Introduction

The purpose of a Community Action Plan is to describe community needs, capacity building priorities, and services delivery strategies of a Community Action Agency (CAA). In other words, it is a road map for initiating organizational changes.

Activities funded by the Community Services Block Grant (CSBG) often dictate CAA strategic directions due to the existence of many federal and state mandates. Equally important are local level needs. Those needs must also play a role in guiding a CAAs’ strategic directions and ultimately its priorities. A healthy balance between these two overarching but often contending areas can result in an effective Community Action Plan.

Priorities presented in a Community Action Plan should stimulate discussions around strengthening a CAA’s accountability and transparency within the community for which it is designated to serve. Planning is essential in developing a comprehensive and effective continuum of programs and services. A well thought-out planning effort can produce results-oriented programs.

The information communicated through this guide should provide assistance to CAAs that must develop a Community Action Plan every three years. DHCD as the Administrator of CSBG funds, must demonstrate the ability of the state’s CAA network to promote self-sufficiency including economic mobility, job readiness, financial literacy, asset building, housing stabilization, homelessness prevention, and benefit enrollment and coordination of services. Furthermore, the Community Action Plan must show how those services and activities will be accomplished and evaluated during a three-year planning cycle. The elements of the community planning model in this guide can help Community Action Agencies to meet the challenges of providing social services in a proactive, coordinated, and outcome-focused way.

It is a participatory process. Therefore the Community Action planning process must bring together community leaders from all sectors to determine where they can work together to achieve community-wide goals. A well written Community Action Plan looks beyond its own organization for which it is written – in other words, the Plan should focus on community issues that adversely affect a low-income household’s ability to move from poverty to self-sufficiency. Occasionally, those issues appear in the forms of lack of transportation, economic development, lack of affordable housing, environmental problems, and linguistic and cultural barriers.

Therefore, the plan should provide a concise summary of the major priorities for the agency. Also, it must show the community how to get involved, who to contact, and how to find support through the agency. Federal regulations require that eligible entities, such as CAAs, coordinate programs and form partnerships with other organizations.
serving low-income residents of the communities. Partnerships should be built with the State, including religious organizations, charitable, and other community organizations. CSBG ARRA created client expectations that cannot be met solely by relying on existing state and federal funding. Increasing efficiency will be key in this post ARRA post period – creating partnerships for client referrals, benefit enrollment and coordination of services among major government programs is needed. Finally, sequestration and funding cuts have posed a tremendous challenge to the CAA network that should also be seriously considered in any long term planning. Reviewing competitive advantages, building synergy and partnership building may help address some of those challenges.

A well written Community Action Plan not only assures a CAA that it is on the correct path but also challenges the CAA toward course correction.
## Schedule and Steps for Community Action Plan

### Activity and Steps

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<thead>
<tr>
<th>Steps</th>
<th>Timeframe</th>
<th>Due Dates</th>
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<tr>
<td><strong>Step I</strong>&lt;br&gt;Plan for Planning&lt;br&gt;Community Needs Assessment Survey Instrument(s)&lt;br&gt;Rationale Summary</td>
<td>December - January</td>
<td>February 7, 2014</td>
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<tr>
<td><strong>Step II</strong>&lt;br&gt;Community Needs Assessment &amp; Internal Needs Assessment</td>
<td>February - April</td>
<td>Week of April 28, 2014</td>
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<td>DHCD- CAA- Conference Call</td>
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<td><strong>Step III</strong>&lt;br&gt;Service Delivery Strategies</td>
<td>May - June</td>
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<td><strong>Step IV</strong>&lt;br&gt;Linkage Strategies</td>
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<td><strong>Step V</strong>&lt;br&gt;Evaluation of Three Year Goals and Strategies&lt;br&gt;National Performance Indicators&lt;br&gt;Agency Outcomes</td>
<td>May - June</td>
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<td><strong>Step VI</strong>&lt;br&gt;Description of three-year Funding Strategies</td>
<td>June - July</td>
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<td><strong>Step VII</strong>&lt;br&gt;Vision Statement</td>
<td>July</td>
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<td><strong>Step VIII</strong>&lt;br&gt;Submission of the Community Action Plan</td>
<td>August</td>
<td>August 1, 2014</td>
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If questions exist or if technical assistance is desired regarding any aspect of the Community Action Planning process, please contact your assigned CSU staff.
A completed Community Action Plan must include the following:

**Executive Summary:** A two to three page description of the Community Action Plan and its components.

**Mission Statement:** A brief statement of the CAA’s mission (based on the CSBG statute);

**Community Profile:** A one to two page description of the CAA’s service area and target populations. The profile should be based on the community needs assessment and internal needs assessment results. Include an analysis of the CAA’S geographic service area (designated, and undesignated).

**Community Needs Assessment:** A description of all methods used (e.g., surveys performed, interviews, focus groups, etc.), including secondary data sources, to determine community priority issues. In addition, a description of all needs assessment results, methods of tabulation. A description of how priority items were identified should also be included in the Community Action Plan;

**Internal Needs Assessment:** A description of the method(s) used to assess agency staff and board of directors issues, a listing of results identified through the assessment process and a description of how issues will be addressed;

**Service Delivery System:** A one to two page description of the CAA’s Service Delivery System: what activities and programs services are delivered to low income individuals and families in the service area; what organizational methods are used to deliver those programs and services;

**Linkages:** A description of how identified gaps in agency capacity and services will be filled, e.g., through information and referral services, case management, follow-up consultation, advocacy for and in conjunction with other local service providers, regionalization, etc;

**Evaluation of the National Goals and Indicators and Agency Outcomes:** A description of the Outcome Measures, (one for each goal), to be used to monitor success in promoting self-sufficiency, community involvement and increase/improvement of CAA’s capacity. This section should also include a description of the goals and strategies that the CAA plans to adopt for the next three (3) years. Strategy development should include projected program outcomes, the desired impact of the programs and activities delivered, as well as strategies for achieving such goals, etc.
**Funding Strategy:** A description of how CSBG and other funding will be coordinated with other public and private resources, and a description of funding goals and strategies for the next three (3) years;

**Vision Statement:** A description of anticipated organizational operations and services to clients for the next three (3) years.
Action Planning Templates
Community Services Unit ACTION PLANNING

DUE: February 7, 2014

I. Getting Organized

1. Briefly describe the orientation process for Board, Staff, Volunteers, Clients, and other Stakeholders regarding the Mission Statement Review, Community Action Plan, CSBG National Goals and Indicators, and other Outcome Measures.

2. Attach Minutes of initial planning meeting and all subsequent meetings to date.

______________________________________________________________________________
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2. How were planning committees formed? Were lead persons or chairpersons selected for each committee? Please provide information on committee(s), committee member, designated lead person and a schedule of activities for each committee. If currently there are no committees, what committees are being planned for the future?

<table>
<thead>
<tr>
<th>Committee</th>
<th>Member /Position</th>
<th>Activity</th>
<th>Timeline</th>
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3. How has participation from all stakeholders been ensured? Please be specific; name stakeholders, provide examples.

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Action Planning Template

4. Describe the process of communication between committees. How does communication take place between committees: mail; meeting minutes; email; newsletter; flyers?

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5. Describe resources allocated for planning activities. How will staff be allowed to include planning activities into their regular schedules? What, if any, changes will staff make to their regular schedules?

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6. Will agency hire an outside consultant? Yes ☐ No ☐
   Provide description of lead consultant; assigned task and resume.

_____________________________________________________________________________
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_____________________________________________________________________________

7. Has a budget been created for planning activities? If so, how will the funds be utilized? Please list any in-kind donations, volunteers, interns, and any other assistance received for planning. Please attach the proposed budget with examples of such activities.

_____________________________________________________________________________
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II. Review Mission

Describe the process for reviewing the agency’s mission statement with the Board of Directors, staff, and other stakeholders. How will the mission statement impact their overall work on a daily basis? How is it used in the planning process? Does the mission statement relate to the six (6) National Goals? Please review program outcomes in relation to the agency’s mission. Include a copy of the agency’s current Mission Statement.


III. Schedule of Activities

Please complete below an outline of planning activities that includes timeframes and encompasses the entire planning process. Also provide the process for ongoing review of outcomes for program improvement.

Activities should include, but not be limited to:

♦ Community Needs Assessment
♦ Internal Organizational Needs Assessment
♦ Analysis of Data
♦ Identification of Outcome Measures
♦ Development of Strategies

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<thead>
<tr>
<th>Activity</th>
<th>Committee Responsible</th>
<th>Lead Person</th>
<th>Due Date</th>
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IV. Checklist for Attachments

Have you attached the following documents?

☐ Minutes of initial planning meetings and all subsequent meetings to-date

☐ List of committee(s), committee members, and designated lead person

☐ List of schedule of activities for each committee

☐ Proposed budget

☐ If applicable, copies of the consultant’s resume

☐ CAA Mission Statement

☐ Community Needs Assessment Survey Instrument(s)

☐ Internal Needs Assessment Survey Instrument(s)

☐ Calendar/Timeline for Strategic Planning Activities

Agency: ____________________________________________________________

Name of Person Completing: __________________________________________
Community Needs Assessment & Analysis of Results
COMMUNITY NEEDS ASSESSMENT

Surveying the CAA’s designated service area to determine priority needs is the next step in the process. The Action Planning document already states the organization’s specific planning goals; the overall leadership of the effort; specific roles of the planning team, staff, and board; overall project scope; resources to be committed; and a timetable.

The community needs assessment is the most time consuming and labor intensive part of the entire Community Action Planning process. The Plan must be designed realistically. Mistakes that organizations may make include an overly ambitious needs assessment that cannot be completed, burning out members of the action team or completing a large, cumbersome assessment which in turn overwhelms the plan with unnecessary information and leaves very little time for drafting the other sections for the CAP. These can be avoided by being absolutely sure of the organizational capabilities, resources, and commitment to the process, keeping focused on the purpose of the CAP and being aware of time constraints the team may have.

The goal for the initial phase of a needs assessment is to collect and analyze data that describes your community/service area, the population demographics, and the relevant economic and social conditions. Subsequent analysis of the data produces a set of problem statements that the CAA may choose to address in the future. These problem statements will be analyzed using the methods outlined in the Analysis of Needs Assessment Results and the Needs Assessment Analysis Form (contained in this section).

A practical way to get started is to have the CAA’s action team address the following:

1. What are the key questions you want answered?
2. What are the constituencies; neighborhoods; target population you want to engage?
3. How many people do you want to include?

The answers to these questions will serve as the framework for needs assessment development. Basic familiarity with the two types of data is necessary. These types are outlined below:

1. Secondary Data (e.g., statistics, hard data) that describe your service area
2. Primary Data (data you collect directly from service area constituents)

By using this information, the major issues, problems and needs within the service area may be addressed by the CAA. In order for the needs assessment to provide an accurate picture of the service area’s needs it must be representative of all the area’s constituents. The agency should, to the best of its ability, to obtain a random sampling of all community residents. Random sampling ensures that every person in a community or group being studied has an
equal chance of being interviewed. Simply surveying the current pool of CAA clients is not sufficient.

NOTE: Before collecting Primary Data, it is necessary to think about what type of survey instrument your agency will utilize for this process. Before distributing survey questionnaires or conducting interviews, the agency must submit a copy of the survey instrument(s) to the Community Services Unit (CSU) for approval. In addition, a brief Rationale Summary describing the instrument that was chosen, why the particular instrument was chosen, how and why the various questions were formulated etc., should be included in the submission. These documents must be submitted to your assigned CSU staff representative with the Action Planning documents by February 7th, 2014.

SECONDARY DATA

What is it?
Secondary data is statistical information gathered by an outside source for a purpose unrelated to your immediate purpose. It usually is geographically based, conforms to census tracts, neighborhoods, planning districts, school districts, municipalities, SMSA’s (Standard Metropolitan Statistical Areas), states, etc.

What are some examples of Secondary Data?
Some sources of Secondary Data are population demographics (e.g., U.S. Census data), labor and employment statistics, education data, housing statistics, physical maps, spatial data, GIS, web/internet research, income, health and public assistance statistics. Also included are area surveys conducted by other groups (e.g., United Way).

How can Secondary Data be used in strategic planning?
Thoughtful collection and analysis of secondary data can provide a great deal of useful information about your community/service area. For example, secondary data can be used to create a Service Area Profile, which includes descriptions of:

- the number of people and households in the service area;
- a population age breakdown;
- individual and household income ranges;
- race and ethnicity of the population;
- labor force information, including the local unemployment rate;
- housing characteristics and the number of public housing units
- educational performance measures and drop out rates;
- the number of recipients of TAFDC, SSI, and other public assistance programs;
- local crime statistics.
In addition, analysis of secondary data should influence the design of the plan for collecting primary data, including:

- who should be sampled among service area public officials, agencies, businesses, community organizations, etc.;
- the mechanism(s) to be used to collect primary data: e.g., interviews, focus groups, public forums, survey questionnaires;
- particular neighborhoods/census tracts etc., that require more or less attention.

**SOURCES OF SECONDARY DATA**

**Colleges and Universities**

Local colleges and universities contain many potential resources: libraries; research departments or institutes; planning departments; student resources, etc.

The University of Massachusetts Boston offers many resources and information that can be utilized for acquiring and researching Secondary Data.

UMass Donahue Institute: (413) 545-0001  
UMass Donahue Institute’s Website: www.donahue.umassp.edu

UMass Boston William Monroe Institute: (617) 287-5880  
UMass Boston William Monroe Institute: www.trotter.umb.edu

UMASS Amherst Institute for Social & Economic Research (MISER): (413) 545-3460  
MISER Website: www.umass.edu/miser

**DHCD Community Profiles**

Community Profiles of every city and town in the Commonwealth are available from DHCD. Each profile includes data from the US Census as well as education, employment, public assistance, housing, public safety and economic development data from other sources.

DHCD’s Information Services Division: (617) 573-1250  
DHCD’s Website: http://www.mass.gov/dhcd

**Education**

The Massachusetts Department of Education Parent Information Center provides profiles for every city and town in the Commonwealth. Each profile includes drop out
rates, diversity statistics, per pupil expenditures, average SAT scores, average teacher salaries, average MCAS scores and other information. Up to ten profiles can be ordered by phone at no cost.

DOE Data Collection Processing and Reporting: (781) 338-3282
MA Department of Education’s Website: http://www.doe.mass.edu

Employment

The Massachusetts Department of Workforce Development makes available monthly Labor Force and Unemployment Data for Massachusetts and for each city and town in the Commonwealth.

DWD: 617-626-5680
Website: www.mass.gov/dwd

US Bureau of Labor Statistics publishes several types of reports (e.g., unemployment rates, compensation, surveys, etc.).

Boston Office: (617) 565-2327
BLS Website: www.bls.gov/data

Health

The Massachusetts Department of Public Health produces birth and death statistics and reports the incidence of sexually transmitted diseases (STDs) and the number of AIDS cases for each city and town in Massachusetts.

Registry of Vital Records and Statistics:
RVRS: (617) 740-2670
RVRS Website: http://www.mass.gov/dph/rvrs

Bureau of Health Information, Statistics, Research and Evaluation

HISRE: (617) 624-5600
HISRE Website: http://www.mass.gov/dph/bhsre

The City of Boston Public Health Commission produces neighborhood community health profiles, which include detailed health statistics.

For more information call: (617) 534-5358
PHC website: http://www.bphc.org/healthdata/Pages/Health-Data.aspx
Housing

US Census of Housing: Conducted every ten (10) years

US Census Office Website:  http://www.census.gov/regions

Information on Existing Businesses

US Census -- Census of Retail Trade, Census of Manufacturing, and Census of Service Businesses: includes number and types of businesses.

US Census Office Website:  http://www.census.gov/regions

Public Assistance Statistics

US Department of Health and Human Services:  http://www.hhs.gov

Executive Office of Health and Human Services:
EOHHS:  (877) 696-6775
Web Page:  http://www.state.mass.gov/eohhs

MA Department of Transitional Assistance’s Boston Office
DTA:  (617) 989-6000

US Census

US Census Bureau’s Web Page: (800)-923-8282
http://www.census.gov/

OR

Other Source

To obtain information on self-sufficiency standards for Massachusetts’s residents, obtain a copy of the document developed by the Wider Opportunities for Women, Inc. Copies can be obtained by contacting:

Crittenton Women’s Union
One Washington Mall
Boston, MA 02108
(617) 259-2900
Website:  www.liveworkthrive.org
How to evaluate Secondary Data
The creation of a Service Area Profile that includes critical area demographics and information was noted above as a useful way to summarize relevant secondary data. The Service Area Profile, however, will be much more useful if it includes comparisons of service area data with the same data from different areas (e.g., town/city-wide, state-wide, or from other local communities). Some examples of data that can and should be compared:

- racial/ethnic demographics;
- median household income;
- number of residents, compared to total service area population below poverty level;
- number of residents, compared to total service area population receiving public assistance;
- most recent unemployment rate;
- median household income;
- education attainment and drop-out rates;
- number of public housing units and # of households receiving housing subsidies;
- Age demographics (Does the service area have a large number of elderly or youth, etc.?)
- birth, death, STDs and AIDS rates;
- Presence or lack of significant industry/employers.

These comparisons will highlight apparent problem areas (e.g., a significantly high unemployment rate or a surplus of sub-standard housing) and/or direct you away from other potential problem areas (e.g., a much lower than average crime rate). They may also highlight apparent strengths and/or resources as well as social capital. It can be helpful to write statements that describe these apparent problems, issues and strengths. Some examples:

- “Within the service area, 2,520 individuals out of a total population of 15,000 (16.8%) are unemployed; this is twice that of Massachusetts’ 8.4% (September 2010) rate, indicating what could be a serious local unemployment problem.”

- “8,695 out of 10,869 (80%) units of the service area’s housing stock was built before 1940, over 6,521 (60%) are multi units and only 2,173 (20%) units are owner occupied. This may indicate that there is substantial sub-standard housing in the service area.”

- “The service area’s population includes 5,007 college graduates out of a population of 25,038 (20%), which could be a resource for the CAA.”

The data review and the writing of descriptive statements will help to shape your selection of primary data collection mechanisms, (e.g., interviews, focus groups, etc.), and population samples. For example, statistics indicating low educational attainment, a high drop-out rate, and a high crime rate may point you toward including a sizable number of youth in your
population sample. Moreover, you might want to consider running one or more focus groups just for teens to solicit some in depth information.

**The Service Area Profile: Suggested Content**

**Description of the Service Delivery Area**
- Geographic boundaries
- General character description (e.g. old industrial city, historic mill town, etc.)

**Population**
- Number of people, number of households?
- Is population growing, declining or stable?

**Age**
- Median age of the population
- Compared to other communities, is the community comprised of more young people, elderly, etc.?

**Income and Poverty**
- Median per capita and household income
- Income in the service community compared to citywide or regional data
- Where do community residents receive their income from? What percentage is from wages, public assistance, social security, etc.?
- Is income homogeneous throughout the service community or are there clear haves and have-nots?
- Look at race and income; is there a correlation?
- Is income increasing, decreasing or stable?
- Does there appear to be movement of income groups? Is the community experiencing gentrification? Are upper income residents moving out?

**Housing Issues**
- Number housing units
- Average rent
- Owner/renter occupied
- Vacancy Rates
- Type of structure (single/multi) Year of construction
- Sales information
- Changes in median home price
- Foreclosure Information
- Sub-Prime Lending Issues
- Homelessness

**Assets**
- Number of persons who own a home?
- What is the median house value?

**Household/Family Size and Characteristics**
- Median number in household
- Composition of household: children, parents, adult children, extended families, etc.
- Number of single female head of household
Race/Ethnic Origin

- Racial and ethnic composition
- Immigrant population
- Language barriers
- Limited English speaking population
- Immigration Issues
- Racial and ethnic profiling
- Workplace discrimination

Disabilities

- Physical
- Mental

Labor Force

- Number in work force
- Major industry downsizing, plant closing/opening
- Compare Number in work force to number of residents; anything to explain (elderly, homemakers, youth, discouraged workers, etc.)
- Number unemployed; race and gender of unemployed
- unemployment rate
- How does unemployment rate compare with city or region?
- Where do residents work? What types of jobs? Where? Travel time? Mode of transportation?
- Public transportation (accessibility)
- CORI/SORI issues

Special Populations

- Veterans assistance

Job Readiness

- Number of individuals in dependent on public transportation? Is this a barrier to employment? How serious? For whom?
- What level of education have residents achieved? Correlation to race or gender?
- Compare to city or region, are residents less educated? More dependent on public transportation?
- What number of residents has never worked?
- Is access to child care a barrier to employment? How serious? For whom?
- Total number of crimes;
- Number of violent crimes;
- Number of property crimes;
- Youth offenders;
- Number of youth offenders in custody

Health

- AIDS
- Children Health Issues: Immunizations; Lead poisoning; Low birth weight
- Teen Pregnancy
• Mortality (infant, homicide, poisons)
• Injury (suicide, firearms, self-inflicted)

Education
• Drop-out rate
• Expulsions
• Percent going to 2 - 4 year college
• Per pupil expenditure

Resident Participation
• Advocacy
• Civic duties
• Volunteer services

Growth and Regional Development
• Smart Growth
• Mass/Public Transportation
• Environmental Challenges
• Community Revitalization
• Accessiblity and ADA Compliance
• Access to local jobs and housing
• Gentrification
**PRIMARY DATA**

What is it?
Primary data is information collected directly from the service area’s constituents (residents, business owners, public officials, social service agency personnel, community groups, etc.).

How is Primary Data Collected?
In general, four basic mechanisms are used to collect primary data. Each is characterized by the scope of the information collected and the number of people surveyed:

- **Interview**: collects highly focused in-depth information from a single individual. The total number carried out in a needs assessment is usually small;
- **Focus group**: is more broadly focused than an interview; collects information from a group of 4-10 participants;
- **Community forum**: is broadly focused; collects information from 20-100, or more individuals;
- **Survey questionnaire**: usually broadly focused, but can also be narrowly focused; collects information from a large sample of the population, 50 or more.

Each method is briefly described below.

**Interviews**

Individual interviews are possibly the best mechanism for obtaining in depth information from representatives of the population(s) you plan to assess. Sometimes referred to as key informants or stakeholders, they may be community leaders, public officials, representatives of local businesses or social service agencies, clergy, etc. Each is selected for her/his unique perspective and/or knowledge regarding the community. According to recent studies, some clients and certain populations, such as the elderly and mobility impaired, are better interviewed over the telephone rather than in person. In a telephone interview, however, two critical factors come into play: the **subject matter** – is it engaging or of reasonable interest to the individual being interviewed and the **length of the questionnaire**. Also, if using telephone interviews, a factor to be considered is that many low-income households may not have telephone service. In addition, the social desirability bias, the tendency of an individual to give an answer that conforms to general group opinions, has been found to be reduced with telephone interviews. Each type of interview should be conducted by an interviewer who is knowledgeable regarding the issue(s) to be discussed and who uses a list of well-planned interview questions.
An open-ended interview format can provide the most wide-ranging and in depth data. Open-ended questions do not lead but rather allow respondents to elaborate on their experiences, attitudes, ideas, and opinions. Here are a few suggestions regarding how to prepare open-ended questions:

1. Use open-ended questions to probe for and generate ideas. Instead of asking, “Are the health services in the neighborhood adequate? Try: “What do you think about the health services in the neighborhood?”

2. Avoid using “Why?” Instead of “Why do people not use the YMCA?” try “What kinds of barriers keep people from using the YMCA?”

3. To elicit more information, and/or when you believe that the respondent can offer more information, state “Say more about that,” or “What do you mean by ...”

4. Let respondents use their own words, definitions, and terms when answering.

5. Role-playing questions can help respondents understand the type of information you are looking for. For example, you might ask, “Suppose I need medical care, where would you send me?”

Open-ended interviews require considerable care and preparation, and should be considered with caution. Analysis of responses is also labor intensive and, at a minimum, requires searching out common themes, ideas, complaints, suggestions, etc., and weighing their relative importance based on your knowledge of the community and the other sources of data you are examining. More formal data analysis techniques can be carried out. However, they require more advanced social science knowledge and/or technical assistance. Interview data can shape your question selection for subsequent focus groups and survey questionnaire(s).

It is possible to design individual interviews that are more formally structured or that are partially open-ended and partially structured. The suggestions below regarding the development of survey questionnaire questions (in general) also apply to structured interviews.

**Focus Groups**

Focus groups were originally developed by market research firms to gauge consumers’ reactions to products. Increasingly, however, they are being used by social service and community groups to solicit input from service recipients and neighborhood residents regarding their perceptions of current programs and community needs. The focus group setting allows participants to discuss feelings and beliefs about their needs and provides the moderator(s) an opportunity to probe participants’ perspectives. The group
interaction provides a unique source of information and serves to check the validity of each individual’s opinions and reactions.

The components of a focus group are:

1. Single or dual moderators with responsibility for leading the discussion. The moderator(s) should be knowledgeable about the problem(s) or issue(s) being examined. Her/his job is to get the participants to focus on their feelings and beliefs about various aspects of the issue(s) being considered. The moderator allows participants to respond in their own terms and probes to elicit mores specific information.

2. Eight (8) to ten (10) participants selected to represent the service population or a subgroup. Similar backgrounds are required of group members.

3. Participants are encouraged to be creative and to express feelings as well as ideas. All members of the group are encouraged to participate. Provisions for recording the session are often made. Interaction among participants is encouraged.

Focus groups can be open ended and/or include structured group activities to facilitate universal participation and to avoid problems of group process (e.g., silent members; dominance by one or two higher status participants).

Evaluation of focus group data (tapes, notes, or both), as is the case with interview data, involves searching out common themes, ideas, complaints, suggestions, etc., and weighing their relative importance based on your knowledge of the community and the other sources of data you are examining. Likewise, focus group data can shape your question selection for your survey questionnaire(s).

**Community Forums**

While not the optimum mechanism for collecting needs assessment data, a community forum can be an excellent outreach tool for a CAA. It can be used to build support for and counter skepticism about your organization. Critical to the success of such a forum is the involvement of a cross-section of the community and facilitation by an experienced community leader or meeting facilitator.

A typical community forum involves an evening meeting in a politically neutral auditorium. Concerned members of the community discuss community needs according to a clear and specific agenda. Wide advertising is important, as are established ground rules about the length and content of public statements. Rules, such as a three (3) minute limit on statements, should be made explicit at the beginning of the forum and enforced by the leader. The purpose of the forum should be made clear by banners and frequently reiterated by the leader. Follow-up mailings thanking those who attended
and summarizing the results (especially future actions) of the forum are important. A sign in sheet collecting the names and addresses of participants will ease this task and provide a list of potential CAA board members.

The primary weakness of a community forum is the possibility that the data collected will be skewed. Despite an organization’s best efforts, a particular community constituency can be over or under-represented. For example, a well organized neighborhood group with a partisan agenda could lend more attention than warranted to a particular issue, while a neighborhood with severe problems that should be addressed may have no voice at the forum. Analysis of forum input should include a careful examination of which neighborhoods and constituencies spoke out and which did not.

**The following questions can be asked during a community forum:**

1. What would our community look like without poverty?
2. What are the conditions and causes of poverty in our community?
3. What keeps families in poverty?
4. What should we as a community do to address poverty?
5. How do you define poverty?
6. The look of poverty in our community is....

Specific to the Agency:

1. What can **(insert Agency Name)** do to support, the community to achieve the outcomes to eliminate poverty in our community?

2. Identify **(insert Agency Name)**, programs, strategies and initiatives that have been successful in reducing poverty.

3. What steps could be taken by **(insert Agency Name)** to reduce poverty?

**Survey Questionnaires**

We have all seen and filled out many questionnaires. A questionnaire is an instrument that is used to collect useful information in a structured format. Usually self-administered in a paper and pencil format, questionnaires can also be administered by another person (e.g., a door to door survey researcher), and/or electronically, (e.g. internet/web/social network sites and computer programs).

As with every data collection mechanism, questionnaires have strengths and weaknesses. A questionnaire can collect data from a large number of people. Most often the data collected is quantifiable (e.g., it can be converted to numbers) and is much easier to analyze than interview, focus group, or community forum data. However, questionnaires tightly control and limit the information obtained from respondents. You must ask the right questions and your intended meaning must be understood by respondents in order
to get the information you are looking for. Poorly designed questionnaires can produce invalid or unreliable data. Libraries have shelves filled with textbooks on questionnaire design and development.

While we cannot provide formal instruction in questionnaire design, here are a few suggestions and rules of thumb to get you started:

1. Be brief. In general a questionnaire should fit on two or, at most, three sides of “8” x 11” or 8” x 14” paper and take no more than 10 minutes to fill out or administer.

2. Avoid or include only a minimal number of questions that are open-ended and/or solicit long written answers. (e.g., “What should be done to address the lack of recreational facilities in the neighborhood?” This is an open-ended question that allows the respondent to write as much as s/he wants.) Most respondents will tire quickly of such questions and abandon a questionnaire that includes too many. In addition, answers to such questions cannot be easily quantified. Two or three of such questions at most would be enough!

3. Include questions that provide response categories that have been predetermined. Illustrated below are some “Dos” and “Don’ts” listed.

**DON’T** force the respondent to make a forced choice:

a. agree-disagree

*Lack of affordable housing is a problem in my neighborhood.*

   _____ Agree   _____ Disagree

**DO** allow the respondent to make choices by rating answers based on a scale:

b. rating

*Rate the items below based on the following scale:*

1 = not a problem in my neighborhood.
2 = a moderate problem in my neighborhood
3 = a substantial problem in my neighborhood
4 = a severe problem in my neighborhood

   _____ Drug abuse   _____ Unemployment
   _____ Crime       _____ Evictions

**DO** provide the respondent with a mechanism that produces more concise and less discriminating answers:
c. check lists.

In the list below place a check next to every item you consider to be a problem in the neighborhood.

____ Drug abuse  ____ Unemployment
____ Crime       ____ Evictions

4. When designing questions, ask yourself, “Will the responses to this question provide information that is both meaningful and useful and the information we really want to obtain?” Questions should be straightforward, simple and be clear about the response(s) being requested. Just because questions have been asked in the past, does not mean it is still relevant.

5. At all costs, avoid questions that are biased, leading, or steer the respondent to the response you are looking for. The following questions are clear examples of “DON’T”:

a. The city/town is not doing enough for the low-income residents of our community.

Agree _____    Disagree _____

b. Rank the schools listed below based on the following scale:

1 = Poor
2 = Terrible
3 = Worst

c. Why should the CAA start a small business loan program? Check all that apply.

_____ Local businesses can’t get bank loans.
_____ It would allow for the start-up of many new businesses.
_____ Loan pool funds are readily available from several sources.

6. Design the questionnaire to be “user friendly”. The directions and all questions should be easily understandable to the respondent without any explanation. The appearance should be inviting with the print large enough to be read by anyone.

7. Design questions and response categories as to make review and tabulation of each questionnaire easier to accomplish.
8. If you have the resources available, design the questionnaire to be administered by a (trained) member or volunteer of the action team. This avoids the problem of getting respondents to return the questionnaire.

9. Take advantage of newer methods of promoting CAP activities and surveying your community by including the use of social media sites (e.g. Twitter, Facebook, etc.). Many sites allow users to post surveys and polls. Information gathered can be easily tabulated and then analyzed.

Using this method in addition to or in lieu of more traditional surveying methods not only saves the agency money on newspaper advertizing, survey printing and postage costs, but also further promotes the agency and may expose it to new populations within your service area. This may lead to new information, partnerships, volunteers, clients, etc.

Analysis of questionnaire responses (items) usually involves tabulating the mean (average) of each quantifiable questionnaire item. If open-ended questions have been included they can be evaluated as discussed above.

For even more detailed information on conducting surveys, please refer to the following insert, “Guidelines for Conducting Customer Surveys”. 
Needs Assessment Rationale Summary
Community Action Plan
Needs Assessment Rationale Summary

DUE: February 7, 2014

AGENCY NAME: __________________________________________________

In an effort to ensure that all CAAs are adhering to CSBG Assurance Thirteen, the Community Services Unit is asking that agencies submit a description of all needs assessment methods and survey instrument(s) that the CAA intends to utilize during the community needs assessment process.

Please check off which methods the agency plans on utilizing to conduct a Needs Assessment of its service area:

____ Surveys of the communities(s): door-to-door, phone interviews, etc. Please specify a timeline for when survey(s) are to be conducted and who will be the target population survey:

________________________________________________________________
________________________________________________________________

____ Neighborhood discussions with community organizations. Please specify when discussions will occur and which organizations will be involved:

________________________________________________________________
________________________________________________________________

____ Review of demographic information: US Census, Department of Human Services statistics, unemployment statistics, etc.:

________________________________________________________________
________________________________________________________________

____ Information/testimony provided by individual and community members, social services professionals, agency staff, program participants, etc.:

________________________________________________________________
________________________________________________________________

____ Public meetings to solicit input on community needs. Please specify when meetings will be held and where:

________________________________________________________________
________________________________________________________________

____ Information gathered from other needs assessments conducted within the CAA’s service area. Please describe.

________________________________________________________________
In addition, the Community Services Unit requests that copies of any needs assessment survey instrument (internal assessment tool, community assessment tool, etc.) developed by the CAA be attached to this form.

These completed forms along with copies of survey instruments are due into the Community Services Unit by February 7, 2014. Please forward all correspondences to your assigned Community Services Unit staff representative.

Below, please sign and date. This information will provide the Community Services Unit the name of the person(s) submitting and/or delivering the Plan and requested forms and documents.

Created by:

Name ____________________________  Signature ____________________________  Date ________________

Delivered/Submitted by:

Name ____________________________  Signature ____________________________  Date ________________
Analysis of Needs Assessment Results
ANALYSIS OF NEEDS ASSESSMENT RESULTS

After you have gathered the primary data (from survey responses, focus groups, interviews, etc.), the final step is to convert the salient information from your secondary and primary data findings into a number of action steps. The action steps will be used to assist in developing the agency’s workplan activities and possibly redefining some of the agency’s program objectives. Moreover, once the action steps are developed, you will be ready to perform an analysis of the results obtained from all data sources.

Examination of all the data should reveal some significant patterns or needs, common problems and issues, etc. Pay close attention to any contradictions/discrepancies between secondary and primary data (e.g., a low statistical crime rate versus a high level of concern about public safety and crime as reported by survey respondents could indicate a problem confined to one neighborhood in the service area.)

Analysis of the data can be performed utilizing the following method:

1. A good way to approach this initial step is for the action team to write, on post-it notes, all statements (e.g., lack of affordable housing, need for additional day care, etc.) that the agency has obtained from primary and secondary data sources. Position all post-it notes on a wall or surface in which all statements can be read easily by members of the planning team. Next, group each statement/post-it note so that all relating items are under a particular category. Please note that there may be several items under each category.

The category assignments are as follows (these are the same as the CSBG workplan ‘Service Categories’): Employment, Education, Income Management, Housing, Emergency Assistance, Nutrition, Linkages, Self-sufficiency, Health, Transportation, Economic Development, Energy Assistance, Youth, Family Development, Resident Participation, Senior, and Other.

You should assign as many categories as needed to cover ALL significant issues from the data that was collected. In categorizing all the information from the data sources you have, in turn, identified all community priority areas.

2. List all identified community priority areas. Each area should be accompanied by a succinct description of the priority area.

3. Provide evidence for why the problem was identified. Reference data from your primary and/or secondary sources.

4. Separate the priority areas into those your agency can address and have control over and into areas in which your agency does not have the capabilities of addressing. By stating the areas your agency does not have the capabilities of
addressing, you may still be able to identify other area providers, which may be able to be of assistance.

5. Given the above, rank the identified priorities, using a numeric value system (e.g., 1-10). The resultant priority ranking, (most serious - number 1), moderately serious- number 2), and so forth), should be a reflection of prevalent community needs and issues.

6. List the action steps to be taken to address the priority areas, which your agency is able to address.

**NOTE:** *This step will assist you in developing certain aspects of the Service Delivery System component of your Community Action Plan.*

When assessing and analyzing local, community needs, agencies should keep in mind national and state priorities. Those priorities being:

- Financial literacy, income management, and asset development
- Job development and job readiness skills
- Housing stabilization and homelessness prevention
- Case management/benefit enrollment and coordination of services.

With economic mobility and self-sufficiency in mind, agencies are encouraged to analyze their priorities in light of the above areas. Dedication to programs that address these areas positively impact customers’ long-term economic stability and self-sufficiency.
NEEDS ASSESSMENT ANALYSIS FORM (for Internal Use)

The following form demonstrates how this method of analysis can be used. Following the first step, a good way to approach this could be by charting critical information on flip chart and posting it on the walls in your meeting room where all your team members can examine it simultaneously. A discussion of what everyone sees can be helpful.

1. Using Post-it notes, write down all statements that were identified from all primary and secondary data collection sources. Position all post-it notes on a surface for members of your planning committee to view.

2. List all identified community priority areas with a description of the identified problem.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

3. Why was each problem identified? Referencing data from primary and secondary sources; provide evidence for why area was identified.

<table>
<thead>
<tr>
<th>Priority Item</th>
<th>Reason for Identification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4. a. Priority items that the agency has the capability to address.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

b. Priority items which the agency does not have the capability to address.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
5. Rank the community priority areas according to their importance among all survey responses.

1st___________________________________________________________

2nd___________________________________________________________

3rd___________________________________________________________

4th___________________________________________________________

5th___________________________________________________________

6. List the action steps to be taken to address the priority areas which your agency has control of addressing:

<table>
<thead>
<tr>
<th>Priority Item</th>
<th>Action Step</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

Now that you have successfully analyzed all the community needs assessment results and have developed the action steps necessary to address all priority items, you are ready to move on to Section 5, Internal Needs Assessment. Remember, all the above information will be looked at again in Section 6 when you begin developing the agency’s service delivery system.
NEEDS ASSESSMENT ANALYSIS FORM (for Internal Use) EXAMPLE

Using the Needs Assessment Analysis Form from the previous pages, the following description demonstrates how those forms could be used in a typical Community Action Agency.

1. Using Post-it notes, write down all statements that were identified from all primary and secondary data collection sources. Position all post-it notes on a surface for members of the planning committee to view.

2. List all identified community priority areas with a description of the identified problem:

   • **Housing**  Affordable Housing

     All public and subsidized housing units in the agency’s service area for the elderly, people with disabilities, and families are unstable and can change month to month. Some of the units are tenant based and some are expired use units. It is essential for all individuals to find stable, affordable housing.

   • **Health**  Health Care Problems

     According to survey results, most respondents only see a doctor when they are ill. Preventive health measures are not practiced by our clients. Many individuals stated that they do not have health insurance because premiums are too expensive. Medicine is also too expensive for many.

   • **Health**  Substance Abuse

     According to a report by the Department of Public Health, the cities of A, B, K, and L, have one of the highest rates in the state of drug and alcohol abuse. Survey responses indicate that residents feel that other factors of teenage gangs, an increase in violence and neighborhood crime could be an additional indicator that the use of drugs and alcohol in the neighborhood is increasing.
3. **Why was each problem identified? Referencing data from your primary and secondary sources provide evidence for why area was identified.**

<table>
<thead>
<tr>
<th>Priority Item</th>
<th>Reason for Identification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Affordable Housing</td>
<td>-Four elderly expired use projects have expired.</td>
</tr>
<tr>
<td>Health Care Problems</td>
<td>-According to 2010 US Census data the poverty rates in Cities B, I, and G are on average 11.3 %. -Telephone Survey results identify health care as a top concern among neighborhood parents, in particular, adults with children under ten years of age.</td>
</tr>
<tr>
<td>Substance Abuse</td>
<td>-Department of Public Health statistics (2014) identify the community as having one of the highest drug and alcohol abuse rates in the state. -Community Survey results identify drug and alcohol abuse as a top problem area among neighborhood teenagers.</td>
</tr>
</tbody>
</table>

4. a. **Priority items which the agency has the capabilities of addressing.** Affordable Housing and Health Care Problems

b. **Priority items which the agency does not have the capabilities of addressing.**

   Substance Abuse:
   The agency does not have the capabilities or expertise to address this particular problem. We will work with other community substance abuse centers to advocate for additional programs, services and funding.

5. **Rank the community priority areas according to their importance among all survey responses.**

   1st- Affordable Housing
   2nd- Substance Abuse
   3rd- Health Care Problems

6. **List the action steps to be taken to address the priority areas which your agency has control of addressing:**
<table>
<thead>
<tr>
<th>Priority Item</th>
<th>Action Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Affordable Housing</td>
<td>The agency has its own Housing Counseling and Housing Search Program for individuals who are at-risk of becoming homeless. The agency’s outreach staff assists individuals with shelter services and in searching for affordable housing units. Over the next three years the agency will work to expand the above services as well as to increase our efforts in the area of assisting the elderly population with housing related issues.</td>
</tr>
<tr>
<td>Health Care Problems</td>
<td>Through the agency’s local shelter, central administrative office, and delegate agencies, referrals are made to various local community organizations and hospitals to assist individuals with needed medical assistance. In addition, service is also provided through the state’s Department of Social Services and the Women, Infants and Children (WIC) Program. The agency will also work to develop workshops and work one-on-one with individuals regarding methods of preventative health care for themselves and their families.</td>
</tr>
</tbody>
</table>

Now that you have successfully analyzed all your community needs assessment results and have developed the action steps necessary to address all priority items, you are ready to move on to Section 5, *Internal Needs Assessment*. Remember, all the above information will be looked at again in developing your agency workplan document and service delivery system.
INTERNAL ASSESSMENT

An Internal Assessment is an organizational self-analysis that will identify strengths and weaknesses. In order to do this the organization should monitor resources (inputs), present strategy (process), performance (outputs), and outcomes (benefits obtained by the individuals served by the agency).

Many organizations use a combination of activities to perform self-assessments, such as:

* Agency retreats;  
* Staff focus groups;  
* Board & Staff surveys;  
* Interviews  
* Best Practice Analysis  
* Board & Staff development  
* Board Self Assessment & Evaluation  
* Board & Staff trainings  
* Self-assessment & monitoring

Although not a requirement, a consultant may be brought in as an objective party to facilitate the discussion and conduct interviews.

This process can be strenuous but very productive for both staff and management. There must be a commitment from management and line staff to accept criticism, changes what is feasible, and grow as an organization. All levels of the agency should be engaged in this process from the board to support staff. The agency could begin by introducing and discussing the Internal Needs Assessment process at board and staff meetings.

The following are questions that can facilitate the board and/or staff meeting discussion:

* What National Goals Indicators are addressed through each program?  
* What is the organization’s community standing?  
* How are the separate programs being managed?  
* Are the programs as productive as they can be?  
* How is productivity measured?  
* Is there high turnover among staff? If so, why?  
* Does the staff feel invested and have ownership of the programs?  
* Are resources appropriately allocated for board and staff development and training?  
* What major issues does the agency face in the future in the eyes of the board and staff?  
* What possible action can be recommended to address the issues identified?  
* What is the impact of community changes on the organization?  
* What is the organization’s strategic position? Locally, regionally, statewide or nationally.  
* How can the internal assessment process impact service delivery?
How do we manage change?
What is the impact of financial difficulties?
What is the CAA’s management capacity?

The next step is to encourage each program to perform an analysis of the agency. For example, questions could be asked regarding the decision making process utilized by agency management or the type of working conditions and climate that exist at the agency. In conjunction with questions pertaining to the agency, staff should also have the opportunity to comment on the programs offered by the agency and the services that are provided to clients. Also of importance is the Board’s knowledge of its role and judiciary responsibilities. Included in this section are copies of model internal needs assessment documents, which were developed by your fellow community action agencies. These examples demonstrate the type of internal needs assessment that incorporates community need, related issues, and internal agency issues. At this point in the Community Action Plan development, the agency’s community needs assessment and internal needs assessment results should already be gathered and analyzed. As mentioned in the Analysis of Needs Assessment Results, the service delivery system should be well on its way to being developed. The service delivery system development is a two (2) step process: First, the development of this component requires that your agency assemble a list of activities and programs (the agency’s ‘services’); and second, you must describe how services are delivered to low income individuals and families in the agency’s service area. A description of the mechanisms used to deliver such services should also be included. Describe the methods utilized to reach out to the target population(s). Also a review of internal/external processes as well as Moreover, the process of reviewing the agency’s service delivery system will prove helpful when examining how clients benefit from the agency’s activities and programs. This area will be discussed when your agency reviews the Results-Oriented Management and Accountability (ROMA) tool.
ISSUE IDENTIFICATION

Issues are fundamental questions regarding the organization’s mission, mandates, values, program development, clients, users, community involvement, costs, financing, management, and/or organizational design. It is vital for the organization and the community that the issues be addressed immediately and effectively if the organization/community is to survive and prosper. This step is designed to focus organizational attention on what is truly important to the organization and community. It is important that the community network is included in the process.

The National Goals and Indicators should be given serious consideration when analyzing the information previously gathered (needs assessment results, internal assessment results, etc.). In many cases, the issues identified will closely reflect the National Goals. The National Goals and Indicators can be found in the subsequent component [Section Six (6)] of this guide.

There may be instances when an issue is beyond the scope of the organization, but crucial to the community. Staff should keep in mind that community action agencies are mandated, through Federal Regulations, to create, foster and develop networks that assist the service area to fill the gap in needs. The organization should not necessarily create a department to address the issue, but rather seek out other entities that are currently offering or are planning to develop services to fill those needs. As seen in the Analysis of Needs Assessment Results, the agency was asked to identify the priority areas that the agency has the capacity to address and has control over as well as those areas which the agency can not address for lack of resources. In the latter case, the agency should identify providers who can assist the community in filling identified service gaps.

A statement of an issue contains three (3) elements...

- A succinct description of the issue;
- Consideration of the factors that make the issue a fundamental policy question, including strengths, opportunities, threats, etc. and
- A statement summarizing the consequences of failing to address the issue.

Driving the discussion...

- Are there patterns or themes emerging from the issue identified through the data analysis?
- Is the identified issue the “root cause” or are there underlying factors and/or secondary issues that stem from it?
- Does the organization have experience in this area? Can the agency learn from past successes and failures?
- Does the organization have the resources to undertake the issue?
• Is the issue in line with the organization’s mission?

*Examples of Issues…*

• How can the organization assist clients to obtain greater self-sufficiency?
• How can the organization improve the housing situation of low-income persons in need of affordable housing?
• How can the CAA expand its capacity and seek resources to develop innovative programs that are needed in the community?
• How can the CAA motivate staff, promote staff, promote professional development and improve productivity?
Identification and Evaluation of National Indicators and Outcome Measures
&
Three Year Goals and Strategy Development
THE NATIONAL INDICATORS

The U.S. Department of Health and Human Services, Office of Community Services as issued the attached National Indicators of Community Action Performance. The list contains 12 broad outcome measures or indicators that will capture the universal accomplishments of more than 1,000 local and state CSBG agencies in our Community Services Network. These indicators are very important in telling the story of what community action accomplishes as a national Network. At the same time, these indicators have been designed to evaluate performance of community action in assessing the needs of our communities and to address poverty alleviation in a comprehensive way.

With guidance from OCS, a guide entitled Guide to Organizing and Reporting National Indicators of Community Action Performance was developed by the Network involving the Information System Task Force, and the Monitoring and Assessment Task Force (MATF); which is responsible for overseeing the overall implementation of the Results Oriented Management and Accountability (ROMA) process. CAAs have begun collecting and reporting outcome information in support of the 12 national indicators.

As part of your Community Action Planning process we are asking each CAA to review and identify the appropriate National Indicators, and develop three years goals and strategies based on these indicators. These National Indicators were developed using the six National Goals and Outcome Measures, known as NG/OM. For the most part, you will be able to identify and develop strategies based on the national indicators. DHCD has implemented these indicators in its planning, contracting and reporting.

*Goal 1: Low-Income People Become More Self-Sufficient*

*National Performance Indicator 1.1 – Employment*

The number and percentage of low-income participants in community action employment initiatives who get a job or become self-employed as measured by one or more of the following:

A. Unemployed and obtained a job.
B. Employed and maintained a job for at least 90 days.
C. Employed and obtained an increase in employment income and/or benefits.
D. Achieved “living wage” employment and/or benefits.
National Performance Indicator 1.2 – Employment Supports

The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from community action as measured by one or more of the following:

A. Obtained pre-employment skills/competencies required for employment.
B. Completed ABE/GED and received certificate or diploma.
C. Completed post-secondary education program and obtained certificate or diploma.
D. Enrolled children in before or after school programs.
E. Obtained care for child or other dependant.
F. Obtained access to reliable transportation and/or driver’s license.
G. Obtained health care services for themselves or family member.
H. Obtained safe and stable housing.
I. Obtained food assistance.
J. Obtained non-emergency LIHEAP energy assistance.
K. Obtained non-emergency Weatherization energy assistance.
L. Obtained other non-emergency energy assistance (State/local/private energy programs).

National Performance Indicator 1.3 – Economic Asset Enhancement and Utilization

The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of community action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by one or more of the following:

Enhancement –

1. Number and percent of participants in tax preparation programs who identify any type of Federal or State tax credit and the aggregated dollar amount of credits.
2. Number and percentage obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments.
3. Number and percentage enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings.

B. Utilization –

1. Number and percent demonstrating ability to complete and maintain a budget for over 90 days.
2. Number and percent opening an Individual Development Account (IDA) or other savings account.
3. Of participants in a Community Action assets development program (IDA and others):
   a. Number and percent of participants capitalizing a small business with accumulated savings.
   b. Number and percent pursuing post-secondary education with accumulated savings.
   c. Number and percent purchasing a home with accumulated savings.
   d. Number and percent of participants purchasing other assets with accumulated savings.

**Goal 2: The Conditions in Which Low-Income People Live are improved**

*National Performance Indicator 2.1 Community Improvement and Revitalization*

Increase in, or safeguarding of threatened opportunities and community resources or services for low-income people in the community as a result of community action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:

A. Jobs created, or saved, from reduction or elimination in the community.
B. Accessible living wage jobs created, or saved from reduction or elimination in the community.
C. Safe and affordable housing units in the community
D. Safe and affordable housing units preserved or improved through construction, weatherization or rehabilitation achieved by community action activity or advocacy.
E. Accessible and affordable health care services/facilities for low-income people created or saved from reduction or elimination.
F. Accessible safe and affordable childcare or child development placement opportunities for low-income families created or saved from reduction or elimination.
G. Accessible before school and after school program placement opportunities for low-income families created or saved from reduction or elimination.
H. Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation.
I. Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post-secondary education.
National Performance Indicator 2.2 -- Community Quality of Life and Assets

The quality of life and assets in low-income neighborhoods are improved by community action initiative or advocacy, as measured by one or more of the following:

A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets.
B. Increase in the availability or preservation of community facilities.
C. Increase in the availability or preservation of community services to improve public health and safety.
D. Increase in the availability or preservation of commercial services within low income neighborhoods.
E. Increase or preservation of neighborhood quality of life resources.

National Performance Indicator 2.3 -- Community Engagement

The number of community members working with Community Action to improve conditions in the community.

A. Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives.
B. Number of volunteer hours donated to the agency.

Goal 3: Low-Income People Own a Stake in Their Community

National Performance Indicator 3.1 -- Community Enhancement through Maximum Feasible Participation

The number of volunteer hours donated to community action.

A. Total number of volunteer hours donated by low-income individuals to Community Action.

National Performance Indicator 3.2 -- Community Empowerment through Maximum Feasible Participation

The number of low-income people mobilized as a direct result of community action initiative to engage in activities that support and promote their own well-being and that of their community as measured by one or more of the following:

A. Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy setting through community action efforts.
B. Number of low-income people acquiring businesses in their community as a result of community action assistance.
C. Number of low-income people purchasing their own homes in their community as a result of community action assistance.
D. Number of low-income people engaged in non-governance community activities or groups created or supported by community action.

**Goal 4: Partnerships Among Supporters and Providers of Service to Low-Income People are Achieved**

*National Performance Indicator 4.1 – Expanding Opportunities through Community-Wide Partnerships*

The number of organizations, both public and private, community action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

A. Non-profit organizations
B. Faith Based
C. Local Government
D. State Government
E. Federal Government
F. For-Profit Business or Cooperation
G. Consortiums/Collaboration
H. Housing Consortiums/Collaboration
I. School Districts
J. Institutions of Post Secondary Education/Training
K. Financial/Banking Institutions
L. Health Service Institutions
M. State wide associations or collaborations

**Goal 5: Agencies Increase Their Capacity to Achieve Results**

*National Performance Indicator 5.1 – Broadening the Resource Base*

The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:

*Number of C-CAPs*
*Number of ROMA Trainers*
*Number of Child Development Trainers*
Number of staff attending trainings  
Number of board members attending trainings  
Hours of staff in trainings  
G. Hours of board members in trainings

Goal 6: Low-Income People, Especially Vulnerable Populations, Achieve Their Potential by Strengthening Family and Other Supportive Systems

National Performance Indicator 6.1 – Independent Living

The number of vulnerable individuals receiving services from community action that maintain an independent living situation as a result of those services:

A. Senior Citizens  
B. Individuals with Disabilities (Ages: 0-17; 18-54 and 55 and over)

National Performance Indicator 6.2 – Emergency Assistance

The number of low-income individuals or families served by community action that sought emergency assistance and the percentage of those households for which assistance was provided, including such services as:

A. Food  
B. Emergency vendor or utility payments funded by LIHEAP or other public and private funding sources.  
C. Emergency Rent or Mortgage Assistance  
D. Emergency Car or Home Repair  
E. Emergency Temporary Shelter  
F. Emergency Medical Care  
G. Emergency Protection from Violence  
H. Emergency Legal Assistance  
I. Emergency Transportation  
J. Emergency Disaster Relief  
K. Emergency Clothing

National Performance Indicator 6.3 – Child and Family Development

The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs that achieve program goals, as measured by one or more of the following:

A. Infant and Children –

1. Infants and children obtain age appropriate immunizations, medical and dental care.
2. Infant and child health and physical development are improved as a result of adequate nutrition.
3. Children participate in pre-school activities to develop school readiness skills.
4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade.

B. Youth –

1. Youth improve physical health and development.
2. Youth improve social/emotional development.
3. Youth avoid risk-taking behavior for a defined period of time.
4. Youth have reduced involvement with criminal justice system.
5. Youth increase academic, athletic or social skills for school success by participating in before or after school programs.

C. Parents and Other Adults –

1. Parents and other adults learn and exhibit improved parenting skills.
2. Parents and other adults learn and exhibit improved family functioning skills.

National Performance Indicator 6.4 – Family Supports (Seniors, Disabled and Caregivers)

Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated, as measured by one or more of the following:

A. Enrolled children in before or after school programs
B. Obtained care for child or other dependant
C. Obtained access to reliable transportation and/or driver's license
D. Obtained health care services for themselves or family member
E. Obtained safe and affordable housing
F. Obtained food assistance
G. Obtained non-emergency LIHEAP energy assistance
H. Obtained non-emergency WX energy assistance
I. Obtained other non-emergency energy assistance
   (State/local/private energy programs. Do Not Include LIHEAP or Weatherization)

National Performance Indicator 6.5 – Service Counts

The number of services provided to low-income individuals and/or families, as measured by one or more of the following:

A. Food Boxes
B. Pounds of Food
C. Units of Clothing
D. Rides Provided
E. Information and Referral Calls
STRATEGY DEVELOPMENT

A strategy is defined as a pattern of policies, programs, actions, decisions, and resource allocations that produce desired change. An effective strategy deals with the identified issues and creates conditions that maintain competitiveness for funds, and ensure efficient and effective service delivery.

Development of a strategy begins with the examination of the issues identified. The next step is to review the demonstrated strengths and past experience of the agency. These two (2) steps will enable the agency to develop a plan of action (a strategy) for addressing the particular issues identified. Strategies adopted for the Community Action Plan should address CSBG National Indicators, build on organizational strengths, overcome weaknesses, and respond to identified community needs. Several different programs can work toward the same goal or issue as part of a comprehensive strategy.

The services your organization provides will become the three year (2009 - 2011) strategies that address the issues and CSBG National Goals. At this point the CAA should be prepared to identify the Outcome Measures activities it will address. Remember, CAAs are encouraged to select all six (6) National Goals.

Example of a Strategy Statement:

**Issue:** How can the organization support clients who are in need of employment, thus assisting them in becoming self-sufficient?

**Strategy Statement:** Many families in poverty are unemployed or underemployed which may stem from the recent loss of the manufacturing industry in the community, lack of education and a mismatch between skills in the community and the needs of available positions. The analysis of the community needs assessment indicates unemployment and education are ranked highest in priority. Since our organization is a leader in educational and employment training programs, we will expand our programs and work with existing businesses to understand the mix of talent and skills that are currently in demand. The agency will offer GED, ESL, and computer training courses. To complement these programs, we will offer a small business training class to both graduates of our education programs and to the community at large.

DHCD has identified the following four broad priority topics for the state:

- Financial Literacy, Income Management, and Asset Development
- Job Development and Job Readiness
- Housing and Homelessness Prevention
- Benefit Enrollment and Coordination of Services
During the community action planning process, each CAA must review these priorities in light of their identified community and internal needs. The strategies must be developed that will address among other, these four state priorities. Strategies can come in many forms and shapes. For example, a CAA could choose to develop programs around these four priorities or create partnerships to address one or all of the priorities or choose a combination of both. Nevertheless, the Strategy section must describe how the CAA will address these four state priorities during their CAP implementation years.
Linkages
LINKAGES

An additional component of the Community Action Plan is the identification of community affiliations an agency has developed or is in the process of developing. Federal regulations require that eligible entities or CAAs coordinate programs 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 other community organizations.

In this section, the agency must describe all its collaborations with other service providers, state or local agencies, human service organizations and businesses currently taking place in order to better serve the needs of the agency’s service area population. Linkages can also include formal or informal service agreements with other service providers, CAA participation in a coalition or multi-organization effort, or community-wide regional initiatives in which the CAA is a participant.

By providing a description of linkages, the agency will be able to address gaps in service through information, referral, case management, and follow up consultation. The process of identifying gaps in services is discussed in the Analysis of Needs Assessment Results. Once agency priority issues are identified as a result of the community and internal needs assessments, the agency must then identify the priority areas that it does not have the capability of addressing. The identification of community linkages will enable the agency to work with other local service providers who are capable of addressing those priority areas and issues.

In addition, by identifying all linkages, the agency will be able to better select the goals for family, community and agency, as outlined in the Results Oriented Management and Accountability (ROMA) tool.

For example, an agency has identified the issue of childcare as a major concern for area residents. Because the agency does not have enough space in their own child care facility to accommodate all the families who are in need of childcare services, the agency works closely with other service providers in the area to address this issue. By identifying these service providers the agency is also able to address the ROMA goals of assisting low income persons achieve their potential for economic self-sufficiency and family stability. The head of household will now have the opportunity to obtain or maintain employment without child care worries.
| Funding Strategies |
FUNDING STRATEGIES

Development of a funding strategy enables a community action agency to further describe how it will coordinate with other public and private entities to maximize the impact of Community Service Block Grant (CSBG) funds. The Funding Strategies section should also contain a description of the agency’s fundraising goals and objectives for the next three (3) years.

In this section, describe the current funding structure of the agency. This includes a breakdown, by percentage, of all funds received from local, state, federal and private sources, and a description of how these funds are coordinated with the CSBG.

The next step is to describe how CSBG funds are utilized. This description may be presented in a format which explains, in general terms, how leveraging of CSBG funds occurs. Finally, a description of future goals and new initiatives must be included in the Funding Strategy section. While it is difficult to foresee the exact sources of funding an agency may receive during the next three (3) years, the agency should prepare a description of potential sources of funding that may be applied for, potential increases in current sources and a description of fundraising goals. Agencies should consider reviewing the National Indicator Goal of “Broadening the Resource Base” as it pertains to mobilization of resources in the following areas:

a. Non-CSBG Federal Programs
b. State Programs
c. Local Public Funding
d. Private Sector Resources, including resources from foundations, individual contributors, donations.
e. Any other kind and in-kind resources.

Furthermore, the agency should establish a Fundraising Committee as part of the Board of Directors, if one does not currently exist. This committee supports the efforts of the agency’s management and administrative staff in developing ideas for funding. The committee has the responsibility of developing a long range fundraising plan, in conjunction with the Planning Committee of the Board, to monitor and revise the fundraising plan as needed, and to coordinate individual fundraising efforts and events.

Model sample Funding Strategies have been provided in the Appendices section to further clarify how this particular section should be presented. The CAA funding strategies must address the following issues:

- The need for other funds to leverage the CSBG funds;
- Agency’s ability to be self reliant and not dependent on government funding alone;
- What the short term and long term goals are for acquiring other funds.
Vision Statement
VISION STATEMENT

A vision statement is a realistic picture of how the organization anticipates operating and servicing its clients for the next three to five years. The vision statement can include the goals stated in the Community Action Plan.

The fundamental difference between a mission statement and a vision statement for community action agencies (CAAs) is that the mission is based on the statute and therefore cannot be easily modified. It is truly a long-term statement. A vision statement is more narrowly defined in scope and can change easily. Review of the mission does not encourage discussion concerning the future of the agency because for most CAAs the mission is based on legislation. A vision statement allows an agency to create a picture of success for the future.

Some goals that may be included within your agency vision statement are:

- Improvement of Service Delivery,
- Better understanding of the needs of the community,
- Expansion of programs and services,
- Proactive diversification of funding sources to reduce dependence on public entities,
- Improvement of the image of the agency in the community, improvement of the morale of staff, and active encouragement of staff professional development.

The vision statement should answer the following questions in a few sentences:

- How does the agency wish to be perceived in the community?
- Who does the agency want to service with what quality of programs?
- What kind of structure or staff will the agency need in order to accomplish this?
- What does the agency look like in the future?
- What community action role would the agency like to play?
- What role does the agency play in reducing poverty?
- Locally, Regionally, Statewide?
PROGRAM EVALUATION

The Government Performance and Results Act of 1993 (GPRA) requires that federally funded programs demonstrate measurable outcomes, or measure the impact that programs make in a client’s life or the community in which he/she lives. Annual program evaluations aid in this process and help agency staff and directors assess their success at achieving predetermined agency and programmatic goals.

Definition...

Program Evaluation is the systematic examination of a program to provide information on the full range of its short and long term effects on clients and users of the agency’s services. It is the process of measuring what was planned against what was accomplished, and making any necessary revisions in the plan. In addition, evaluation is used to determine if programs are operating within specified guidelines (i.e., budgetary guidelines, federal, state, or local requirements, etc.). Put simply, program evaluation asks: Is this program delivering?

Why Evaluate...

The answer to this question provides a sound basis for deciding whether an agency should:

- continue or discontinue the program;
- improve its practices and procedures;
- add or drop specific program strategies and techniques;
- institute similar programs elsewhere;
- accept or reject a program approach;
- build community support; and/or
- replicate a program.

To evaluate programs, managers can use performance measures to assess progress toward achievement of predetermined, results-oriented goals. Performance measures provide an ongoing means for managers to track how many of their program participants achieve the outcomes that are desired. Performance measures should be directly related to the organization’s mission and are used to determine areas where improvements can be made. Furthermore, performance measures are used to assess productivity and success in meeting the needs of clients and residents of the agency’s service area.

The evaluation of a program can occur internally, by existing agency staff, as well as externally, through the hiring of an external evaluator. If an agency should choose the latter, several factors should be considered when making a choice of who to hire. Such
factors include the level of objectivity of the evaluator, cost, autonomy, technical expertise and cooperation from agency staff.

**How to Evaluate...**

The components in the evaluation process are as follows:

**Items 1 through 4 should be completed BEFORE a program is initiated**

1. **Provide a brief description of the program.** A program description should include such items as the:
   - Origin and history of the program
   - Program budget and/or funding amount
   - Target population
   - Program objectives

2. **Define the goals of the program.**
   A goal is a broad, general statement of a program aim and what an agency wants to accomplish. Put simply, it is the desired end result of a program stated in general terms. A goal answers the questions, “Where do we want to go?” or “What do we want to accomplish?”

3. **Determine measurable objectives for the defined goals of the program** (e.g., set certain criteria for program goals). Remember, if a program goal should change, the objective may also need to change. This issue will be discussed in the next section, Community Action Plan Evaluation.

   For example, the goals for an urban transportation program are to “provide access to community services, in a safe, quick, and convenient manner for all segments of the community.” Program directors could begin by looking at the criteria of convenience (the accessibility of public transportation to clients), safety (the number of transportation related deaths, injuries, or incidents of property damage), and time (the amount of time required to travel between key destination points and duration of delays).

   The measurable objectives for the transportation program could be that 150 community residents who participate in the transportation program would report a higher level of satisfaction with the public transportation system (information could be obtained through a survey of program participants). In addition, the agency could also state that there will be a 50% decrease in transportation related injuries, deaths, and incidents of property damage as well as a 50% decrease in transportation time delays. This information could be obtained through statistical reports and records of incidents kept throughout the year.
3. **Develop an evaluation process.** The development of a process for how the program will be evaluated is important. The measures that will be utilized to judge the success of a given program should be in place before the program begins. This process should include information on the needs of the program versus the demand for the program.

4. Upon completion of the program, program directors should determine whether or not **all pre-established program goals were met by the end of program.** Have all program outcomes been accomplished? How efficient was the program: was there a large discrepancy between the effects versus costs for the program?

   By looking at the urban transportation program from the example above, has the program met all pre-established goals and measurable objectives? Has there been a decrease in the number of transportation related injuries or deaths? Has there been an increase in the number of program participants who state that they have experienced fewer delays in getting to their destination since the inception of the program? By reviewing this data and evaluating the outcomes of the program, the agency can determine if the program was a success, should continue, should be improved, etc.

5. **Make recommendations for the program.** Were there any areas of the program that could be improved? If so, list the changes that should be made.

**COMMUNITY ACTION PLAN EVALUATION**

Now that the agency has looked at program evaluation, the process of evaluating the agency’s current Community Action Plan should also take place. A periodic review of several components of the agency’s Plan should occur at both the staff and board of directors’ levels.

The following should be reviewed and reassessed **at least annually** in order to ensure constant accuracy:

- The agency’s current **Mission Statement**
  *Is the mission in line with the agency’s current goals and objectives?*

- Results of the **Community Needs Assessment**
  *Is the agency offering programs and activities that address the identified needs of its service area population?*

- Results of the **Internal Needs Assessment**
  *Have issues raised as part of the Internal Needs Assessment been properly addressed by the board and/or staff?*
The agency’s Service Delivery System
Is the agency’s service delivery system adequate to meet the current needs of the service area population?

The CSBG Outcome Measures, which were included in the National Goals and Outcome Measures Evaluation section of the Plan.
Have any workplan activities changed? Have the established Outcome Measures changed to coincide with these new activities?

The agency’s three (3) year Goals and Strategies
Are the goals that the agency established in year one still applicable in year three?

All established agency Linkages
Are there any other social services agencies, local government offices, etc. that the agency is now working with that it hadn’t been working with when the Community Action Plan was developed?

The agency’s Funding Strategies
Is there a need for the agency to increase its fundraising efforts?

The agency’s Vision Statement
In lieu of potential changes with agency programs and activities, is the agency’s vision still appropriate?

When reviewing each of these components, staff and board should make sure that the agency is on track with what was identified and described within the Plan.

During year two, for example, is the agency still focusing on housing as a priority, an item identified as a priority through the Community Needs Assessment? Is the agency adhering to the goals listed in the Funding Strategies component of the Plan?

Finally, all stakeholders in the Community Action Planning process should be aware of the fact that any or all items in the Plan are subject to constant review and revision. The Plan should be viewed as a constant work in progress. If necessary, goals, priorities, strategies, etc., should be revised to meet the current demands of the agency and current priorities of the service area population.
Statement of Federal, CSBG, and CFNP Assurances

As part of the annual application and plan required by Section 676 of the Community Services Block Grant Act as amended, (42 U.S.C. 9901 et seq.) (The Act), the Department of Housing and Community Development acting as the lead agency for the administration of the CSBG hereby agrees to the Assurances in Section 676 of the Act.

A. Programmatic Assurances

1. Funds made available through this grant or allotment will be used:

(a) To support activities that are designed to assist low income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low income individuals and families to enable the families and individuals to:

   (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);

   (ii) secure and retain meaningful employment;

   (iii) attain an adequate education, with particular attention toward improving literacy skills of low income families in the communities involved, which may include carrying out family literacy initiatives;

   (iv) make better use of available income;

   (v) obtain and maintain adequate housing and a suitable living environment;

   (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and

   (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

(b) To address the needs of youth in low income communities through youth development programs that support the primary role of the family, give
priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after school child care programs; and

(c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). ['676(b)(1)]

(2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) of the Act in accordance with the Community Services Block Grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the Community Services Block Grant program. ['676(b)(2)]

(3) To provide information provided by eligible entities in the State, including:

(a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low income individuals and families in communities within the State;

(b) a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;

(c) a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and

(d) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the Community Services Block Grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]

(4) To ensure that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low income individuals. ['676(b)(4)]

(5) That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the
effective delivery of such services to low income individuals and to avoid
duplication of such services, and State and the eligible entities will coordinate the
 provision of employment and training activities in the State and in communities
with entities providing activities through statewide and local workforce
investment systems under the Workforce Investment Act of 1998.  [‘676(b)(5)]

(6) To ensure coordination between antipoverty programs in each community in the
State, and ensure, where appropriate, that emergency energy crisis intervention
programs under title XXVI (relating to low income home energy assistance) are
conducted in such communities.  [‘676(b)(6)]

(7) To permit and cooperate with Federal investigations undertaken in accordance
with Section 678D of the Act.  [‘676(b)(7)]

(8) That any eligible entity in the State that received funding in the previous fiscal
year through a Community Services Block Grant under the Community Services
Block Grant program will not have its funding terminated under this subtitle, or
reduced below the proportional share of funding the entity received in the
previous fiscal year unless, after providing notice and an opportunity for a hearing
on the record, the State determines that cause exists for such termination or such
reduction, subject to review by the Secretary as provided in Section 678C(b) of the
Act.  [‘676(b)(8)]

(9) That the State and eligible entities in the State will, to the maximum extent
possible, 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.  [‘676(b)(9)]

(10) To require each eligible entity in the State to establish procedures under which a
low income individual, community organization, or religious organization, or
representative of low income individuals that considers its organization, or low
income individuals, to be inadequately represented on the board (or other
mechanism) of the eligible entity to petition for adequate representation.
[‘676(b)(10)]

(11) To secure from each eligible entity in the State, as a condition to receipt of
funding, a community action plan (which shall be submitted to the Secretary, at
the request of the Secretary, with the State plan) that includes a community--
needs assessment for the community served, which may be coordinated with
community-needs assessments conducted for other programs.  [‘676(b)(11)]

(12) That the State and all eligible entities in the State will, not later than fiscal year
2001, participate in the Results Oriented Management and Accountability System,
another performance measure system for which the Secretary facilitated
development pursuant to Section 678E(b) of the Act.  [‘676(b)(12)]
(13) To provide information describing how the State will carry out these assurances. ['676(b)(13)] (This is the Narrative CSBG State Plan)

B. Administrative Assurances

The State further agrees to the following, as required under the Act:

1. To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the Community Services Block Grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]

2. To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the Community Services Block Grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. ['675C(a)(1) and (2)]

3. In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the Community Services Block Grant program. ['675C(a)(3)]

4. To spend no more than the greater of $55,000 or 5 percent of its grant received under Section 675A or the State allotment received under Section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]

5. In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]

6. That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or ’675B for the period covered by the State plan. ['676(a)(2)(B)]
(7) That the chief executive officer of the State will designate, an appropriate State agency for purposes of carrying out State Community Services Block Grant program activities. ['676(a)(1)]

(8) To hold at least one legislative hearing every three years in conjunction with the development of the State plan. ['676(a)(3)]

(9) To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)]

(10) To conduct the following reviews of eligible entities:

(a) full on-site review of each such entity at least once during each three-year period;

(b) an on-site review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the Community Services Block Grant program;

(c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State; and

(d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the Community Services Block Grant program) terminated for cause. ['678B(a)]

(11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the Community Services Block Grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:

(a) inform the entity of the deficiency to be corrected;

(b) require the entity to correct the deficiency;

(c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;

(d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency,
a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved; and (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [‘678(C)(a)]

(12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 6781D(a)(1) and 678D(a)(2) of the Act.

(13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the Community Services Block Grant program. [‘678D(a)(3)]

(14) To participate, by October 1, 2001, and ensure that all-eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System [‘678E(a)(1)].

(15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under ‘678E(a)(2) of the Act.

(16) To comply with the prohibition against use of Community Services Block Grant funds 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, as described in Section 678F(a) of the Act.

(17) To ensure that programs assisted by Community Services Block Grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [‘678F(b)]

(18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with Community Services Block Grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 19734 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [‘678F(c)]
(19) To consider religious organizations on the same basis as other nongovernmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the Community Services Block Grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the Community Services Block Grant program. [679]

B. Other Administrative Certifications

The State also certifies the following:

(1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of Community Services Block Grant program funds.

(2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children's services and that all subgrantees shall certify accordingly.
SYNOPSIS: An Act to provide for the establishment of strategic planning and performance measurement in the Federal Government, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled.

SECTION 1. SHORT TITLE

This Act may be cited as the “Government Performance and Results Act of 1993.”

SEC. 2. FINDINGS AND PURPOSES.

(a) Findings -- The Congress finds that--

1. waste and inefficiency in Federal programs undermine the confidence of the American people in the Government and reduces the Federal Governments ability to address adequately vital public needs;

2. Federal managers are seriously disadvantaged in their efforts to improve program efficiency and effectiveness, because of insufficient articulation of program goals and inadequate information on program performance; and

3. congressional policymaking, spending decisions and program oversight are seriously handicapped by insufficient attention to program performance and results.

(b) PURPOSES- The purposes of this Act are to--

1. improve the confidence of the American people in the capability of the Federal Government, by systematically holding Federal agencies accountable for achieving program results;

2. initiate program performance reform with a series of pilot projects in setting program goals, measuring program performance against those goals, and reporting publicly on their progress;
3. improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality, and customer satisfaction;

4. help Federal managers improve service delivery, by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality;

5. improve congressional decision making by providing more objective information on achieving statutory objectives, and on the relative effectiveness and efficiency of Federal programs and spending; and

6. improve internal management of the Federal Government.

**SEC. 3. STRATEGIC PLANNING.**

Chapter 3 of title 5, United States Code, is amended by adding after section 305 the following new section: Sec. 306. Strategic plans

a. No later than September 30, 1997, the head of each agency shall submit to the Director of the Office of Management and Budget and to the Congress a strategic plan for program activities. Such plan shall contain--

1. a comprehensive mission statement covering the major functions and operations of the agency;

2. general goals and objectives, including outcome-related goals and objectives, for the major functions and operations of the agency;

3. a description of how the goals and objectives are to be achieved, including a description of the operational processes, skills and technology, and the human, capital, information, and other resources required to meet those goals and objectives;

4. a description of how the performance goals included in the plan required by section 1115(a) of title 31 shall be related to the general goals and objectives in the strategic plan;

5. an identification of those key factors external to the agency and beyond its control that could significantly affect the achievement of the general goals and objectives; and

6. a description of the program evaluations used in establishing or revising general goals and objectives, with a schedule for future program evaluations.

b. The strategic plan shall cover a period of not less than five years forward from the fiscal year in which it is submitted, and shall be updated and revised at least every three years.
c. The performance plan required by section 1115 of title 31 shall be consistent with the agency’s strategic plan. A performance plan may not be submitted for a fiscal year not covered by a current strategic plan under this section.

d. When developing a strategic plan, the agency shall consult with the Congress, and shall solicit and consider the views and suggestions of those entities potentially affected by or interested in such a plan.

e. The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of strategic plans under this section shall be performed only by Federal employees.

f. For purposes of this section the term agency means an Executive agency defined under section 105, but does not include the Central Intelligence Agency, the General Accounting Office, the Panama Canal Commission, the United States Postal Service, and the Postal Rate Commission.

SEC. 4. ANNUAL PERFORMANCE PLANS AND REPORTS.

(a) BUDGET CONTENTS AND SUBMISSION TO CONGRESS

- Section 1105(a) of title 31, United States Code, is amended by adding at the end thereof the following new paragraph:
  (29) beginning with fiscal year 1999, a Federal Government performance plan for the overall budget as provided for under section 1115..

(b) PERFORMANCE PLANS AND REPORTS

- Chapter 11 of title 31, United States Code, is amended by adding after section 1114 the following new sections:

Sec.1115. Performance plans

a. In carrying out the provisions of section 1105(a)(29), the Director of the Office of Management and Budget shall require each agency to prepare an annual performance plan covering each program activity set forth in the budget of such agency. Such plan shall--

1. establish performance goals to define the level of performance to be achieved by a program activity;

2. express such goals in an objective, quantifiable, and measurable form unless authorized to be in an alternative form under subsection (b);

3. briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;

4. establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity;
5. provide a basis for comparing actual program results with the established performance goals; and

6. describe the means to be used to verify and validate measured values.

b. If an agency, in consultation with the Director of the Office of Management and Budget, determines that it is not feasible to express the performance goals for a particular program activity in an objective, quantifiable, and measurable form, the Director of the Office of Management and Budget may authorize an alternative form. Such alternative form shall--

1. include separate descriptive statements of--
   (A)(i) a minimally effective program, and
   (ii) a successful program, or
   (B) such alternative as authorized by the Director of the Office of Management and Budget, with sufficient precision and in such terms that would allow for an accurate, independent determination of whether the program activity’s performance meets the criteria of the description; or

2. state why it is infeasible or impractical to express a performance goal in any form for the program activity.

c. For the purpose of complying with this section, an agency may aggregate, disaggregate, or consolidate program activities, except that any aggregation or consolidation may not omit or minimize the significance of any program activity constituting a major function or operation for the agency.

d. An agency may submit with its annual performance plan an appendix covering any portion of the plan that--

1. is specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy; and

2. is properly classified pursuant to such Executive order.

e. The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of performance plans under this section shall be performed only by Federal employees.

f. For purposes of this section and sections 1116 through 1119, and sections 9703 and 9704 the term--

1. agency has the same meaning as such term is defined under section 306(f) of title 5;

2. outcome measure means an assessment of the results of a program activity compared to its intended purpose;

3. output measure means the tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner;
4. performance goal means a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate;

5. performance indicator means a particular value or characteristic used to measure output or outcome;

6. program activity means a specific activity or project as listed in the program and financing schedules of the annual budget of the United States Government; and

7. program evaluation means an assessment, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives.

Sec. 116. Program performance reports

a. No later than March 31, 2000, and no later than March 31 of each year thereafter, the head of each agency shall prepare and submit to the President and the Congress, a report on program performance for the previous fiscal year.

b. Each program performance report shall set forth the performance indicators established in the agency performance plan under section 1115, along with the actual program performance achieved compared with the performance goals expressed in the plan for that fiscal year.

2. If performance goals are specified in an alternative form under section 1115(b), the results of such program shall be described in relation to such specifications, including whether the performance failed to meet the criteria of a minimally effective or successful program.

c. The report for fiscal year 2000 shall include actual results for the preceding fiscal year, the report for fiscal year 2001 shall include actual results for the two preceding fiscal years, and the report for fiscal year 2002 and all subsequent reports shall include actual results for the three preceding fiscal years.

d. Each report shall--

1. review the success of achieving the performance goals of the fiscal year;

2. evaluate the performance plan for the current fiscal year relative to the performance achieved toward the performance goals in the fiscal year covered by the report;

3. explain and describe, where a performance goal has not been met (including when a program activity’s performance is determined not to have met the criteria of a successful program activity under section 1115(b)(1)(A)(ii) or a corresponding level of achievement if another alternative form is used)--
A. why the goal was not met;
B. those plans and schedules for achieving the established performance goal; and
C. if the performance goal is impractical or infeasible, why that is the case and what action is recommended;

4. describe the use and assess the effectiveness in achieving performance goals of any waiver under section 9703 of this title; and

5. include the summary findings of those program evaluations completed during the fiscal year covered by the report.

e. An agency head may include all program performance information required annually under this section in an annual financial statement required under section 3515 if any such statement is submitted to the Congress no later than March 31 of the applicable fiscal year.

f. The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of program performance reports under this section shall be performed only by Federal employees.

Sec. 1117. Exemption

The Director of the Office of Management and Budget may exempt from the requirements of sections 1115 and 1116 of this title and section 306 of title 5, any agency with annual outlays of $20,000,000 or less.

SEC. 5. MANAGERIAL ACCOUNTABILITY AND FLEXIBILITY.

(a) MANAGERIAL ACCOUNTABILITY AND FLEXIBILITY

- Chapter 97 of title 31, United States Code, is amended by adding after section 9702, the following new section: Sec. 9703. Managerial accountability and flexibility

a. Beginning with fiscal year 1999, the performance plans required under section 1115 may include proposals to waive administrative procedural requirements and controls, including specification of personnel staffing levels, limitations on compensation or remuneration, and prohibitions or restrictions on funding transfers among budget object classification 20 and sub-classifications 11, 12, 31, and 32 of each annual budget submitted under section 1105, in return for specific individual or organization accountability to achieve a performance goal. In preparing and submitting the performance plan under section 1105(a)(29), the Director of the Office of Management and Budget shall review and may approve any proposed waivers. A waiver shall take effect at the beginning of the fiscal year for which the waiver is approved.
b. Any such proposal under subsection (a) shall describe the anticipated effects on performance resulting from greater managerial or organizational flexibility, discretion, and authority, and shall quantify the expected improvements in performance resulting from any waiver. The expected improvements shall be compared to current actual performance, and to the projected level of performance that would be achieved independent of any waiver.

c. Any proposal waiving limitations on compensation or remuneration shall precisely express the monetary change in compensation or remuneration amounts, such as bonuses or awards that shall result from meeting, exceeding, or failing to meet performance goals.

d. Any proposed waiver of procedural requirements or controls imposed by an agency (other than the proposing agency or the Office of Management and Budget) may not be included in a performance plan unless it is endorsed by the agency that established the requirement, and the endorsement included in the proposing agency’s performance plan.

e. A waiver shall be in effect for one or two years as specified by the Director of the Office of Management and Budget in approving the waiver. A waiver may be renewed for a subsequent year. After a waiver has been in effect for three consecutive years, the performance plan prepared under section 1115 may propose that a waiver, other than a waiver of limitations on compensation or remuneration, be made permanent.

f. For purposes of this section, the definitions under section 1115(f) shall apply.

SEC. 6. PILOT PROJECTS.

(a) PERFORMANCE PLANS AND REPORTS-

Chapter 11 of title 31, United States Code, is amended by inserting after section 1117 (as added by section 4 of this Act) the following new section: Sec. 1118. Pilot projects for performance goals

1. The Director of the Office of Management and Budget, after consultation with the head of each agency, shall designate not less than ten agencies as pilot projects in performance measurement for fiscal years 1994, 1995, and 1996. The selected agencies shall reflect a representative range of Government functions and capabilities in measuring and reporting program performance.

2. Pilot projects in the designated agencies shall undertake the preparation of performance plans under section 1115, and program performance reports under section 1116, other than section 1116(c), for one or more of the major functions and operations of the agency. A strategic plan shall be used when preparing agency performance plans during one or more years of the pilot period.
3. No later than May 1, 1997, the Director of the Office of Management and Budget shall submit a report to the President and to the Congress which shall--

1. assess the benefits, costs, and usefulness of the plans and reports prepared by the pilot agencies in meeting the purposes of the Government Performance and Results Act of 1993;

2. identify any significant difficulties experienced by the pilot agencies in preparing plans and reports; and

3. set forth any recommended changes in the requirements of the provisions of Government Performance and Results Act of 1993, section 306 of title 5, sections 1105, 1115, 1116, 1117, 1119 and 9703 of this title, and this section.

(b) MANAGERIAL ACCOUNTABILITY AND FLEXIBILITY

Chapter 97 of title 31, United States Code, is amended by inserting after section 9703 (as added by section 5 of this Act) the following new section: Sec. 9704. Pilot projects for managerial accountability and flexibility

1. The Director of the Office of Management and Budget shall designate not less than five agencies as pilot projects in managerial accountability and flexibility for fiscal years 1995 and 1996. Such agencies shall be selected from those designated as pilot projects under section 1118 and shall reflect a representative range of Government functions and capabilities in measuring and reporting program performance.

2. Pilot projects in the designated agencies shall include proposed waivers in accordance with section 9703 for one or more of the major functions and operations of the agency.

3. The Director of the Office of Management and Budget shall include in the report to the President and to the Congress required under section 1118(c)--

1. an assessment of the benefits, costs, and usefulness of increasing managerial and organizational flexibility, discretion, and authority in exchange for improved performance through a waiver; and

2. an identification of any significant difficulties experienced by the pilot agencies in preparing proposed waivers.

4. For purposes of this section the definitions under section 1115(f) shall apply.

(c) PERFORMANCE BUDGETING

Chapter 11 of title 31, United States Code, is amended by inserting after section 1118 (as added by section 6 of this Act) the following new section: Sec. 1119. Pilot projects for performance budgeting
a. The Director of the Office of Management and Budget, after consultation with the head of each agency shall designate not less than five agencies as pilot projects in performance budgeting for fiscal years 1998 and 1999. At least three of the agencies shall be selected from those designated as pilot projects under section 1118, and shall also reflect a representative range of Government functions and capabilities in measuring and reporting program performance.

b. Pilot projects in the designated agencies shall cover the preparation of performance budgets. Such budgets shall present, for one or more of the major functions and operations of the agency, the varying levels of performance, including outcome-related performance that would result from different budgeted amounts.

c. The Director of the Office of Management and Budget shall include, as an alternative budget presentation in the budget submitted under section 1105 for fiscal year 1999, the performance budgets of the designated agencies for this fiscal year.

d. No later than March 31, 2001, the Director of the Office of Management and Budget shall transmit a report to the President and to the Congress on the performance budgeting pilot projects which shall--

1. assess the feasibility and advisability of including a performance budget as part of the annual budget submitted under section 1105;

2. describe any difficulties encountered by the pilot agencies in preparing a performance budget;

3. recommend whether legislation requiring performance budgets should be proposed and the general provisions of any legislation; and

4. set forth any recommended changes in the other requirements of the Government Performance and Results Act of 1993, section 306 of title 5, sections 1105, 1115, 1116, 1117, and 9703 of this title, and this section.

e. After receipt of the report required under subsection (d), the Congress may specify that a performance budget be submitted as part of the annual budget submitted under section 1105.

SEC. 7. UNITED STATES POSTAL SERVICE.

Part III of title 39, United States Code, is amended by adding at the end thereof the following new chapter:

CHAPTER 28--STRATEGIC PLANNING AND PERFORMANCE MANAGEMENT

Sec.
2801. Definitions.
2802. Strategic plans.
2803. Performance plans.
Sec. 2801. Definitions

For purposes of this chapter the term--

1. outcome measure refers to an assessment of the results of a program activity compared to its intended purpose;

2. output measure refers to the tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner;

3. performance goal means a target level of performance expressed as a tangible, measurable objective, against which actual achievement shall be compared, including a goal expressed as a quantitative standard, value, or rate;

4. performance indicator refers to a particular value or characteristic used to measure output or outcome;

5. program activity means a specific activity related to the mission of the Postal Service; and

6. program evaluation means an assessment, through objective measurement and systematic analysis, of the manner and extent to which Postal Service programs achieve intended objectives.

Sec. 2802. Strategic plans

a. No later than September 30, 1997, the Postal Service shall submit to the President and the Congress a strategic plan for its program activities. Such plan shall contain--

1. a comprehensive mission statement covering the major functions and operations of the Postal Service;

2. general goals and objectives, including outcome-related goals and objectives, for the major functions and operations of the Postal Service;

3. a description of how the goals and objectives are to be achieved, including a description of the operational processes, skills and technology, and the human, capital, information, and other resources required to meet those goals and objectives;

4. a description of how the performance goals included in the plan required under section 2803 shall be related to the general goals and objectives in the strategic plan;
5. an identification of those key factors external to the Postal Service and beyond its control that could significantly affect the achievement of the general goals and objectives; and

6. a description of the program evaluations used in establishing or revising general goals and objectives, with a schedule for future program evaluations.

b. The strategic plan shall cover a period of not less than five years forward from the fiscal year in which it is submitted, and shall be updated and revised at least every three years.

c. The performance plan required under section 2803 shall be consistent with the Postal Services strategic plan. A performance plan may not be submitted for a fiscal year not covered by a current strategic plan under this section.

d. When developing a strategic plan, the Postal Service shall solicit and consider the views and suggestions of those entities potentially affected by or interested in such a plan, and shall advise the Congress of the contents of the plan.

Sec. 2803. Performance plans

a. The Postal Service shall prepare an annual performance plan covering each program activity set forth in the Postal Service budget, which shall be included in the comprehensive statement presented under section 2401(g) of this title. Such plan shall--

1. establish performance goals to define the level of performance to be achieved by a program activity;

2. express such goals in an objective, quantifiable, and measurable form unless an alternative form is used under subsection (b);

3. briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;

4. establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity;

5. provide a basis for comparing actual program results with the established performance goals; and

6. describe the means to be used to verify and validate measured values.

b. If the Postal Service determines that it is not feasible to express the performance goals for a particular program activity in an objective, quantifiable, and measurable form, the Postal Service may use an alternative form. Such alternative form shall--
1. include separate descriptive statements of—
(A) a minimally effective program, and
(B) a successful program,
with sufficient precision and in such terms that would allow for an accurate, independent determination of whether the program activity’s performance meets the criteria of either description; or

2. state why it is infeasible or impractical to express a performance goal in any form for the program activity.

c. In preparing a comprehensive and informative plan under this section, the Postal Service may aggregate, disaggregate, or consolidate program activities, except that any aggregation or consolidation may not omit or minimize the significance of any program activity constituting a major function or operation.

d. The Postal Service may prepare a non-public annex to its plan covering program activities or parts of program activities relating to—
(1) the avoidance of interference with criminal prosecution;
or
(2) matters otherwise exempt from public disclosure under section 410(c) of this title.

Sec. 2804. Program performance reports

a. The Postal Service shall prepare a report on program performance for each fiscal year, which shall be included in the annual comprehensive statement presented under section 2401(g) of this title.

b. 1. The program performance report shall set forth the performance indicators established in the Postal Service performance plan, along with the actual program performance achieved compared with the performance goals expressed in the plan for that fiscal year.

2. If performance goals are specified by descriptive statements of a minimally effective program activity and a successful program activity, the results of such program shall be described in relationship to those categories, including whether the performance failed to meet the criteria of either category.

c. The report for fiscal year 2000 shall include actual results for the preceding fiscal year, the report for fiscal year 2001 shall include actual results for the two preceding fiscal years, and the report for fiscal year 2002 and all subsequent reports shall include actual results for the three preceding fiscal years.

d. Each report shall—
1. review the success of achieving the performance goals of the fiscal year;

2. evaluate the performance plan for the current fiscal year relative to the performance achieved towards the performance goals in the fiscal year covered by the report;

3. explain and describe, where a performance goal has not been met (including when a program activity’s performance is determined not to have met the criteria of a successful program activity under section 2803(b)(2))--
(A) why the goal was not met;
(B) those plans and schedules for achieving the established performance goal; and
(C) if the performance goal is impractical or infeasible, why that is the case and what action is recommended; and

4. include the summary findings of those program evaluations completed during the fiscal year covered by the report.

5.

**Sec. 2805. Inherently Governmental functions**

The functions and activities of this chapter shall be considered to be inherently Governmental functions. The drafting of strategic plans, performance plans, and program performance reports under this section shall be performed only by employees of the Postal Service..

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**SEC. 8. CONGRESSIONAL OVERSIGHT AND LEGISLATION.**

1. **IN GENERAL-** Nothing in this Act shall be construed as limiting the ability of Congress to establish, amend, suspend, or annul a performance goal. Any such action shall have the effect of superseding that goal in the plan submitted under section 1105(a)(29) of title 31, United States Code.

2. **GAO REPORT-** No later than June 1, 1997, the Comptroller General of the United States shall report to Congress on the implementation of this Act, including the prospects for compliance by Federal agencies beyond those participating as pilot projects under sections 1118 and 9704 of title 31, United States Code.

**SEC. 9. TRAINING.**

The Office of Personnel Management shall, in consultation with the Director of the Office of Management and Budget and the Comptroller General of the United States, develop a strategic planning and performance measurement training component for its management training program and otherwise provide managers with an orientation on the development and use of strategic planning and program performance measurement.
SEC. 10. APPLICATION OF ACT.

No provision or amendment made by this Act may be construed as--

1. creating any right, privilege, benefit, or entitlement for any person who is not an officer or employee of the United States acting in such capacity, and no person who is not an officer or employee of the United States acting in such capacity shall have standing to file any civil action in a court of the United States to enforce any provision or amendment made by this Act; or

2. superseding any statutory requirement, including any requirement under section 553 of title 5, United States Code.

SEC. 11. TECHNICAL AND CONFORMING AMENDMENTS.

a. AMENDMENT TO TITLE 5, UNITED STATES CODE- The table of sections for chapter 3 of title 5, United States Code, is amended by adding after the item relating to section 305 the following: 306. Strategic plans.

b. AMENDMENTS TO TITLE 31, UNITED STATES CODE-

1. AMENDMENT TO CHAPTER 11- The table of sections for chapter 11 of title 31, United States Code, is amended by adding after the item relating to section 1114 the following: 1115. Performance plans. 1116. Program performance reports. 1117. Exemptions. 1118. Pilot projects for performance goals. 1119. Pilot projects for performance budgeting.

2. AMENDMENT TO CHAPTER 97- The table of sections for chapter 97 of title 31, United States Code, is amended by adding after the item relating to section 9702 the following: 9703. Managerial accountability and flexibility. 9704. Pilot projects for managerial accountability and flexibility.

c. AMENDMENT TO TITLE 39, UNITED STATES CODE- The table of chapters for part III of title 39, United States Code, is amended by adding at the end thereof the following new item: 2801
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Metropolitan Area Planning Council, Metro Future Strategies http://www.metrofuture.org/strategies
MODEL COMMUNITY ACTION PLANS