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### STANDARD 4: Utilizes Appropriate Financial and Management Systems

Element	Suggested Documentation
4.a.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
4.b.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
4.c.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Evidence of providing reports to senior management and Board</li> <li>▪ Description of the review process</li> <li>▪ Notations or other evidence of actual reviews</li> </ul>
4.d.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Description of the draw-down process</li> </ul>
4.e.	<ul style="list-style-type: none"> <li>▪ Copies of various audit reports, pre-audit surveys, etc</li> <li>▪ Copies of CNCS management decisions</li> <li>▪ Copies of management letters from auditors</li> <li>▪ CNCS notification to commission of fiscal management issues</li> <li>▪ Written responses from and actions taken by the commission to the above</li> </ul>
4.f.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Copies of general financial management policies and procedures (excerpts) Table of Contents, etc) dealing with such areas as: drawdowns, disbursements &amp; payments, allocation of time to various cost centers, grant expenditures, documentation and accounting for match, accounting for assets &amp; liabilities, etc.</li> <li>▪ General procurement and purchasing policies and actual transactions</li> <li>▪ Description of how staff time charged to various Corporation grants</li> <li>▪ Examples of time records for staff being charged both 100% and partially to Corporation direct grants</li> <li>▪ Basis for allocation of staff salaries and expenses to Corporation grants</li> </ul>
4.g.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Financial Policies and Procedures notebook, handbook, manual, CD or shared computer files</li> <li>▪ File with policies and procedures organized, by topic including dates.</li> <li>▪ Handbook or manual for Program and Subgrantee Oversight and Monitoring</li> <li>▪ Training manual or handbook</li> </ul>
4.h.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Copies of recently signed FSRs or FFRs</li> </ul>
4.i.	<ul style="list-style-type: none"> <li>▪ Copies of recently signed FSRs or FFRs</li> <li>▪ Copies of report from financial management system or commission's internal accounting records, showing how the two correspond</li> <li>▪ Examples of copies of financial reports/records from the accounting system which show where the information for FSRs or FFRs was drawn (for Administrative</li> </ul>

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	<p>grant, PDAT, and AmeriCorps and Learn &amp; Serve grants)</p> <ul style="list-style-type: none"><li>▪ Evidence that tracks match reported on FSRs or FFRs (Admin and AmeriCorps) back to financial accounting records</li><li>▪ Evidence of other items in <i>Components Noted</i></li></ul>
4.j.	<ul style="list-style-type: none"><li>▪ Copy of most recent completed three-year administrative grant</li><li>▪ Copies of recently signed FSRs or FFRs</li><li>▪ Copies of financial reports or records supporting the amounts reported on FSRs</li><li>▪ Evidence of source documentation for various match contributions, particularly large or significant cash and in-kind contributions</li></ul>
4.k.	<ul style="list-style-type: none"><li>▪ Copy of administrative grant</li><li>▪ Copy of the signed FSR or FFR that reports the commission administrative expenditures and match for fiscal or calendar year</li><li>▪ Evidence that FSR or FFR reported information tracks back to financial accounting system</li><li>▪ Copies of financial reports or records supporting the amounts reported on FSRs or FFRs</li><li>▪ Evidence of other items in <i>Components Noted</i></li></ul>

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### STANDARD 5: Conducts Proper Grant Process

Element	Suggested Documentation
5.a.	<ul style="list-style-type: none"> <li>▪ Copy of the RFP that includes the items in <i>Components Noted</i></li> <li>▪ Materials or documents referenced in the RFP</li> </ul>
5.b.	<ul style="list-style-type: none"> <li>▪ NOFA (Notice of Fund Availability) and date mailed</li> <li>▪ State Commission RFP, and date mailed or available</li> <li>▪ Correspondence between commission staff and potential applicants</li> <li>▪ Program Grant Application booklet</li> <li>▪ Pre-application workshop agenda and materials</li> <li>▪ Memorandum and materials to re-competing programs</li> <li>▪ Notification of Intent to Apply</li> <li>▪ Grant Application check-in form</li> <li>▪ Timeline for application and review process</li> <li>▪ Number of applications received</li> <li>▪ Evidence of outreach to faith-based and community organizations</li> <li>▪ Evidence of other items in <i>Components Noted</i></li> </ul>
5.c.	<ul style="list-style-type: none"> <li>▪ Description of the review process</li> <li>▪ Timeline for review</li> <li>▪ Procedures for review</li> <li>▪ Agenda for review training</li> <li>▪ Correspondence with reviewers</li> <li>▪ Reviewer packets</li> <li>▪ Reviewer conference call agenda and minutes</li> <li>▪ Signed and dated conflict of interest statements from reviewers</li> <li>▪ Signed and dated conflict of interest statements from commissioners</li> <li>▪ Scoring summary and review rating chart</li> <li>▪ Completed review forms</li> <li>▪ Evidence of other items in <i>Components Noted</i></li> </ul>
5.d.	<ul style="list-style-type: none"> <li>▪ Description of staff review process</li> <li>▪ Written procedure for staff review of applications</li> <li>▪ Scoring sheet for staff review</li> <li>▪ Criteria for staff review</li> <li>▪ Funding charts comparing staff and other reviews</li> <li>▪ Agenda from staff meeting discussing applications</li> <li>▪ Analyses, considerations, justifications and rationale for staff recommendations</li> <li>▪ Copy of Board packet</li> <li>▪ Copy of Board minutes approving or authorizing subawards</li> <li>▪ Evidence of other items in <i>Components Noted</i></li> </ul>

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### STANDARD 6: Properly Monitors Subgrantees and Ensures Compliance

Element	Suggested Documentation
6.a.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Identification of and examples of ways the commission communicates reporting expectations</li> </ul>
6.b.	<ul style="list-style-type: none"> <li>▪ Copies of emails sent to subgrantee(s)</li> <li>▪ Copies of faxes sent to subgrantee(s)</li> <li>▪ Notation of phone calls made to subgrantee(s)</li> </ul>
6.c.	<ul style="list-style-type: none"> <li>▪ Copy of risk-based monitoring strategy that includes the items in <i>Components Noted</i></li> </ul>
6.d.	<ul style="list-style-type: none"> <li>▪ Several examples of completed program monitoring tools or other evidence indicating that the commission reviews each of the required items in <i>Components Noted</i></li> </ul>
6.e.	<ul style="list-style-type: none"> <li>▪ Documentation showing how the commission ensures that subgrantees are following each of the items in <i>Components Noted</i> required for member enrollment procedures</li> </ul>
6.f.	<ul style="list-style-type: none"> <li>▪ Evidence of each of the required items in <i>Components Noted</i></li> <li>▪ Copy of Corporation approval of alternative state criminal register check</li> </ul>
6.g.	<ul style="list-style-type: none"> <li>▪ Evidence that commission reviews subgrantee grievance procedures and that such procedures include each of the required components under <i>Components Noted</i></li> <li>▪ Completed program monitoring tools and follow-up documentation</li> <li>▪ Copy of commission's grievance policies</li> </ul>
6.h.	<ul style="list-style-type: none"> <li>▪ Documentation showing how the commission ensures that subgrantees are following each of the requirements which are included in <i>Components Noted</i></li> <li>▪ Description of the written process concerning performance measures</li> <li>▪ Evidence that the commission is tracking performance measures</li> <li>▪ Evidence that outputs &amp; outcomes are documented</li> </ul>
6.i.	<ul style="list-style-type: none"> <li>▪ Evidence of each of the required items in <i>Components Noted</i></li> </ul>
6.j.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Copies of documentation showing how the commission brought issues to the attention of subgrantees</li> <li>▪ Evidence that after identifying and communicating issues, the commission provided timely follow-up on the issues above</li> <li>▪ Evidence that the issues were appropriately resolved or addressed</li> </ul>

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### **STANDARD 7:** Implements Training, Technical and Other Assistance

<b>Element</b>	<b>Suggested Documentation</b>
7.a.	<ul style="list-style-type: none"><li>▪ Evidence of written process to assess needs</li><li>▪ Evidence of items in <i>Components Noted</i></li></ul>
7.b.	<ul style="list-style-type: none"><li>▪ Evidence of items in <i>Components Noted</i></li><li>▪ Copy of training plan</li><li>▪ Copies of training/workshop agendas, attendance records, feedback, evaluation, etc.</li></ul>
7.c.	<ul style="list-style-type: none"><li>▪ Evidence of efforts and activities of items in <i>Components Noted</i></li></ul>



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### **STANDARD 8:** Provides Appropriate Financial and Administrative Support and Oversight for Subgrants

Element	Suggested Documentation
8.a.	<ul style="list-style-type: none"> <li>▪ Evidence of an adequate written process</li> <li>▪ Evidence that process is followed</li> <li>▪ Evidence of output of the analysis and process</li> <li>▪ Evidence of review of items in <i>Components Noted</i></li> </ul>
8.b.	<ul style="list-style-type: none"> <li>▪ Evidence of each of the required items in <i>Components Noted</i></li> </ul>
8.c.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
8.d.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Evidence that reviews are conducted annually or on an appropriate frequency</li> </ul>
8.e.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Spreadsheet/list identifying which subgrantees are provided advances and which receive reimbursement payments</li> <li>▪ Copy of payment policy or procedures</li> <li>▪ Examples of subgrantee PERs or payment requests and payment dates</li> <li>▪ Evidence of time between submission of payment requests and payments</li> </ul>
8.f.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
8.g.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> </ul>
8.h.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Tracking spreadsheet/list of all subgrantees indicating match amount and whether match meets the minimum requirements</li> <li>▪ Copy of any CNCS waiver for subgrantee match</li> <li>▪ Notification to subgrantee concerning the failure to meet match</li> <li>▪ Evidence showing the commission has recovered funds from subgrantee to offset shortfall of match</li> </ul>
8.i.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Evidence that reviews are conducted annually or on an appropriate frequency</li> </ul>
8.j.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Tracking spreadsheet/list of all commission subgrantees indicating those subject to A-133 audit and those not; due date for A-133 report; date of the most recent A-133 or other audit report; issues identified; whether or not follow-up actions are needed; status; etc.</li> </ul>
8.k.	<ul style="list-style-type: none"> <li>▪ Evidence of items in <i>Components Noted</i></li> <li>▪ Copy of closeout process and forms</li> <li>▪ Tracking spreadsheet/list of all subgrants listing expiration date, date close-out</li> </ul>

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	actions initiated, indicator of whether or not it is closed out, close out date, date of last actions taken, any issues, etc.
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