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CHEYENNE/LARAMIE COUNTY MX IMPACT
HUMAN SERVICE SYSTEM REFINEMENTS PROJECT

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REFINEMENTS MANUAL

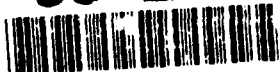
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HUMAN SERVICE SYSTEM REFINEMENTS MANUAL

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I. INTRODUCTION

A. Acknowledgements

Funds to support the development of this Manual were provided by the United States of America/Department of the Air Force through a grant to the Wyoming Office of Industrial Siting Administration. This grant was made available under the terms of Section 801 of the Military Construction Authorization Act, 1981, (P.L. 96-418 as amended by P.L. 97-99, 10 U.S.C.).

Suggestions regarding appropriate contents for the Manual were provided by members of the Wyoming-Nebraska Intergovernmental Executive Impact Council, local elected officials and their representatives in Laramie County, and officials from the human service system provider network in Laramie County.

Members of the Cheyenne/Laramie County Human Service System Refinements Task Force were instrumental in the design and content of this Manual. Individually and in Task Force meetings James Brady, Jane Dorn, Gary Maier, Do Palma, and Lori Shumate offered comments and suggestions that contributed significantly to the usefulness of this product.

Finally, all materials included in the Manual were developed by the staff of the firm of John C. Johnston and Associates, Inc. of Lawrence, Kansas.

B. Purpose and Uses

The materials in this Manual were developed to help both funding source and provider officials in Laramie County design and make system improvements that will allow a more effective and efficient response to human service problems resulting from the installation of MX missiles (The Peacekeeper Project) in the area.

Both funding source and provider officials should feel free to adopt, adapt, or modify these materials for use in any way they deem appropriate.

C. Background

There is no theoretical limit to the subjects or to the types of materials that could be included in a Manual of this nature. Accordingly, care was taken to insure that the materials provided relate specifically to concerns expressed by persons within the human service network in Laramie County. Topics of interest in this regard were solicited through written surveys, meetings, and personal interviews.

II. Strategic Planning

A. Introduction

High quality human service programs always operate as if they were in the first year of a multi-year plan. More specifically, what they do at any given point in time relates directly to the problems they expect to encounter and the responses they expect to make in the next several years.

A quality strategic planning effort by a human service agency involves:

1. A general assessment of the agency's status and an assessment of the environment in which it operates;
2. Adoption of a mission statement;
3. The identification of changes that will be made over time in target populations and in problems these populations face that will be addressed;
4. The identification of changes that will be made over time in the relative mix of agency efforts that will be devoted to program administration, problem resolution, and agency development;
5. The selection of a systematic approach to overcome barriers to long-term agency development; and,
6. The selection of long-term resource mobilization objectives.

B. Materials

1. Mission Related Exercises.....4-7
2. Sample Strategic Plan Table of Contents.....8
3. Sample Strategic Plan Elements.....9-11
4. Sample Strategic Plan Language.....12-16

Mission Related Exercises

Overview

In approximately two hours an agency or organization can use the following exercises to prepare for a mission development or mission refinement effort.

Exercise #1

A grid similar to the one that follows can be used to help persons identify a preferred target population or populations.

Possible Target Population	Extent of Concern to Agency...		
	Low	Medium	High
Male			
Female			
Head of Household			
Unrelated Individual			
Race/Ethnicity (Specify Options)			
Income Levels (Specify Options)			
Education Levels (Specify Options)			
Geographic Locations (Specify Options)			
Problem Categories (Specify Options)			
Other (specify) (Specify Options)			

Exercise #2

When combined with the three exercises that follow, this exercise can be used to show people that they hold pre-conceived notions about the relative merits of basic human service program strategies, and that these notions serve as the basis for their mission related assumptions.

The exercise itself consists of having people select broad program design approaches given three options. So long as each of the questions provides a direct service/income transfer option, a option that involves engaging the community in a problem solving

effort, and an option that involves changing policies, procedures, etc, it makes little difference how many questions are used or what their subject matter is. (An attempt, however, should be made to link the questions used with the results of a target population preference exercise.

The following are but four of many possible examples of these types of questions.

A. Assume that your agency has decided to address the problem of hunger. Should it...

1. Purchase and distribute food
2. Promote the establishment of community sponsored pantries
3. Expand existing public commodities distribution programs

B. Assume that your agency has decided to address the problem of unemployment. Should it...

1. Provide transportation to job sites
2. Help community residents start and manage small businesses
3. Combat race and sex discrimination in employment

C. Assume that your agency has decided to address the problem of inadequate housing. Should it...

1. Provide information and make referrals
2. Help a neighborhood group promote housing renovation and improvements
3. Help establish a local housing development authority with bonding power

D. Assume that your agency has decided to address problems relating to an inability to meet emergency needs. Should it...

1. Provide cash assistance directly
2. Help people in the community establish and operate a thrift store
3. Seek to increase the efficiency and effectiveness of existing emergency needs programs

After participants have responded to questions of this type their responses can be totaled to determine their preferences in terms of direct service/income transfer approaches (the 1. answers), community problem solving (the 2. answers), and efforts to bring about systemic change (the 3. answers). These percentages can then be used in discussions that follow Exercises #4 and #5 below.

Exercise #3

This exercise probes impressions about fundamental problem causes, and it can be done for any target population or populations. (An agency that serves only low-income people would address basic causes of poverty. One that serves only chemically

dependent persons would examine the basic causes of alcohol and substance abuse, etc.)

The exercise consists of asking people to write down what they take to be the three major reasons why their target population(s) exists. This will bring a wide range of responses which can be used to make the following points:

1. Reasonable people can hold different views about the basic causes of problems human service target populations face;
2. The causes of human service problems are complex and interrelated;
3. Some of the causes of problems human service target populations face can be attributed to individual members of these populations and some can be attributed to the environment in which these persons live;
4. An individual's human service program design preferences depend to a substantial extent on assumptions about problem causes; and
5. No human service agency is likely to have a unified sense of mission if its officials have not examined and discussed what they take to be basic causes of the problems its target population(s) face.

Exercise #4

The questions used in Exercise #2, above, or any similar questions can be used in this exercise which consists of asking people to describe both positive and negative aspects of the three basic problem solving approaches embodied in the questions. (Participants may note, for example, that income transfer strategies can be implemented quickly or that they address immediate needs. On the negative side, it may be suggested that they do not represent a long-term solution to problems. Conversely, community problem solving and attempts to bring about fundamental changes may be viewed as being longer term solutions, but participants may recognize that they take longer to implement.)

If done thoroughly this exercise will lead participants to conclude that:

1. All human service program approaches have positive and negative features;
2. An individual's program design preferences depend to a substantial extent on perceptions regarding the positive and negative features of program approaches; and,
3. No human service agency is likely to have a unified sense of mission if its officials have not examined and discussed positive and negative aspects of basic human service problem solving approaches and come to some collective agreement in this regard.

Exercise #5

If thought has been given to the causes of human service problems and to the positive and negative aspects of approaches that can be used to address these problems, participants can use this exercise to make fundamental mission related policy choices. All that is required is that they consider a set of instructions similar to those that follow.

Instructions:

First, fill in the percentages for the three problem solving approaches below taken from our "pre-test". (See Exercise #2) Second, complete the next two columns of the grid taking into account our discussion regarding causes of the problems our target population(s) face, (Exercise #3) and our discussion regarding the positive and negative aspects of various problem solving approaches (Exercise #4).

	Pre-Test %'s (Exercise #1)	% Mix Used Now in Agency	Preferred % Mix in Agency
Approach 1.			
Approach 2.			
Approach 3.			
	100%	100%	100%

STRATEGIC PLAN

Sample Table of Contents

I.	Introduction	(Suggested Content)
	A. Purpose of Plan	(Guide policy decisions of Agency over next ? years)
	B. Background Considerations	(Comments regarding Agency environment)
	C. Target Population(s) Data and Information	(Relating to target population(s) and to their problems)
II.	Plan Development Mechanics	
	A. Planning Time-Frame	(Start to finish)
	B. Planning Process	(Brief description)
	C. Participants	(By type with roles and responsibilities)
III.	Methodology	
	A. Mission Development Process	(Steps used)
	B. Input Solicitation	(How solicited, from whom, in what form)
	C. Priority Setting	(Criteria and process used and who made decisions)
IV.	Mission Statement	
	A. Previous Mission	(Highlights only)
	B. New Mission	(Complete)
	C. Commentary	(Basic reasons for change)
V.	Priorities	
	A. Target Population(s)	(Include chart)
	B. Problems	(Include chart)
	C. Causes	(Include chart)
	D. Agency Management Elements	(Include chart)
	E. Agency Development	(Include chart)
	F. Resource Mobilization	(Include chart)
VI.	Conclusion	(Highlights, special challenges/initiatives, reserve right to amend)

Sample Strategic Plan Elements

Chart 1: Target Population Characteristics

XYZ Population Characteristics	XYZ Mix Agency Area	Current Mix Agency Partic's	Mix Agency Partic's FY/QQ	Mix Agency Partic's FY/RR	Mix Agency Partic's FY/SS
Age (Select Categories)					
Income (Select Categories)					
Education (Select Categories)					
Race/Ethnicity (Select Categories)					
Other (Specify) (Select Categories)					

Chart 2 Problems

Target Population Problems	Current Pblm Mix	Pblm Mix FY/QQ	Pblm Mix FY/RR	Pblm Mix FY/SS
(Specify Major Problems To Be Addressed)				
Totals	100%	100%	100%	100%

Sample Strategic Plan Elements
Chart 3 Problem Causes

Problems	Causes Addr's'd Now	Causes Ads'd FY/QQ	Causes Ads'd FY/RR	Causes Ads'd FY/SS
Problem A (List Causes)				
Problem B (List Causes)				
Problem C (List Causes)				

Chart 4 Management Elements Analysis

Management Elements	Mix Now	Mix FY/QQ	Mix FY/RR	Mix FY/SS
Administration				
Problem Resolution				
Agency Development				
Totals	100%	100%	100%	100%

Sample Strategic Plan Elements

Chart 5 Agency Development Barriers

Major Barriers To Development	Barrier Elimination Ef'ts Now	Barrier Elimination Ef'ts FY/QQ	Barrier Elimination Ef'ts FY/RR	Barrier Elimination Ef'ts FY/SS
(List major barriers to long-term Agency development)				
Totals	100%	100%	100%	100%

Chart 6 Resource Mobilization

Sources of Support	Fndg Mix Now		Mix FY/QQ		Mix FY/RR		Mix FY/SS	
	\$'s	%	\$'s	%	\$'s	%	\$'s	%
(List current and expected sources of support)								
Totals								

Sample Strategic Plan Language

I. Introduction

A. Purpose of Plan

This Plan was developed and adopted in _____ by the Board of Directors of _____. The Board will use this Plan to direct and focus Agency activities in the _____ year period beginning _____, and to guide its policy making efforts during these years as _____ seeks to address the problems faced by _____ people in _____, _____, and _____ counties.

B. Background Considerations

Simply stated, the future of _____ as a _____ force is uncertain. The current Administration in Washington, D.C. has sought to significantly reduce funding for the _____ Block Grant Program in each of the last four years, and has requested substantially less money for this program in this fiscal year (_____). Funds allocated to the State of _____ and ultimately to _____ for this program represent the Agency's major source of funding and without this financial support it is questionable whether _____ could survive as an effective _____ agency. In the past, the U. S. Congress has chosen to provide funds for the _____ Block Grant Program, and presumably will do so again, but there is no assurance that this will be the case.

Although the outcome of the debate in Congress over the future of the _____ Block Grant Program is beyond _____'s control, it is worth noting that this Plan is an explicit attempt to address the long term developmental issues on which the Agency can have an impact. More specifically, portions of this document describe how, over a three year period, a) the target populations for _____ activities will change, b) the Agency's problem solving efforts will be altered, c) a more stable and diverse funding base will be established, and d) _____ will strengthen its ties to and support in the community it serves.

C. Target Population Data and Information

The data and information that follow outline both the general and specific nature and extent of _____ related problems in _____'s _____ county service area.

II. Plan Development Mechanics

A. Planning Time-Frame

The _____ Board of Directors began its efforts to develop a strategic plan for the period from _____ to _____

_____ in _____ of _____. Work in this regard continued through the _____ of _____ and culminated in the formal adoption of the Plan on _____.

B. Planning Process

_____ 's strategic planning process involved the following steps:

1. Developing a mission statement;
2. Analyzing the external environment in which _____ operates;
3. Assessing _____ 's internal resources;
4. Identifying priority target populations;
5. Identifying priority problems to be addressed for each Agency target population;
6. Identifying major causes of priority problems;
7. Establishing objectives in terms of the relative mix of Agency management element efforts;
8. Identifying barriers to Agency improvements; and,
9. establishing resource mobilization objectives.

C. Participants

At various times and in various ways the _____ Board of Directors, the Board's Executive and Project Review Committees, _____ staff, and persons associated with _____ 's community service centers were all involved in the development of this Plan.

Specific roles played and responsibilities assumed by these persons and groups are described below...

III. Methodology

A. Mission Development Process

In general, the new _____ mission statement was developed using the Agency's previous statement, the sections of the _____ Block Grant Act that specifics what can be done with _____ Block Grant funds, and the results of a series of mission related exercises that facilitated discussion of the issues involved.

Specific steps in this process and a list of the products developed relating to it are described below...

Finally, the new _____ mission statement: meets the intent of applicable federal legislation and state regulations; takes into account the nature and extent of _____ related problems in _____ 's service area; reflects the capabilities of the _____ Board and staff; and, takes into account the nature and extent of other _____ efforts in the area.

C. Priority Setting

The priority choices reflected in _____'s Strategic Plan stem from a three-part approach to problem analysis. First, potential target populations were identified. Second, problems these populations face were identified and quantified. Lastly, major causes of high priority problems were identified.

After this preliminary work was completed community perspectives were solicited in regard to: appropriate Agency target populations; the relative severity of the problems these populations face; and the major causes of these problems.

After community input was acquired a broad resource analysis effort was undertaken. This included an effort to identify both financial and non-financial resources that are being or could be brought to bear on identified problems, and an effort to assess Agency capabilities in terms of the problem solving capacities of its Board and staff.

Finally, criteria relating to the establishment of priorities were selected and applied. (A list of these criteria is included below.)

In summary, the Board of Directors worked from a community "wish-list" of input to develop Agency priorities that take into account community perspectives, Agency capabilities, the availability of resources, the environment in which _____ operates, and the Board's own priority setting criteria.

V. Priorities

A. Target Population(s)

It is the policy of the Board of Directors of _____ that the Agency's overall efforts will benefit _____ persons in the _____ county service area on an equitable basis. Consistent with this policy the composition and characteristics of participants in _____ sponsored activities will change progressively over the course of the next three years until they closely approximate the composition and characteristics of the _____ population in _____ counties. To make these changes no one will be denied the right to participate in programs or to receive services. Instead, program strategies will be altered slightly and minor adjustments will be made in program and service delivery policies and sites.

The following chart summarizes _____'s three year objectives in regard to program and project target populations...

B. Problems

In recent years there have been no substantial changes in the types of problems faced by _____ persons in _____'s service area, and there is no evidence available to suggest that this situation will be any different in the next three years. Although the problems _____ people are not likely to change, there is reason to believe that they will become more extensive and severe and this was taken into account in the Board's priority setting efforts.

The Board, staff members, and community residents who participated in _____'s priority setting efforts did not find it possible to establish a precise priority order for addressing _____ related problems. Nonetheless, they arrived at the following conclusions...

During the next three years _____'s problem resolution efforts will increasingly reflect the problem priorities described above. The following chart illustrates changes that will be made in this regard.

C. Causes

As is indicated in its mission statement, _____ is committed to addressing major causes of _____ related problems. To this end the Agency's Board of Directors solicited input from a variety of sources in an effort to identify major causes of high priority problems in the _____ service area. A summary of the results of this effort follows...

The following chart summarizes alterations that will be made over the next three years in the problem causes _____'s addresses.

E. Agency Development

_____ is not without resources and influence, but the Agency could do substantially more for the target populations it serves if it had a larger resource base and if it played a more influential role in community decision making. Accordingly, having dealt at length with issues relating to target populations, and with target population problems and their causes, the Board turned its attention to the subject of Agency development.

The following were identified as being the most significant and thus necessary subjects for attention in this regard...

The objectives summarized in the chart that follows indicate Agency priorities over time in terms of efforts to address barriers to its development...

F. Resource Mobilization

After considering the magnitude of problems to be addressed, Agency development needs, and the Agency's current funding level, the Board of Directors established the multi-year resource mobilization objectives outlined in the chart below...

VI. Conclusion

This document sets out specific objectives for the next three years in regard to the target populations _____ will serve, the mix of _____ related problems the Agency will address, and the causes of these problems that will be given attention. It also identifies multi-year objectives in regard to efforts to overcome barriers to Agency development and to mobilize additional resources.

Specific note should be taken of the following...

Finally, this document is only a policy making guide that reflects decisions made based on information available in the _____ of _____. Should circumstances change substantially the _____ Board of Directors will amend this document as necessary.

III. Work Program Development

A. Introduction

The work program development process ultimately results in the adoption of program objectives. To be broadly useful to decision makers these objectives should focus on problems with problems consistently defined. (Typically, problems, problem causes, and strategies to address problem causes are defined interchangeably.) A portion of the materials that follow are designed to be of assistance in sorting out these elements.

The three key elements in work program development efforts are ranking, resource analysis, and priority setting, all of which are described in the materials that follow.

Finally, in addition to a problem resolution component work programs can include administrative and agency development elements. Examples of all three have been provided.

B. Materials

1. Problem Analysis Overview.....	18-19
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Problem Analysis Overview

Introduction

As the following story illustrates, problems (defined in terms of conditions), problem causes, and strategies to address problem causes are typically defined interchangeably as "problems". This leads to major difficulties in regard to work program development, program evaluation, and program management.

The "Transportation" Problem

In responding to a survey inquiring about their "problems" initiated by a human service agency two elderly residents of a small town indicated that the major problem they faced was Transportation. A van was subsequently purchased but these two persons only rode it in the summer and then only to the next town where they spent the day at the senior center before taking the van back home.

On investigation it turned out that these persons only rode the van on hot days, that their homes and the local senior center were not air conditioned, and that the van and the senior center in the next town did have air conditioning.

For these two persons, then, transportation was not a problem but was, rather, a strategy they were using to deal with the problem of uncomfortably warm homes. And, obviously, there would have been more cost-effective ways to deal with their real problem than the purchase and operation of a van.

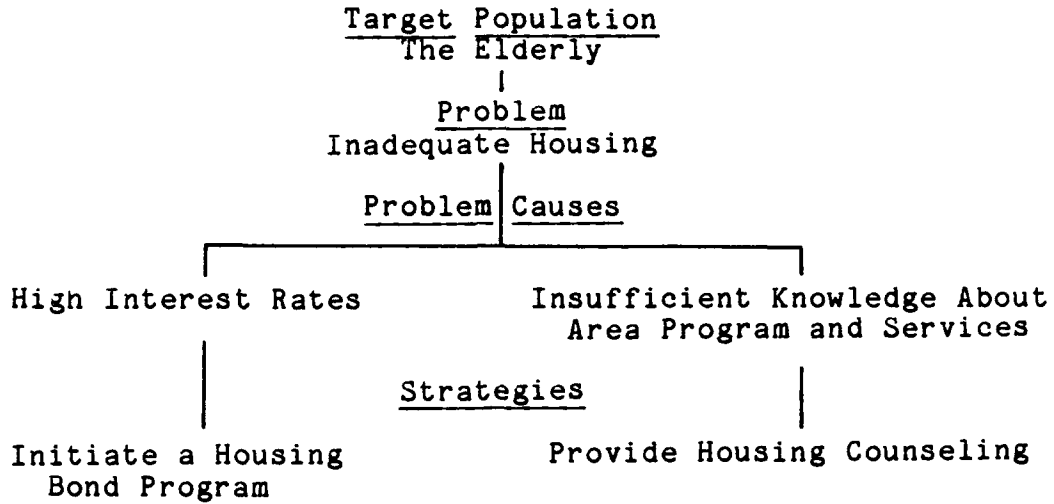
In a similar but expanded example, statements such as the following are commonly offered in community planning meetings.

...we need to let older people know about available housing programs and services...
...housing is a real problem in this community...
...the problem is that we do not have a housing bond program here like they do in...
...the local housing counseling program should be expanded...
...we need to do something about high interest rates...
...we need to do more about the housing problems the elderly face...

Typically, statements such as the above are treated as being equivalent. Priorities are selected from among them and work programs are written based on these priorities. As the following analysis indicates, this results in a thorough mixing of "apples and oranges".

When labeled properly, the following relationships emerge

between the six statements listed above...



As the diagram indicates, the statements are far from equivalent. When they are labeled appropriately, however, meaningful program design choices can be made, programs can be evaluated effectively, and program management can be simplified.

Problem Analysis Exercise

Assume that the statements which follow were provided as part of a community needs assessment effort. Use the sheet provided to characterize these responses as being problems expressed in terms of conditions, problem causes, or strategies to address problem causes.

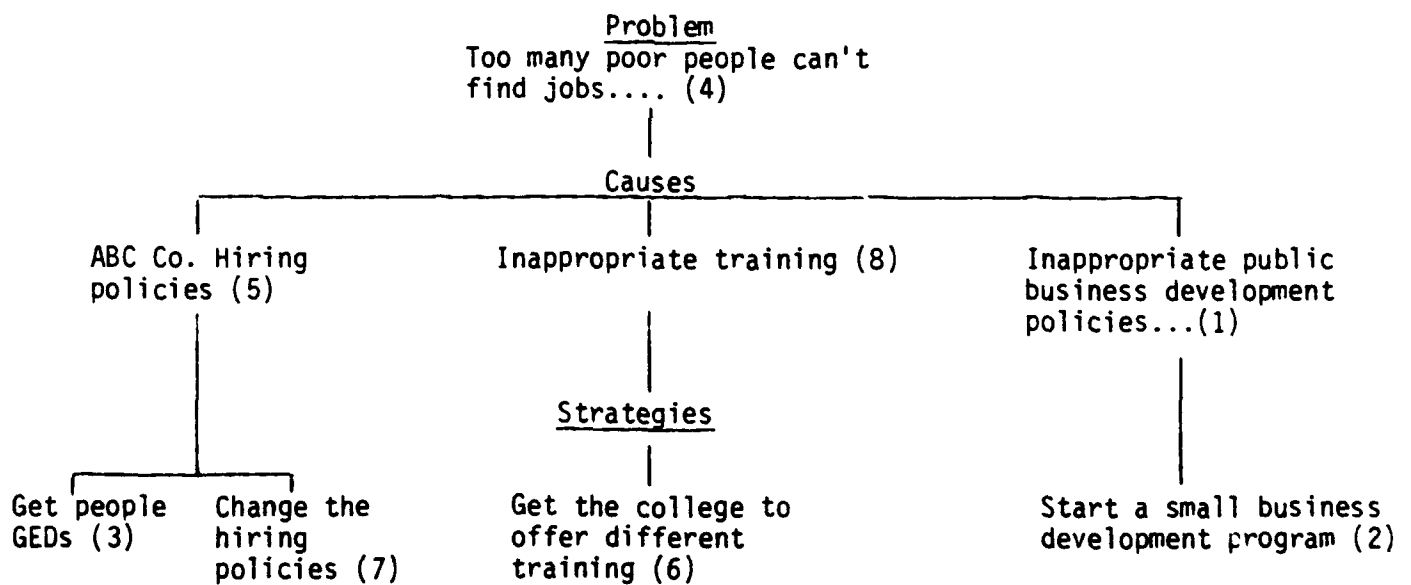
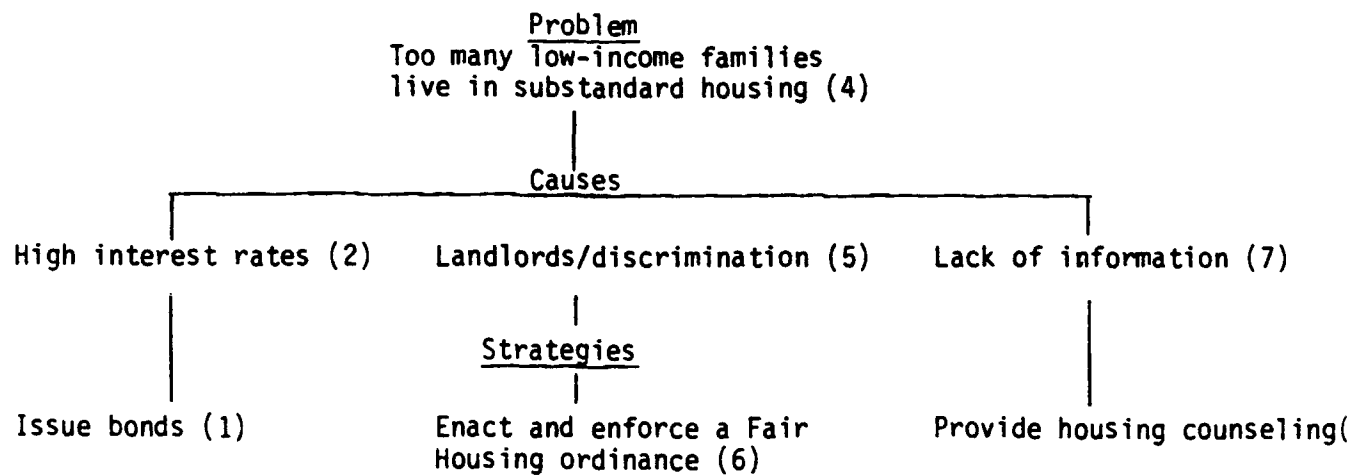
Housing

1. We don't have bond money for housing like they do in XYZtown.
2. Interest rates are too high.
3. We need a housing counseling program.
4. Too many poor people here live in substandard housing.
5. Landlords won't rent to women, especially women with kids.
6. We don't have a fair housing ordinance.
7. People don't know about available housing programs.

Employment

1. The City paid to bring a plant here and area residents didn't get any of the good jobs.
2. Our development corporation should support small business.
3. We need a GED/Job Referral program here.
4. Poor people can't find good jobs.
5. The ABC company only hires high school graduates, even for jobs anyone can do.
6. The College should offer different training courses.
7. Employers should drop some education requirements.
8. The training offered here is for jobs that don't exist.

Problem Analysis Exercise



PROBLEM AREAS/PROBLEM SOLVING APPROACHES

Accidents

Some persons sustain injuries through accidents...Problem solving approaches include education, emergency treatment, etc.

Alcohol Abuse

Some persons are dependent on alcoholic beverages...Problem solving approaches include education, detoxification, counseling and related assistance, program reform/refinement, etc.

Clothing

Some persons have clothing that is inadequate, inappropriate, and/or insufficient...Problem solving approaches include education, distribution of clothing, program reform/refinement, etc.

Crime

Some persons engage in or are likely to engage in criminal acts...Problem solving approaches include education, court imposed sanctions, counseling and related assistance, system reform/refinement, etc.

Domestic Violence

Some persons commit or are victims of acts of violence in the home...Problem solving approaches include education, the provision of food and temporary shelter, counseling and related assistance, etc.

Drug Abuse

Some persons are dependent on chemical substances...Problem solving approaches include medical examinations and related care, education, detoxification, maintenance, counseling and related assistance, program reform/refinement etc.

Employment

Some persons are unemployed or underemployed...Problem solving approaches include skill training, job search training, job creation, job counseling and related assistance, program reform/refinement, etc.

Exploitation/Neglect/Abandonment

Some persons are exploited, neglected and/or abandoned in either home or institutional settings...Problem solving approaches include education, investigation, intervention, system reform/refinement, etc.

Fertility Regulation

Some couples have difficulty with conception and/or with the spacing of children...Problem solving approaches include education, medical examinations and related care, distribution of fertility regulation devices, counseling and related assistance, etc.

Food/Nutrition

Some persons have inadequate diets...Problem solving approaches include education, distribution of food, food production, food gleaning, program reform/refinement, etc.

Household Furnishings

Some persons live in households without adequate furnishings... Problem solving approaches include the distribution of home furnishings, education, program reform/refinement, etc.

Household Management

Some persons are incapable of adequately managing a household...Problem solving approaches include direct assistance, education, program reform/refinement, etc.

Housing

Some persons live in inadequate housing...Problem solving approaches include education, self-help housing construction, housing subsidies, program reform/refinement, etc.

Illiteracy

Some persons are illiterate or functionally illiterate...Problem solving strategies include education, tutoring and remedial programs, program reform/refinement, etc.

Income Security

Some persons do not receive income due them...Problem solving approaches include investigation, intervention, system reform/refinement, etc.

Isolation

Some persons suffer from isolation...Problem solving approaches include congregate meal and recreation sites, in-home visitation, home sharing, etc.

Language/Communication:

Some persons experience language/communication difficulties...Problem solving approaches include education, tutoring, program reform/refinement, etc.

Oral Health

Some persons experience poor oral health...Problem resolution approaches include education, dental examinations and related care, program reform/refinement, etc.

Personal Functioning

Some persons are physically and/or emotionally incapable of meeting their basic personal needs...Problem solving approaches include education, direct assistance, program reform/refinements, etc.

Physical Insecurity/Fear

Some persons do not feel safe/secure in their homes and/or neighborhoods...Problem solving approaches include education, neighborhood organization and related action, program reform/refinement, etc.

Relationships With the Community

Some persons have inappropriate relationships with the community...Problem solving approaches include education, counseling and related assistance, etc.

Relationships Within Families

The relationships within some families are inappropriate...Problem solving approaches include education, counseling and related assistance, etc.

Sexual Abuse

Some persons are sexually abused and some persons commit acts of sexual abuse...Problem solving approaches include the provision of food and shelter to victims, counseling and related assistance, medical examinations and related care, education, etc.

Shelter

Some persons need temporary shelter...Problem solving approaches include the direct provision of assistance, etc.

Sickness/Death

Some persons are ill and some persons die for preventable/avoidable reasons...Possible program approaches include education, medical examination and related care, system reform/refinement, etc.

Utilities

Some persons are without adequate utilities...Problem solving approaches include direct assistance, education, system reform/refinement, etc.

PROBLEM CATEGORIES

Personal/Family Functioning

- Domestic Violence
- Exploitation/Neglect/Abandonment
- Household Management
- Personal Functioning
- Relationships within Families

Education

- Language/Communication
- Illiteracy

Social Functioning

- Sexual Abuse
- Isolation
- Relationships with Community

Basic Needs

- Food/Nutrition
- Shelter
- Housing
- Utilities
- Clothing
- Household Furnishings

Income

- Employment
- Income Security

Health

- Drug Abuse
- Alcohol Abuse
- Sickness/Death
- Fertility Regulation
- Accidents
- Oral Health

Safety

- Crime
- Physical Insecurity/Fear

"NEEDS ASSESSMENT" OVERVIEW

Mission

- 1.
- 2.
3. Choice of...target populations, problems, problem causes,
and strategies to address problem causes...in any combination

Problem Identification and Analysis

1. Target populations identified
2. Problems expressed in terms of conditions
3. Problem causes and related strategies identifies

Ranking

Community perceptions in regard to...

- a. Appropriate target populations
- b. Problems that need attention
- c. Problem causes that should be addressed
- d. Strategies that should be used

Resource Analysis

Agency resources and capabilities

Other resources and capabilities in the community

Priority Setting

Four tiered program design process...

- a. Target populations
- b. Problems
- c. Problem causes
- d. Strategies

Needs Assessment

NEEDS ASSESSMENT METHODOLOGIES

Prerequisite

Specify needs assessment elements. Possibilities include:

- Problem identification and analysis
- Problem ranking
- Resource analysis
- Priority setting

Process

Needs assessment can involve:

- Identifying community problems
- Determining the causes of community problems
- Identifying strategies that could be used to address problem causes
- Ranking problems in terms of relative severity
- Analyzing available resources
- Setting priorities for addressing problems, addressing problem causes, and, selecting strategies

Tools

Survey procedures and instruments; statistical data and related information; contractor produced data and information

Mechanics

Non-Directed Approach:

Individuals and groups can be asked in an open-ended manner to identify the needs and/or problems that low-income people face. (This can be done with or without reference to statistical data and information.) This input can be analyzed with or without further respondent assistance to identify the problems expressed in terms of conditions, the causes of problems, and the strategies to address problem causes that have been identified. Once this analysis is complete it can be used to develop a variety of needs assessment products.

Directed Approach:

The views of individuals and groups in regard to a variety of needs assessment elements can be determined through a number of procedures that provide distinctions between problems,

problem causes, and strategies to address problem causes. (There also are a number of options in regard to the use of statistical data using this approach.)

Products

Depending on the definition of needs assessment that is applied, the needs assessment process can produce:

- A list of poverty problems
- An analysis of poverty problems that describes problem causes and strategies that could be used to address these causes
- Detailed statistical data and information about poverty problems
- A ranking of poverty problems in terms of their relative severity (at a minimum, a function of the number of people who have a problem and the impact the problem has on them)
- An analysis of the relative significance of problem causes in terms of their relationship to the extent of problem conditions
- An ordering of strategies in terms of their anticipated relative effectiveness in eliminating problem causes
- A listing in priority order of: problems to be addressed; causes that merit attention; and, strategies that should be used to address problem causes

RANKING, RESOURCE ANALYSIS, AND PRIORITY SETTING

Input	Refinement of Input and Resource Analysis	Priority Setting
A. Target Populations 1. Collect data and information *2. Community's target population preferences B. Problems 1. Collect data and information *2. Community ranking C. Problem Causes 1. Collect data and information *2. Community perceptions regarding the relationship between individual causes and the severity of problems D. Strategies 1. Collect data and information *2. Community perceptions regarding the relative worth of strategies	A. Refinement of Input 1. Target populations a. Data and information b. Community perceptions 2. Problems a. Data and information b. Community perceptions 3. Causes a. Data and information b. Community perceptions 4. Strategies a. Data and information b. Community perceptions B. Resource Analysis (By Problem) 1. Resources in hand 2. Resources of other program sponsors 3. Resources potentially available	A. Mission Considerations 1. Target populations 2. Problems 3. Causes 4. Strategies B. Select Criteria 1. Target populations 2. Problems 3. Causes 4. Strategies C. Apply Criteria 1. Target populations 2. Problems 3. Causes 4. Strategies
Possible subjects for surveys, questionnaires, group input sessions		

Ranking and Priority Setting...

Ranking Criteria	
<u>Target Populations</u>	
1. Poverty income segments	
2. Target population segments	
☐ rural ☐ urban ☐ minority (specify) ☐ ethnicity ☐ etc.	☐ males ☐ females ☐ 0-17 years of age ☐ 18-54 years of age ☐ 55 and over ☐ handicapped ☐ head of household
<u>Problems (By target populations)</u>	
1. Determination of relative severity (number who have problem and impact it has on them)	
<u>Problem Causes</u>	
1. Major problem causes (by target population and problem)	
<u>Strategies</u>	
1. Relative contributions to the elimination of problem causes	

Ranking Input Analysis / Resource Analysis

Priority Setting Criteria	
<u>Target Populations</u>	
1. Ranking results	
2. Agency mission	
3. Funding source requirements	
4. Civil Rights considerations (see Strategies)	
<u>Problems (By target populations)</u>	
1. Ranking results	
2. "Domino" potential	
3. Agency mission	
4. Funding source requirements	
5. "Environment"	
6. Resource analysis results (problem data and information, available resources, unmet need, agency capabilities)	
<u>Problem Causes</u>	
1. Ranking results	
2. Agency mission	
3. Funding source requirements	
4. "Environment"	
5. Resource analysis results (cause data and information, available resources, unmet need, agency capabilities)	
<u>Strategies</u>	
1. Ranking results	6. Resource Analysis results (strategy data and info, resources, unmet need, agency capability)
2. Agency mission	
3. Funding source requirements	
4. "Environment"	7. Involvement potential (low-income persons, community, businesses)
5. Mix program participants in area and target population segments	8. Resource mobilization potential

Ranking/Priority Setting Tool

Target Population _____

Problem _____
For this target population this is a...minor/medium/major...
problem. (circle one)

What should be done about this problem?

Problem _____
For this target population this is a...minor/medium/major...
problem. (circle one)

What should be done about this problem?

Problem _____
For this target population this is a...minor/medium/major...
problem. (circle one)

What should be done about this problem?

Problem _____
For this target population this is a...minor/medium/major...
problem. (circle one)

What should be done about this problem?

Problem _____
For this target population this is a...minor/medium/major...
problem. (circle one)

What should be done about this problem?

Problem _____
For this target population this is a...minor/medium/major...
problem. (circle one)

What should be done about this problem?

HUMAN SERVICE SYSTEMS PROBLEM SOLVING PRIORITIES

This tool can be used to identify problem solving priorities for selected human service target populations.

Date _____

Suggestions relating to priorities made by: Provider Board/Staff member; Funding Source Board/Staff member; Other (circle as appropriate)

Target Population: _____

Problem Areas
by human service

This problem area should be given a
.....(see below).....priority
by human service program officials.

(In alphabetical order)	Low	Medium	High
Accidents	_____	_____	_____
Alcohol Abuse	_____	_____	_____
Clothing	_____	_____	_____
Crime	_____	_____	_____
Domestic Violence	_____	_____	_____
Drug Abuse	_____	_____	_____
Employment	_____	_____	_____
Exploitation/Neglect/Abandonment	_____	_____	_____
Fertility Regulation	_____	_____	_____
Food/Nutrition	_____	_____	_____
Household Furnishings	_____	_____	_____
Household Management	_____	_____	_____
Housing	_____	_____	_____
Illiteracy	_____	_____	_____
Income Security	_____	_____	_____
Isolation	_____	_____	_____
Language/Communication	_____	_____	_____
Oral Health	_____	_____	_____
Personal Functioning	_____	_____	_____
Physical Insecurity/Fear	_____	_____	_____
Relationships with the Community	_____	_____	_____
Relationships within Families	_____	_____	_____
Sexual Abuse	_____	_____	_____
Shelter	_____	_____	_____
Sickness/Death	_____	_____	_____
Utilities	_____	_____	_____

RANKING AND PRIORITY SETTING ALTERNATIVES

Ranking

Problems:

- Severity (magnitude and problem intensity)
- Other
 - "Domino" effect
 - Self-sufficiency quotient
 - etc.

Problem Causes:

- Contribution to severity of problems
- Other

Strategies:

- Contribution to elimination of significant problem causes
- Other

Priority Setting

Problems:

- Problem ranking
- Resource Analysis
- State requirements
- Mission
- Environment

Problem Causes:

- Problem ranking
- Ranking for problem causes
- Resource analysis
- State requirements
- Mission
- Environment
- Capability
- Other

Strategies:

- Problem ranking
- Ranking for problem causes
- Strategy ranking
- Resource analysis
- State requirements
- Mission
- Environment
- Capability
- *Other

*Other

- Cost to results prospects
- Cost
- Duplication of effort
- Other sponsor potential
- Target community support and interest
- Non-target community support and interest
- Community involvement potential
- Coalition building potential
- Resource mobilization potential
- etc.

POTENTIAL RESOURCE ANALYSIS CHECKLIST

Problem:

Agency/Organization:

Strategy:

Potential Funding

Source(s)

Likelihood of
Acquiring Funding

Implications if
Reallocation of
Funds Required

Other (specify)

Potential Program/Project
Operations

Target Areas

Target Population(s)

Program/Project Sites

Barriers to Program/Project
Implementation

Duplication Considerations

Coordination and Linkages
Considerations

Training and Technical
Assistance Considerations

Other (specify)

RESOURCE ANALYSIS CHECKLIST

Problem: _____ Agency/Organization: _____

Strategy: _____	Current Efforts	Past Efforts
Funding		
Cash (By Source) _____		

Sub-Total _____		
Non-Cash (By Source) _____		

Sub-Total _____		
Total _____		
Program/Project Details		
Target Areas		
Target Populations		
Program/Project Sites		
Performance Information		
Impact Information		
Other (Specify)		

RESOURCE ANALYSIS WORKSHEET

	Problem A	Problem B	Problem C
1. Resources			
Cash			
Other			
2. Information about resources			
Source(s) of information			
Funding level			
Funding source			
Service sites			
Eligibility requirements			
Target populations			
Numbers served			
Program priorities			
Past performance			
Current status			
Projected status			
Relationship with low-income people			
3. Analysis (Summary)			

PLANNING

ANNOTATED SELECTED SOURCES

CSBG contractors may want to have access to the Federal Register, available from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

Following are other sundry sources useful for getting exhaustive lists of other sources, statistics (especially national averages, norms, standards, etc.), and guides to planning, organizing meetings and additional considerations of organizing groups for action of any kind.

The following are available from the Superintendent of Documents, United States Government Printing Office, Washington, D.C. 20402:

Directory of Federal Statistics for Local Areas: A Guide to Sources, a list of lists by the Bureau of the Census.

Directory of Federal Statistics for States: A Guide to Sources, a list of lists by the Bureau of the Census.

Specific statistical data above and beyond Bureau of Census publications for specific states and other political subdivisions include the following:

Congressional District Data Book, periodically updated for each Congressional Session. This is especially useful for CAAs interested in economic development. Included in the information are business and commercial statistics.

Social Indicators, periodically updated. This is a collection of well presented, easily understood tables and graphs of national averages, standards, norms of just about everything measurable.

Statistical Abstract of the United States, an annual comprehensive statistical rundown of the Country. It is a publication of the Bureau of the Census, and is especially useful as Census Data gets older and older. However, information is usually not broken down beyond the state level.

Among other statistical sources are the various Census Reports of 20 basic sub-types of information and population characteristics from 1970.

Publications from the Government Printing Office listing funding sources are the Catalog of Federal Domestic Assistance (\$20.00) and the Commerce Business Daily (\$125 per year).

1980 CENSUS DATA

<u>Information Need</u>	<u>Use</u>	<u>Census Products</u>
Population	Determining the number of people in the service area	PHC(P), FHC(V) <u>Preliminary and Final Population and Housing Reports</u> <u>Summary Characteristics for Governmental Units</u> PC(1)-A <u>Number of Inhabitants</u>
Population by Age	Determining numbers eligible for benefits for programs based on age Locating areas with concentration of people within appropriate age groups Planning for special needs (e.g., accessibility of performance sites, special transportation arrangements, etc.)	PC(1)-B <u>General Population Characteristics</u>
Population by Race/Population by Hispanic Origin	Equal Opportunity/Affirmative Action planning, monitoring and reporting Location of concentrations of minorities; planning for special needs (e.g., interpreters, tailoring benefits to cultural norms, etc.)	PC(1)-B <u>General Population Characteristics</u>
Population by Sex	Equal Opportunity/Affirmative Action planning, monitoring, and reporting	PC(1)-B <u>General Population Characteristics</u>
Marital Status and Household Relationships	Estimating numbers of WIC and WIN eligibles; estimating numbers of and locating potential eligibles for women and children oriented programs Locating female-headed households	PC(1)-B <u>General Population Characteristics</u>

1980 CENSUS DATA (Cont'd)

<u>Information Need</u>	<u>Use</u>	<u>Census Products</u>
Poverty Population	Determining number and proportion of low-income individuals and families in the service area Determining magnitude of poverty, locating high-impact areas	PC(1)-C <u>General Social and Economic Characteristics</u>
Income by Amount and Type	Determining severity of poverty in locations Locating high impact areas	PC(1)-C <u>General Social and Economic Characteristics</u>
Employment, unemployment, weeks worked, occupations of experienced unemployed	Determining numbers of employable low-income Planning local self-help projects	PC(1)-C <u>General Social and Economic Characteristics</u>
Years of Schooling Completed	Estimating numbers of potential eligibles for remedial education and training	PC(1)-C <u>General Social and Economic Characteristics</u>
Data for estimating or extrapolating numbers for sub-county areas	Locating potential target populations with more precision Securing designation of areas for special assistance (e.g., medically underserved areas, etc.)	PHC(3) <u>Summary Characteristics for Governmental Units</u>
Statewide, Region-wide, and Nationwide Population Data	Comparing population characteristics of service area with broader standards	PC(2) Subject reports for the various population characteristics
Number of housing units; number of units at each address; number of rooms; ownership	Determining housing needs Locating blighted areas Determining magnitude and severity of housing-related problems, i.e., prioritizing	HC(1)-A <u>General Housing Characteristics</u>
Age of Housing Unit		HC(1)-B <u>Detailed Housing Characteristics</u>

1980 CENSUS DATA (Cont'd)

<u>Information Need</u>	<u>Use</u>	<u>Census Products</u>
Plumbing facilities Source of water; sewage disposal	Estimating numbers of housing units in need of safety and sanitation improvements	HC(1)-A <u>General Housing Characteristics</u> HC(1)-B <u>Detailed Housing Characteristics</u>
Heating equipment; fuels used; costs of utilities and fuels; air con- ditioning	Estimating numbers of households in need of or eligible for energy related assistance Determining magnitude and severity of needs in areas, e.g., prioritizing	HC(1)-B <u>Detailed Housing Charac- teristics</u>
Statewide, Region- wide, and Nation- wide Housing Data	Comparing housing charac- teristics of service area with broader standards	HC-3 Subject reports on the various housing char- acteristics

EOF/POVERTY PROBLEM RESOLUTION

I. Unemployment

A. Provide Information and Make Referrals

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

of persons assisted
of referrals made (by category?)
of times referrals provided

of employers contacted
of employer contacts

Impact Objectives

of persons receiving assistance
\$ value of assistance acquired

of persons employed
Average starting wage

B. Provide Work Experience

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

of enrollees
of persons completing project
Average # of hours work experience provided per enrollee

Impact Objectives

of persons finding unsubsidized employment
Average starting wage

III. Inability to Meet Emergency Needs

A. Provide Utility Related Services and Assistance

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

of potential donors contacted
of cntacts made
of energy conservation workshops offered
of workahop participants
of households provided assistance in paying utility bills
of times assistance provided

Impact Objectives

\$ value of donations received
\$ value of assistance provided to participants

III. Inadequate Nutrition

A. Distribute Commodities

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

- # of times commodities distributed
- Average # of persons receiving commodities per distribution
- Total number of persons receiving commodities
- # of volunteers participating in commodity distribution
- # of hours volunteers contribute
- Average number of hours training provided volunteers

Impact Objectives

- \$ value of food distributed
- \$ value of volunteer contributions to program

B. Operate Food Pantries

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

- # Of potential donors contacted
- # of donor contacts made
- # of persons provided assistance
- # of times assistance provided

Impact Objectives

- \$ value of food donated
- \$ value of food distributed

IV. Inadequate Education

A. Provide educational opportunities for youth

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

- # of event ticket donors contacted
- # of contacts made
- # of tickets donated
- # of youth (total) attending events
- # of seminars provided (avg. length _____ minutes)
- # of legislators contacted regarding pages
- # of contacts made
- # of youth serving as pages
- # of youth participating in Scouting
- # of youth participating in team sports
- # of workshops/classes sponsored
- # of participants all activities (total)

Impact Objectives

If the problem is inadequate education, we would either need to address the knowledge/skills/attitudes that kids acquired through the above activities or the change in formal school performance, attendance, etc. I'm frankly not to clear on how to go about this...

V. Incomplete Use of Available Programs and Services

A. Promote better program coordination and linkages

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

of agencies/organizations in which EOF officials
play policy making roles

of hours devoted to coordination and linkage efforts

Impact Objectives

of agencies/organizations that take affirmative steps
to improve program coordination and linkages

B. Provide transportation

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

Average # of persons transported per week

of passenger/miles (total)

of persons transported during year (total)

Impact Objectives

value of services acquired as a result of transportation

VI. Inefficient Use of Available Income

A. Provide budget counseling

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

of persons counseled

of counseling sessions

of household budgets prepared

Impact Objectives

% of persons following household budgets for 6 months+

of repayment agreements negotiated with creditors

B. Provide tax counseling

CSBG \$ _____ Other \$ _____ Total \$ _____

Performance Objectives

of persons assisted

of times assistance provided

Impact Objectives

of problems resolved

EOF/AGENCY DEVELOPMENT

Problem: Limited Agency Resources and Influence

Problem Cause A

Limited innovativeness

Strategy to Address Problem Cause

Design and implement new projects

1. Supplemental Income project (see paper for details)
2. Housing renovation project (see paper for details)

Problem Cause B

Real and Perceived Management Inadequacies

Strategy to Address Problem Cause

Design, adopt, and use management tools that embody performance and impact concepts (work program, calendars, work assignments system, data collection system, monitoring and evaluation system, performance appraisal system)

Provide performance and impact workshop for area human service program providers and public officials using EOF management tools as case study materials

Problem Cause C

Limited Resource Mobilization Skills

Strategy to Address Problem Cause

Conduct ____ in-house training events (average participants ____)
Attend ____ outside training events (avg. EOF participation ____)
training days total (# board ____; # staff ____)

Problem Cause D

Limited Resource Mobilization Efforts

Strategy to Address Problem Cause

of funding requests developed
of request submissions
of representation made seeking funds (Board ____ Staff ____ Total ____)

Problem Cause E

Limited community knowledge about EOF

Strategy to Address Problem Cause

of presentations made regarding EOF (Board ____ Staff ____ Total ____)
of press releases distributed
of press releases used
of outside contacts made in behalf of EOF (Board ____ Staff ____ Total ____)

PLANNING GUIDANCE

I. Introduction

The mission of the Community Services Block Grant (CSBG) Program, as described in the State of Oklahoma's Proposed Plan for FY 85, is to remove obstacles and solve problems that inhibit the ability of the State's low-income people to become self-sufficient. To accomplish this mission, the Department of Economic and Community Affairs will fund a statewide network of community based organizations to develop and implement comprehensive anti-poverty programs at the local level.

Since the design of such programs is the responsibility of a prospective CSBG program contractor's board of directors, applicants for FY 85 CSBG funds should be prepared to justify their choices of strategies to address poverty related problems in their proposed service areas, and to justify the amount of CSBG funds to be devoted to each strategy.

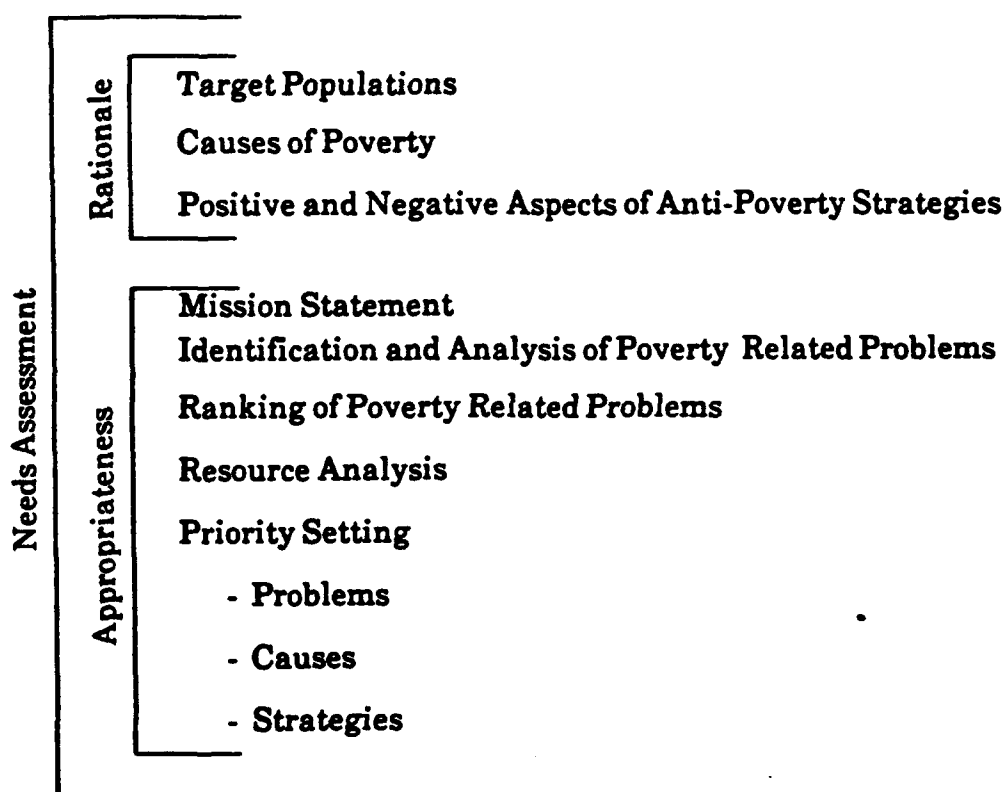
This guidance document was developed to assist prospective CSBG program contractors demonstrate their ability to plan a comprehensive anti-poverty program; as well as to help them develop an application that accurately describes the nature and extent of their proposed efforts, the impact these efforts will have on poverty related problems, and the cost-effectiveness of these efforts. It should be noted that this guidance document is not a Request for Proposals (RFP) for FY 85 CSBG funds. It is instead designed to describe steps prospective sponsors of FY 85 CSBG program activities can take prior to the date the RFP is issued to reduce the time and effort needed to develop a well-documented, high quality application.

II. Mechanics

Development of an adequate justification for proposed CSBG program activities begins with the establishment of a planning process:

- to identify poverty related problems that could be addressed,
- to identify the causes of these problems, and
- to select strategies for use in addressing problem causes.

Any such planning process generally begins with an assessment of needs and/or problems. As described below, needs assessment involves more than just the identification and ranking of poverty related problems, and the identification and prioritization of strategies to address these problems.



It is important to note that this guidance document is not designed to be prescriptive in the sense that it predetermines the design of local CSBG activities. To the contrary, it focuses on program design "questions" rather than on program design "answers." More specifically, this guidance document describes needs assessment as two series of questions. The first can be used by a prospective CSBG contractor to develop a broad rationale for proposed program activities, and the

second can be used to defend the appropriateness of the program strategies chosen for implementation.

III. Program Rationale considerations

Experience to date suggests that sponsors of publicly funded anti-poverty programs must be prepared and able to defend the basic assumptions that make up the rationale for their program activities. In preparing to apply for FY 85 CSBG funds, prospective CSBG contractors should give thought to and make explicit decisions about:

- the target populations for their activities,
- the basic causes of poverty in their community, and
- the positive and negative aspects of basic anti-poverty strategies.

A. Target Population

The first question a prospective CSBG contractor's board of directors and staff should ask themselves in building a program rationale is:

- Who should our program activities be designed to serve?

Developing an answer to this question involves making some basic assumptions about who within your proposed service area is poor. To comply with the terms of the CSBG Act (title VI of the Omnibus Budget Reconciliation Act of 1981, as amended), CSBG contractors need only limit program participation to persons whose incomes are below federally established poverty guidelines. In practice, however, more detailed distinctions than this are often necessary, because sufficient resources may not exist to address the poverty related problems of the total eligible population. Put another way, since contractors may be unable to serve the entire eligible population, it may be necessary for them to target certain segments of the eligible population as participants in the particular mix of

program activities for which funds are sought. When such choices are made, prospective CSBG contractors should be prepared to defend their target populations.

B. Causes of Poverty

Once target populations have been identified, a prospective CSBG contractor's board of directors and staff should ask themselves:

- Why are the people who make up our target populations poor?

The State of Oklahoma's Proposed FY 85 Plan for the CSBG program affirms the federal legislative requirement that CSBG funds will be used in a manner that has a "...measurable and potentially major impact on the causes of poverty..." [Section 675 (c) (1) (A) of the CSBG Act]. Therefore in developing an answer to this question, prospective CSBG contractors should examine their assumptions as to what causes poverty in their proposed service areas, and make an effort to identify the particular causes upon which they can have a "measurable and potentially major impact". Since it is unlikely that prospective CSBG contractors can reasonably expect to address all the causes of poverty within their proposed service area, choices as to which causes to address will have to be made. The simplest way for a group or board to make choices in this regard is to engage in a structured discussion of the basic causes of poverty.

It is generally assumed that the basic causes of poverty can be attributed in some proportion both:

- to individual low-income persons, and
- to the environment in which low-income people find themselves.

It is neither likely nor desirable that discussion participants will agree

completely as to the causes of poverty, but any such discussion, and ultimately any application for CSBG funds, should reach conclusions regarding the basic causes of poverty that reflect this assumption.

C. Strategies

The final question a prospective CSBG contractor's board of directors and staff should ask themselves in terms of building a program rationale is:

- What can we do to affect the causes of poverty among our target populations?

There is no single way to characterize anti-poverty strategies, but one useful method of doing so categorizes possible strategies into three basic approaches:

Service	A. Income Transfer	Strategies of this type are directed toward increasing the resources available to low-income people, improving their knowledge or skills, or changing their attitudes.
	B. Community Development	Strategies of this type involve efforts to increase the sensitivity of the entire community to problems low-income people face, and to more fully engage the community in efforts to address these problems.
Non-Service	C. Institutional Change	Strategies of this type involve changing an aspect, or aspects, of the environment that represent barriers to low-income people as they seek to become self-sufficient.

Each of these approaches has positive and negative features. Therefore in deciding which approach, or approaches, will be used in addressing the causes of poverty in their service areas prospective CSBG contractors should make a formal attempt to identify and discuss the positive and negative aspects of each approach. It is not to be expected that members of any group or board will agree when

considering the relative merits of the three basic anti-poverty approaches. Nonetheless, prospective CSBG contractors should be prepared to explain the basic assumptions upon which the particular mix of strategies for which funds are being sought is based.

IV. Program Appropriateness Considerations

Increasingly, sponsors of publicly funded anti-poverty programs are being asked to defend the appropriateness of their program activities. Questions regarding program appropriateness generally asked are:

- Why are you conducting the activities you are conducting?
- Why did you choose to devote the amount of resources to these activities that you have?

A full response to these and similar questions can be drawn from the five elements of the needs assessment process listed below:

- Mission statement,
- Problem analysis results,
- Ranking efforts,
- Resource analysis results, and
- Priority setting activities.

The utility of these elements in terms of answering appropriateness questions, depends on the extent to which products relating to them have been developed formally and reduced to written form.

A. Mission Statement

The first step in preparing to respond to appropriateness questions involves preparing a mission statement that encapsulates a prospective contractor's program rationale discussions. To be of maximum use in responding to appro-

priateness questions, this mission statement should reflect conclusions reached in regard to specific target populations for program activities, to basic causes of poverty, and to the positive and negative aspects of the anti-poverty approaches selected for use. Such a statement could take the following form:

"Our CSBG program activities will address the poverty related problems facing ...(specify target populations)...

In general, it is our perception that these problems exist because ...(specify causes)...

Of the types of strategies that could be used to address these problems, we have chosen to ...(specify strategies selected for use)...

We have chosen these strategies because ...(specify conclusions reached in regard to the relative merits of the basic approaches selected)..."

B. Problem Identification and Analysis

Poverty can generally be characterized in terms of a series of related problems. Identifying poverty related problems of target populations is a vital part of preparing to respond to appropriateness questions. It is not necessary for prospective contractors to identify poverty related problems that CSBG funds can be used to address because this has been done in Section 675 (c) of the CSBG Act. They are:

1. Unemployment and Underemployment;
2. Inadequate Education;
3. Inefficient/ineffective use of available income;
4. Inadequate Housing;
5. An inability to meet emergency needs;
6. Inefficient/ineffective use of related programs and services; and
7. Starvation and Malnutrition.

However, in applying for FY 85 CSBG funds, it will be necessary for prospective contractors to identify the causes of these problems. This will involve translating conclusions reached earlier as to the general causes of poverty in your proposed service area into specific causes of the seven poverty related problems defined above.

Data to support your conclusions regarding the causes of each problem, the number and characteristics of low-income people affected, and the geographical area affected can and should be obtained from a variety of sources including:

- low-income groups,
- community surveys,
- community meetings,
- census information,
- contractor data,
- board and staff perceptions,
- reports and studies of other agencies, and
- other pertinent sources as available.

In preparing to respond to appropriateness questions, it might be helpful for the prospective contractor's board and staff to ask themselves:

- What is the quality of the data being used ? (i.e., is it current, objective, comprehensive, etc.?)
- Are sources documented so that they could be obtained by other researchers and planners?
- Were a number of types of sources used for each problem?
- Are the results of previous years' evaluations and performance assessments being considered? (i.e., under-utilization of prior program activities for which great need was thought to exist, etc.)

C. Ranking

Once the causes of poverty-related problems have been identified, the problems should be ranked in terms of their relative severity. In its simplest form severity can be defined as a function of the number of people who have a particular problem and the impact that problem has on their lives. To meet their individual needs, prospective contractors may have to develop a more sophisticated form of ranking that involves the use of other criteria as well.

Since ranking is, in part, a subjective process, it is necessary to characterize the sources of ranking perceptions when preparing to respond to appropriateness questions. At the very least, the ranking of poverty related problems should be performed by a prospective contractor's board of directors, not by its staff. However in applying for CSBG funds, particular weight should be given to problem ranking done by low-income people.

D. Resource Analysis

Resource analysis, when combined with priority setting, serves to distinguish what is ideal from what is possible. Given unlimited funds, capability, political "space", etc., a prospective CSBG contractor would logically have a set of priorities that exactly matched the results of ranking poverty related problems in terms of their relative severity. (i.e., the worst problem would be accorded first priority, etc.) However, funds, contractor capability, political "space", etc. are never going to be unlimited. Therefore, no prospective CSBG contractor can effectively respond to appropriateness questions, or effectively address the identified causes of poverty related problems, without making a thorough analysis of available resources.

Prospective contractors should attempt to identify the public and private

resources available to address the poverty related problems defined in part B of this section. Not all available resources will be administered by the prospective contractor, in fact most anti-poverty resources will probably be administered by other agencies. Some examples of these resources are:

- other existing agencies and their programs,
- the federal government,
- the state and local governments,
- individuals who can affect decisions by influencing those who have the power to make needed changes on behalf of low-income people,
- private funding sources,
- colleges and universities,
- volunteers,
- under-utilized talents and skills of prospective contractor staff and board, and
- leadership of low-income people and other constituency groups.

Once potential resources have been identified, it will be necessary to evaluate their present and potential impact on poverty related problems. After a careful analysis of all resources has been done a prospective contractor's board of directors and staff should ask themselves:

- Were all the public and private resources available to address each of the seven poverty related problems researched and analyzed?
- Were any agencies and institutions conspicuously absent from consideration?
- Are the most severe poverty related problems receiving the largest share of community resources?

- Are resources being allocated reasonably among problem causes?
- What agencies and institutions could, or should, be addressing specific poverty related problems or their causes but are not?

E. Priority Setting

The degree to which each of the seven poverty related problems exist in any given service area will vary. Since no organization can do everything, a prospective contractor's board of directors must determine:

- the degree to which each of the seven poverty related problems will be addressed in terms of level of effort and expenditure of funds,
- which of the causes of these problems will be addressed, and
- which strategies will be utilized in addressing those causes.

In applying for FY 85 CSBG funds, prospective contractors should be prepared to explain policy decisions made at the problem, cause, and strategy levels. Preparing to respond to appropriateness questions in this regard involves establishing priorities upon which policy decisions at each level can be based.

The criteria for setting priorities at the problem level can be derived by combining ranking and resource analysis results. At the cause level, criteria for setting priorities should be derived from conclusions regarding the general causes of poverty reached during the program rationale development process. (This should involve little more than applying those conclusions to specific poverty related problems.) At the strategy level, any effort to establish criteria for priority setting will logically build on conclusions reached by a prospective contractor in selecting a basic anti-poverty approach, or approaches, during the program rationale development process.

In setting priorities that will govern policy decisions regarding the selection

of strategies, prospective contractors should take into consideration the fact that certain strategies are explicitly mentioned in the State of Oklahoma Proposed FY 85 Plan for the CSBG program. They are:

- community organization,
- mobilization of private and public resources,
- economic development,
- advocacy,
- coordination and linkage with other anti-poverty activities and services,
- encouraging self-help,
- jobs creation, and
- direct services.

V. Summary

This planning guidance document describes a planning process which provides a framework for conducting a detailed needs assessment. Such a process will provide the basis upon which an efficient and effective anti-poverty program can be built. The actual design of programs, and completion of the CSBG application, will be both simplified and more meaningful as a result of the involvement of the board and of low-income people necessary to complete a comprehensive planning effort.

In applying for FY 85 CSBG funds, prospective contractors will be asked to demonstrate that they have conducted a planning process comparable to the one described in this guidance document.

IV. The Application Process

A. Introduction

Funding source officials can improve the efficiency and effectiveness of human service efforts through the use of high quality, written invitations to apply for funds. These products can be formal or informal in nature and the application process can be competitive or non-competitive. At a minimum, however, the following elements should be included:

- A. A statement of program purpose;
- B. Program or project objectives;
- C. Funding priorities
- E. A description of application mechanics; and,
- F. The process and criteria that will be used to screen applications

B. Materials

- 1. Request for Proposals Model (Draft).....57-68
- 2. Cheyenne/Laramie County Consolidated Application (Draft).....69-70

PIMA COUNTY COMMUNITY ACTION AGENCY.

FY/87 CSBG REQUEST FOR PROPOSALS

 (date)

Pima County Community Action Agency
151 W. Congress 4th Floor
Tucson, AZ 85701
602/792-8250

PIMA COUNTY CAA

Request for Proposals

I. Basic Information

A. Date

(date of issuance)

B. Subject

This Request for Proposals (RFP), Number _____ issued by the Pima County Community Services Department/Pima County Community Action Agency relates to the use of funds made available to the County under the terms of the Community Services Block Grant Act (Title VI of Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981).

Under the terms of this RFP the Pima County Community Action Agency (PCCAA) will accept proposals for the use of Community Services Block Grant (CSBG) funds in Pima County for the twelve month period beginning July 1, 1986.

C. Closing Date

Proposals for the use of funds available under the terms of this RFP must be received in the Pima County Community Action Agency Office (151 W. Congress, 4th Floor) prior to 2:00 PM, (date) . Proposals received or hand delivered after this deadline will not be considered for funding.

II. Design Considerations

A. Program Purpose

PCCAA will use CSBG funds to assist low-income persons in their efforts to become self sufficient.

or,

PCCAA will use CSBG funds to address immediate and pressing poverty related problems

or,

PCCAA will use CSBG funds to.... (whatever the Board and the County take the basic mission of the Agency to be...)

B. Program Objectives

As required under the terms of Section 675(c) of the Community Services Block Grant Act, CSBG funded activities in Pima County will have "...a measurable and potentially major impact on causes of poverty..." in the County.

More specifically, CSBG funds will be used to identify and eliminate causes of the following poverty related problems:

- Unemployment and underemployment
- Inadequate education
- Inefficient use of available income
- Inadequate housing
- An inability to meet emergency needs
- The incomplete use of available human resource programs and services
- Hunger

C. Program Principles and Assumptions

Decisions made and actions taken by PCCAA in regard to the use of CSBG funds will reflect the following principles and assumptions:

1. Community residents of all income levels will be extensively involved in all aspects of CSBG related decision making;
2. Funds will not be used in a manner that leaves either contractors or participants/beneficiaries dependent on the long-term availability of these funds; and,
3. Funds will be directed toward problem solving and capacity building at the local level that focuses on community residents.

(Note: it is obviously possible to put almost anything in here...depending on one's perspective. The above are only examples.)

D. Timetable

July 1, 1986 will be the earliest possible effective date for contract awards made under the terms of this RFP. In most cases awards will be made for the twelve month period ending June 30, 1987.

III. Priorities, Available Funding, and Eligible Sponsors

A. General Information

PCCAA will accept proposals for funding for the priority areas listed below. Approximate funding for each of these areas will be as indicated. However, PCCAA reserves the right to shift allocations among these priority areas based on the quality and number of responses received to this RFP.

B. Area 1/Hunger

PCCAA will accept and review proposals relating to projects that reduce hunger in Pima County.

Approximately \$ _____ will be available for this priority area, and approximately _____ projects will be funded.

Any public, private non-profit, or private for-profit entity may submit a proposal or proposals relating to this priority area.

C. Area 2/An inability to meet emergency needs

PCCAA will accept and review proposals relating to projects that help persons in Pima County meet their emergency needs.

Approximately \$ _____ will be available for this priority area, and approximately _____ projects will be funded.

Any public, private non-profit, or private for-profit entity may submit a proposal or proposals relating to this priority area.

D. Area 3/The incomplete use of available programs and services

PCCAA will accept and review proposals relating to projects that help persons in Pima County make more complete use of available human resource programs and services.

Approximately \$ _____ will be available for this priority area, and approximately _____ projects will be funded.

Any public, private non-profit, or private for-profit entity may submit a proposal or proposals relating to this priority area.

E. Area 4/Other (Unemployment and underemployment, inadequate education, Inefficient use of available income, and inadequate housing)

PCCAA will accept and review proposals relating to projects that combat one or more of the problems listed immediately above.

Approximately \$_____ will be available for this priority area, and approximately _____ projects will be funded.

Any public, private non-profit, or private for-profit entity may submit a proposal or proposals relating to this priority area.

F. Area 5/Training and Technical Assistance

PCCAA will accept and review proposals relating to the provision of training and technical assistance for current and prospective CSBG contractors in Pima County.

Approximately \$_____ will be available for this priority area, and approximately _____ projects will be funded.

Any public, private non-profit, or private for-profit entity may submit a proposal or proposals relating to this priority area.

G. Area 6/Research and Demonstration, Evaluation, Technology Transfer, and Special Projects

PCCAA will accept and review proposals relating to research and demonstration, evaluation, technology transfer, and special projects that bear on the problems and CSBG funded efforts to address the problems listed in Priority Areas B. through E.

Approximately \$_____ will be available for this priority area, and approximately _____ projects will be funded.

Any public, private non-profit, or private for-profit entity may submit a proposal or proposals relating to this priority area.

IV. RFP Response Process

A. General Information

It is the intent of PCCAA that the application process for CSBG funds be open and fair and that CSBG funds be allocated in a manner that provides the greatest possible benefits for Pima County's low-income residents. To insure that this occurs, staff of PCCAA will be available to discuss this RFP with persons who inquire about it. The Agency's

contact person in this regard is (name, telephone #, address).

B. Response Materials

The PCCAA CSBG Application Package contains copies of and instructions for completing all necessary forms. Application Packages can be obtained by visiting, calling or writing Pima County Community Action Agency (address).

V. Screening Process and Review Criteria for RFP Responses

A. Screening Process

A competitive process will be used to screen responses to this RFP. Screening will be done by a Task Force appointed by the PCCAA Board. This Task Force will make recommendations for funding to the Board of County Supervisors who will have final authority to determine contractors and contract amounts.

B. Review Criteria

The following criteria will be used to screen RFP responses.

1. Involvement of Low-Income Persons _____pts

a. In project design efforts _____

-The solicitation of community design input

-The selection of priorities

b. In project operations _____

-Policy making boards

-Advisory boards

-staff

-volunteers

-monitoring

-evaluation

2. Involvement of Non Low-Income Persons _____pts

a. In project design efforts _____

-Solicitation of community design input

-Selection of priorities

b. In project operations _____

-Policy making boards

- advisory boards
- staff
- volunteers
- monitoring
- evaluation

3. Extent to which low-income persons are participants in/ _____ pts
beneficiaries of project efforts

a. Project participant/beneficiary composition _____

- % low-income persons
- % other

b. "Outreach" considerations _____

- applicant capability to contact
and work effectively with persons most
in need of assistance
- proposed extent of applicant efforts to
contact and work with persons most in need
of assistance

4. Self-Sufficiency Potential _____ pts

a. Participants/beneficiaries _____

- employment related
- non-employment related

b. Project _____

- Resource mobilization potential
- Community involvement potential

c. Contractor _____

- Resource mobilization potential
- Community Involvement potential

5. Coordination and linkage potential/duplication
avoidance _____ pts

a. Applicant capability to promote coordination
and linkages _____

b. Proposed extent of efforts to promote
coordination and linkages _____

c. Duplication avoidance efforts and results _____

6. RFP Response Quality _____pts
- a. Performance objectives _____
 - b. Impact objectives _____
 - c. Link between expenditures and problem solving strategies _____
 - d. Results/costs analysis _____
 - performance (proposed/likely actual) _____
 - impact (proposed/likely actual) _____
 - e. Calendar _____
 - f. Multi-Year Plan _____
7. Contractor Capability _____pts
- a. Personnel and personnel management _____
 - b. Fiscal management _____
 - c. Board Operations _____
 - d. Available resources (current funding sources) _____
 - e. Planning _____
 - f. Directly related program management experience _____
 - g. Indirectly related program management experience _____
 - h. Human rights programs and activities _____

PIMA COUNTY COMMUNITY ACTION AGENCY

FY/87 CSBG APPLICATION PACKAGE

SUBMISSION DEADLINE

(date)

Pima County Community Action Agency
151 W. Congress 4th Floor
Tucson, Arizona 85701
602/792-8250

PCCAA CSBG APPLICATION

Basic Information

Section I. Applicant Information

1. Name: _____ 3. Contact Person: _____
 2. Address: _____ 4. Telephone Number: _____

 5. Type of Applicant
 a. _____ public agency b. _____ Private Non-Profit Corp. c. _____ Private For-Profit Corp.

Section II. Supplementary Information

a. Document	b. Initial Submission	c. No Change	d. Change	e. Attachment
6. Confirmation of legal status				
7. Rules of Procedure				
8. Evidence of bonding				
9. Organizational Chart				
10. Accounting System Certification				
11. Capability Statement				

Section III. Assurances

11. The applicant, if funded, hereby agrees to comply with all applicable federal, State of Arizona, and Pima County statutes, rules and regulations, and all other rules as may be required by Pima County Community Action Agency.

Section IV. RFP Response Information

12. Response to RFP Number : _____ 13. Priority Area: _____

Section V. Review and Certification

14. This document and its attachments were reviewed and approved by the Applicant's governing board on ____/____/____.
 Mo Day Year

15. Signature of Certifying Official _____

16. Typed Name and Title of Certifying Official: _____

17. Date: _____

PCCAA CSBG APPLICATION

Project Design Summary

Section I. Applicant Information

1. Name: _____ 3. Contact Person: _____
2. Address: _____ 4. Telephone Number: _____

Section II. Multi-Year Projections

5. Provide estimates as indicated for total applicant operations.

a. Total Participants Mix					b. Problem Resolution Mix					c. Total Funding Mix				
Categories	Now	'86	'87	'88	Problems	Now	'86	'87	'88	Sources	Now	'86	'87	'88
Age					Unemployment					Federal Govt (direct)				
0-5					Inadequate education					State Govt (direct)				
6-18					Inefficient use of income					City				
18-55					Inadequate housing					County				
55+					Emergency needs					CSBG				
Sex					Use of all pgms and svcs					Other				
Male					Hunger					Private				
Female														
Education														
HS Grad/+														
9-11														
8 and under														
Household														
Female head														
Male head														
Unrelated Ind														

Section III. Design Process and Products

6. A Mission Statement (150 words or less) is attached. Yes _____ No _____
7. A brief statement (200 words or less) describing the role low-income and non low-income persons played in designing this project is attached. Yes _____ No _____
8. A summary (200 words or less) of the actions taken during program design efforts to promote better program coordination and linkages and to avoid duplication is attached. Yes _____ No _____

PCCAA CSBG APPLICATION

Project Description

Section I. Applicant Information

1. Name: _____ 3. Contact Person: _____
2. Address: _____ 4. Telephone Number: _____

Section II. Project Details

5. Accomplishments

	Targets			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
a. Performance Objectives				
b. Impact Objectives				

6. Proposed Budget: CSBG _____ Other _____ Total _____

7. A brief statement (200 words or less) describing the role low-income people and non low-income people will play in the operation of this project is attached. Yes _____ No _____
8. A brief statement (150 words or less) describing steps that will be taken to insure broad program coordination and to build program linkages is attached. Yes _____ No _____
9. A brief statement (150 words or less) describing steps that will be taken to insure that persons most in need of assistance participate in this project is attached. Yes _____ No _____
10. A brief statement describing the specific geographic area of Pima County to be served by this project is attached. Yes _____ No _____

LARAMIE COUNTY HUMAN SERVICE SYSTEM
APPLICATION FOR FUNDS
DRAFT

Page 1

Applicant Agency

A. Name _____ B. Telephone _____
C. Address _____ D. EID # _____

Program Information

F. Target Population _____
G. Problem _____
H. Proposed Performance and Impact
Include performance and impact objectives as Attachment #1.
I. This application submitted to:
____ City of Cheyenne ____ Laramie County ____ United Way
J. Funds Requested---This Application _____
K. Funds Requested---Other Sources _____
L. Funds Committed---Other Sources _____
M. Projected Program Income _____
N. Total Budget _____

Attachments

O. Target Population (Attachment #2)
Provide information about the proposed target population(s).
P. Problem Statement (Attachment #3)
Provide information about the problem to be addressed.
Q. Coordination/Duplication (Attachment #4)
Describe proposed coordination/non-duplication efforts.
R. Agency Capability (Attachment #5)
Demonstrate that the applicant meets eligibility requirements
and can carry out the efforts described in Part H, above.
S. Current Agency Budget (Attachment #6)
Provide a total agency budget specifying sources and amounts
of revenues and beginning and end dates for funding.
T. Funding Application Status (Attachment #7)
Provide information regarding pending funding requests.

For Administrative Use Only

Cheyenne GRS GF 1%ST CDBG Other _____
Laramie County GRS GF 1%ST CSBG Other _____
United Way of Laramie County Admission Grant _____
Contract/Project Number _____ Amount _____

Applicant Assurances

U. The Applicant hereby agrees to make all program and financial
records available for inspection as necessary.
V. The Applicant hereby agrees to comply with all applicable
Civil Rights laws and regulations.
W. This application and its attachments were reviewed and
approved by the Applicant's governing board on _____.

Name and Title of Certifying Official _____ Signature _____
Date _____

APPLICATION FOR FUNDS
BUDGET
DRAFT

Page 2

A. Applicant Agency _____ Date _____

	B. This Req Begin End	C. Other Begin End	D. Total Begin End
E. Salaries (List by Position)			
1. _____			
2. _____			
3. _____			
4. _____			
5. _____			
6. _____			
F. Fringe Benefits (Specify)			
1. _____			
2. _____			
3. _____			
4. _____			
5. _____			
6. _____			
G. Contract Services (Specify)			
1. _____			
2. _____			
3. _____			
H. Supplies (Office/Other)			
1. _____			
2. _____			
I. Space Costs (Purchase/Lease)			
1. _____			
2. _____			
J. Travel (Local/Other)			
1. _____			
2. _____			
K. Equipment (Purchase/Lease)			
1. _____			
2. _____			
L. Other (Specify)			
1. _____			
2. _____			
M. Totals			

V. Evaluation

A. Introduction

The first product included in the Materials section below addresses the question of definitions for the word "evaluation". The balance of products included deal with either or both performance and impact evaluation.

Without exception, the word performance is used to refer to efforts undertaken by providers. Examples of performance include counseling, offering training, providing information and making referrals, sponsorship of events, etc. In contrast, impact is used to refer to results in terms of changes in problem conditions. Examples in this regard include persons: finding housing as a result of housing counseling; employment as the result of training; acquiring services or assistance after receiving referrals; having a problem condition change for the better as a result of a requested policy change; etc.

The distinction between the concepts of performance and impact is significant for two reasons. First, and obviously, there is not an inevitable relationship between the two. Counseling, training, the provision of information, offering referrals, sponsorship of events, and any of the other efforts of human service providers do not necessarily result in problem resolution. Second, it is both possible and desirable to make cost-effectiveness comparisons at the performance and at the impact levels. (To take two housing counseling agencies as an example, the first may have counseled more persons per dollar than the second, but the second may have gotten more people out of inadequate housing than the first. The performance of the first, then, can be said to have been more cost-effective than the second, but the impact of the second can be said to have been more cost-effective than that of the first.

The materials that follow represent management tools that can be used by human service providers in performance and impact evaluation efforts...to distinguish meaningfully between agency efforts and agency results in terms of improvements in the lives of program participants.

B. Materials

1. Evaluation Definitions Paper.....72-75
2. Evaluation System Design Guide.....76-77
3. Fundamental Evaluation Questions.....78
4. Uses for Evaluation Products and Processes.....79-81
5. Monitoring Elements Checklist.....82-84
6. Model Program Management System.....85-102
7. Cheyenne/Laramie County Performance
and Impact Work Program Elements.....103-112

Evaluation Definitions

I. Overview

A. Introduction

Of all the words in the human service vocabulary few are used with as little precision as are the terms monitoring and evaluation. The material that follows does not assume that it is possible to set out a definition of these two terms that would be widely acceptable. It does assume, however, that it is possible to move beyond labels to clear descriptions of monitoring and evaluation products.

B. Monitoring and Evaluation Products

No matter what labels and definitions are used, both monitoring and evaluation are concerned with seeking answers to questions. It is possible, then, to talk meaningfully about these topics merely by examining the questions being asked and the answers being obtained.

In various combinations monitoring and evaluation products ask three basic types of questions, with two of these questions having typical subcategories. These questions concern:

1. The technical acceptability of contractors
 - a. Minimum contracting requirements
 - b. Contractor management capabilities
2. The appropriateness of program designs
3. Program quality
 - a. Contractor efforts
 - b. Program results
 - c. Cost-effectiveness
 - d. Furthering program purposes

A discussion of these groupings and categories follows.

II. The Technical Acceptability of Contractors

A. Minimum Contracting Requirements

Most funding sources ask questions of contractors that are designed to insure that legal aspects of the funder's obligations are being met. More specifically, these questions insure that funds are provided only to contractors that are structured and operate in accordance with applicable laws and regulations and insure that contracts are enforceable.

Typically, questions that relate to minimum contracting requirements are of a yes/no nature with a no answer requiring some type of remedial action on the part of the contractor. Failure to take action usually results in suspension or termination of funds.

B. Contractor Management Capabilities

In general, funding source officials seek to provide funds to contractors that have efficient and effective management systems. Commonly, this translates into concern about some or all of the following management functions:

- a. Board operations;
- b. Personnel administration;
- c. Fiscal operations including property management;
- d. Interagency affairs;
- e. Human rights;
- f. Public information;
- g. Planning; and,
- h. Program operations.

The questions that are asked and the format for the answers that are received in regard to management capabilities often retain the yes/no form, but they usually do not have pass/fail connotations. More specifically, answers to any particular question are taken to be significant only in the context of answers to a broad series of questions. To illustrate, twenty questions might be asked to gauge the relative quality of a fiscal system. A negative answer to any one question might be more than balanced by positive answers to related questions as taken in total the answers might be sufficient to indicate that the fiscal system meets generally accepted accounting standards.

III. The Appropriateness of Program Designs

In various ways funding sources include elements in evaluation designs that are intended to determine if contractors have undertaken the "correct" mix of activities.

Typically, funding sources find that appropriateness answers are difficult to obtain for two reasons. First, there is a natural tendency to look in the wrong place. (Appropriateness answers are the product of contractor planning efforts, and it is difficult to resist the temptation to seek them in products derived from contractor program operations.) Second, the answers do not always exist as many funding sources use an allocation process that requires only that contractors describe what is to be done rather than both describing and justifying proposed activities. (Put another way, in many instances contractors apply for, receive, and spend funds without ever having determined if their activities are appropriate or not.)

Funding sources that do seek to pose appropriateness questions typically obtain some or all of the following from contractors:

- a. A mission statement;
- b. Data and information about problems to be addressed;
- c. An analysis of problem causes and of strategies that could be used to address these causes;
- d. A ranking of problems in terms of relative severity;
- e. A resource analysis;
- f. Priority setting criteria and a list of priorities; and
- g. Budget allocations by problem resolution strategy.

IV. Program Quality Considerations

A. Contractor Effort

The most typical program related evaluation activity is that of assessing contractor performance (effort). Specifically, were goals met in terms of the number of persons served, events sponsored, contacts made, etc.

B. Program Results

In instances in which accurate distinctions have been made between problems expressed in terms of conditions, problem causes, and strategies to address problem causes it is possible to move beyond considerations of contractor effort (ways of measuring strategy implementation) to the evaluation of program impact. Simply stated, impact is a measure of the degree to which conditions have changed as a result of contractor efforts. (Did persons provided employment counseling find a job etc.)

C. Cost-Effectiveness

As the following example makes clear, cost-effectiveness can be assessed in regard to either or both performance and impact. (The example assumes that Contractors X and Y have both defined the problem they are addressing in terms of the number of people living in substandard housing; that they take the cause of this problem to be limited knowledge about available housing programs and services; and, that housing counseling is the appropriate strategy to use to address this problem cause.)

	Contract Requirements	Contractor X Accomplishments	Contractor Y Accomplishments
Performance	Counsel 80 persons	100	60
Impact	Get 15 out of inadequate housing	10	20
Cost	Limit of \$12,000	\$10,000	\$10,000

Assuming the above figures are accurate, it can be said that the performance of Contractor X was more cost-effective than that of Contractor Y (100 counseling sessions vs. 60 sessions at a cost of \$10,000). Conversely, it can be said that the impact Contractor Y had was more cost-effective than that of Contractor X (20 persons getting out of inadequate housing vs. 10 persons for \$10,000). In short, given that there are two very different ways to measure cost-effectiveness care must be taken in making cost-effectiveness comparisons.

It is also worth noting that Contractor X complied with contractual obligations in terms of performance but not in terms of impact while the reverse was true for Contractor Y. As in the case of cost-effectiveness comparisons, then, care must be taken in determining contract compliance.

D. Furthering Program Purposes

Finally, evaluation can be and is defined in terms of the extent to which contractor operations further broad program purposes. For obvious reasons this is most easily done when these purposes are clearly set out by funding sources in advance of the start of program operations.

Examples of broad program purposes include:

1. Giving priority to identified segments of the overall eligible population for a program;
2. Limiting repeat services for eligible persons as a means of promoting self-sufficiency;
3. Providing services in a manner that promotes community problem solving capabilities; and,
4. Providing services in a manner that results in the mobilization of additional program resources.

AROUND THE BARN TO EVALUATION....

- I. Program Design Issues (Preparing to answer rationale and appropriateness questions)
 - A. What, if anything, should be done by contractors in regard to:
 - 1. Working through basic issues relating to target populations, causes of poverty, positive and negative aspects of basic anti-poverty strategies; (Developing a program rationale)
 - 2. Developing a mission statement;
 - 3. Collecting and analyzing poverty data and information;
 - 4. Ranking Problems;
 - 5. Identifying and analyzing resources; and,
 - 6. Setting Priorities.
 - B. What should be documented.
 - C. What should be submitted and in what form.
- II. Work Programs/Applications/Contracts (Preparing to answer performance, impact, and Budgets and cost-effectiveness questions)
 - A. How will performance and impact be described/characterized. What performance and impact measures are essential. Which are optional.
 - B. What should be documented.
 - C. What should be submitted and in what form.
 - D. What, if anything, should be done about cost-allocation plans
 - E. What, if any, limits should be placed on administrative costs.
- III. Data Collection/Management Information Systems (Producing data and information)
 - A. What, if anything, should be done in regard to standardization of the intake, assessment, and referral process and forms used at the contractor level.
 - B. What common participant characteristics, if any, should be collected. (For all strategies. For individual strategies.)
 - C. What performance data should be collected....submitted. (See II. A)
 - D. What impact data should be collected....submitted. (See II. A)
 - E. What, if anything, should be done about the "duplicated/unduplicated" issue.
 - F. What, if anything, should be done in regard to standardization of contractor level work assignments and tracking systems.

IV. Designing a Monitoring System (Tracking "musts" and "shoulds")

- A. What is to be the focus of monitoring efforts. (What are the "musts" and what are the "shoulds" in regard to planning, program operations, personnel, board operations, fiscal operations, public information, human rights, interagency affairs, and monitoring and evaluation.)
- B. Was the focus identified in IV. A clearly understood at the time applications for funds were developed and contracts signed.
- C. What is to be available at the contractor level for monitors to examine.
- D. What is to be submitted for monitors to examine.
- E. Do monitoring tools (checklists, etc.) and does monitoring activity accurately reflect established monitoring policies and procedures.

V. Designing an Evaluation System (Making "quality" decisions)

- A. What is to be the focus of evaluation efforts. (Is the rationale for contractor efforts acceptable. Are contractor efforts appropriate. Was the level of effort exerted acceptable. Were desired results obtained. Were efforts cost-effective. Did the efforts further program purposes.)
- B. Was the focus identified in V. A clearly understood at the time applications for funds were developed and contracts signed.
- C. What is to be available at the contractor level for evaluators to examine.
- D. What is to be submitted for evaluators to examine.
- E. Do evaluation tools (checklists, etc.) and does evaluation activity accurately reflect established evaluation policies and procedures.

FUNDAMENTAL EVALUATION QUESTIONS

1. What was to have been done? (Contract Obligations)
 - a. Goals---anticipated effort and anticipated changes in poverty conditions
 - b. Performance measures
 - c. Impact measures
 - d. Activity schedule
 - e. Detailed budgets linking expenditures and program activities
2. Why was it to have been done? (Rationale)
 - a. Understanding of causes of poverty
 - b. Recognition of positive and negative aspects of basic anti-poverty strategies
3. Should it have been done? (Appropriateness)
 - a. Mission
 - b. Poverty data and information
 - c. Problem identification and analysis
 - d. Problem ranking/ ranking criteria
 - e. Resource analysis results
 - f. Priorities and priority selection criteria
 - g. Budget allocations
4. How much was done? (Performance)
 - a. Agency-wide management information system/performance data
 - b. Periodic summaries of MIS data and information/performance
5. What difference did it make? (Impact)
 - a. Agency-wide management information system/impact data
 - b. Periodic summaries of MIS data and information/impact
 - c. Policy making mechanisms
6. Could as much or more have been done for less? (Cost Effectiveness)
 - a. Policy making mechanisms
 - b. Detailed budgets linking expenditures and program activities
 - c. Agency-wide management information system/performance and impact
 - d. Periodic summaries of MIS data and information/performance and impact

CSBG PERFORMANCE/IMPACT EVALUATION

Uses for Evaluation Products and Processes

Agency Level Uses

Planning:

- Community Involvement in planning can be increased.
- Mission Statements can be rethought or at least clarified.
- Needs Assessment procedures and products can be improved.
- Priority setting can be done more objectively.
- Resource mobilization efforts can be better focused.
- Resource mobilization products can be improved.

Program Operations:

- Program reports can be made more useful for managers and decision makers.
- Private sector involvement can be increased.
- Target population involvement can be increased.
- Volunteers can be more easily mobilized and retained.

Personnel Management:

- Job descriptions can be amended as necessary to insure that persons responsible for program operations are at least in theory getting paid to do what the Agency wants done.
- Work assignments can be linked directly to performance and impact measures thereby bringing greater accountability to supervisor-employee relationships.
- Performance appraisals can be linked directly to work assignments and through work assignments to performance and impact measures thus making possible appraisals based on employee performance rather than on the subjective criteria now in common use. (Supervisors can measure employee accomplishments rather than employee traits.)
- Employee morale can be improved as they increasingly perceive themselves as problem solvers rather than service providers.

Fiscal Operations:

- Budgets can be keyed to efforts to resolve specific poverty related problems, thereby becoming day-to-day management tools rather than simply compliance documents.
- Fiscal reports can be made more useful for managers and decision makers.
- Audits can be simplified.

Human Rights:

- Activities and reports can be moved from the realm of compliance to that of everyday program operations as a result of the link made in evaluation between problem causes and attempts to change problem conditions.

Interagency Affairs:

- Presentations relating to Agency activities and accomplishments can be prepared and presented by a wide range of persons.
- Critiques of the activities and accomplishments of other agencies can be developed and defended no matter what form their work programs take.
- Charges of duplication can be sustained or refuted as necessary.
- Program coordination and linkages can be promoted.

Public Information:

- Public information materials of various types can be developed without difficulty as Agency efforts relating to specific poverty problems can be aggregated and results per dollar spent comparisons can be made.
- Volunteers can be recruited for community education efforts.

Evaluation and Monitoring:

- Evaluation and monitoring, however, defined, can be made an Agency management tool, not just a compliance function.

Association Level Uses

Public Information:

- Public information materials that aggregate CSBG Program results for Association members in any combination can be developed.

Information Sharing:

- Information about effective program efforts as determined by cost per results obtained comparisons can be shared within the Association.

Critiques:

- Critiques of the performance of other agencies and organizations in any combination can be developed and defended.

Training and Technical Assistance:

- Training and technical assistance activities provided by or for Association members can be developed within a common frame of reference.

Regional and National Anti-Poverty Efforts:

- Input on the part of Association members in regional and national anti-poverty efforts can be improved at no additional expense.

State Level Uses

Policy Development:

- Policy development relating to planning, the contract application process, and contract management can be strengthened.

Training and Technical Assistance:

- Training and technical assistance efforts can be better targeted.

Interagency Affairs:

- Interagency efforts in support of anti-poverty programs and contractors can be strengthened.

MONITORING ELEMENTS

Planning

- Establishing a planning process
- Developing and/or reaffirming a mission statement
- Identifying and analyzing community problems
- Analyzing resources
- Establishing priorities (problems, causes, and strategies)
- Setting goals
- Board participation in planning
- Target population participation in planning
- General community participation in planning
- Participation of public officials in planning
- Submission of planning documents/products

Program Operations

- Program operations day-to-day
 - Operational objectives
 - Determining priority objectives and activities
 - Assigning responsibility for activities
 - Scheduling activities
 - Reporting on progress
 - Correcting deficiencies
 - Complying with applicable rules and regulations
- Assuring the involvement of community residents in program operations
- Promoting/insuring coordination between programs/staff

Personnel Management

- Establishing, reviewing, amending, approving personnel policies and procedures
- Personnel administration
 - Recruitment, hiring, compensation, benefits, leave, appraisals, career development, grievances, discipline, conduct of employees, records

Fiscal Operations

Preparing, reviewing, and approving budgets
Preparing, reviewing, approving financial statements, records, reports
Acquiring and controlling property
Complying with fiscal aspects of grant requirements
Maintaining an adequate accounting system
Audits and auditing

Human Rights

Establishing and updating an affirmative action plan
Administering an affirmative action plan
Resolving complaints
Promoting affirmative action principles

Board Operations

Board constitution and organization
Board conduct of its affairs

Public Information

Develop and distribute public information materials
Govern the appearance of agency representatives on television and radio
Interview policies
Speaking engagement policies

Interagency Affairs

Developing and submitting funding requests

Negotiating with funding sources

Influencing public policy

Engaging in cooperative efforts with other agencies and organizations

Monitoring and Evaluation

Design, adopt, review, and amend monitoring and evaluation systems

Implement monitoring policies and procedures

Implement evaluation policies and procedures

Review, approve and, as appropriate, submit monitoring and evaluation products

ECONOMIC OPPORTUNITY FOUNDATION, INC.

PROBLEM RESOLUTION

(Instructions for Completing EOF-1)

Introduction:

Every EOF-1 form:

- Specifies what EOF will do to implement a problem solving strategy;
- Describes changes that will result in a problem condition;
- Assigns responsibility for performance and impact to EOF components/Centers; and,
- Provides for an on-going record of accomplishments during the course of the program year.

Instructions By Section:

1. One of the problems that EOF will address will be entered here. (These include: unemployment; inadequate education; an inability to meet emergency needs; limited life enrichment opportunities; inadequate housing; inadequate nutrition; inefficient use of available income; and, incomplete use of available programs and services.)
2. A strategy that will be used to address the problem listed in Section 1 will be entered here. When EOF is using more than one strategy to address a problem a corresponding number of EOF-1 forms will be used. (Examples of strategies include: distributing food, clothing, etc.; providing budget counseling; providing information and referring persons to sources of assistance; operating a food pantry; and, improving program coordination and linkages.)
3. The sources and amounts of funds that will be used to implement the strategy listed in Section 2 will be entered here.
4. The total amount of funding that will be used to implement the strategy listed in Section 2 will be entered here.
5. Sufficient performance and impact objectives will be entered here to convey a clear picture of EOF's strategy implementation efforts (performance) and of changes that will be made in the problem being addressed (impact). (Examples of performance measures include the number and length of contacts made with prospective employers, the number of persons provided direct assistance, and the number of persons provided information and referrals. Examples of impact measures include the number of persons placed in jobs, the dollar value of assistance provided, and the number of persons acquiring assistance through referrals.)
6. A code number will be assigned to each performance and impact measure.
7. Performance and impact accomplishments during the course of the program year will be recorded here. Data on which these entries will be based will be taken from Manager's Worksheets (EOF-4).

PROBLEM RESOLUTION

1. PROBLEM			3. FUNDING (SOURCE/AMOUNT)	a.	/	4. TOTAL
2. STRATEGY				b.	/	
				c.	/	

5. PERFORMANCE AND IMPACT OBJECTIVES	6. EOF CODE	7. QUARTERLY REVIEW				
		a. FIRST	b. SECOND	c. THIRD	d. FOURTH	e. TOTAL

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EOF-1

1/86

ECONOMIC OPPORTUNITY FOUNDATION, INC.

ADMINISTRATION

1. ADMINISTRATION ELEMENT

EOF-2
1/86

2. ADMINISTRATIVE ACTIVITIES AND PRODUCTS	3. EOF CODE	4. QUARTERLY REVIEW					e. TOTAL
		a. FIRST	b. SECOND	c. THIRD	d. FOURTH		

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ECONOMIC OPPORTUNITY FOUNDATION, INC.

ADMINISTRATION

(Instructions for Completing EOF-2)

Introduction:

Every EOF-2 form:

- Lists administrative activities that will be carried out and products that will be developed;
- Makes component/Center assignments by activity and product; and,
- Provides for an on-going record of administrative activities and products during the course of the program year.

Instructions By Section:

1. One of the six EOF administrative elements will be entered here.
(These include: planning; personnel management; fiscal operations; monitoring and evaluation; executive management; and, board operations.)
2. Key administrative activities and major administrative products for the administrative element listed in Section 1 will be entered here.
(Examples of administrative activities include conducting planning meetings, aggregating performance and impact data, and reconciling bank statements. Examples of products include funding applications, fiscal reports, and evaluations.)
3. A code number will be assigned to each administrative activity and product.
4. Activities carried out and products developed during the course of the program year will be recorded here. Data on which these entries will be based will be taken from Manager's Worksheets. (EOF-4).

AGENCY DEVELOPMENT

3. EFFORTS	4. EOF CODE	5. QUARTERLY REVIEW				e. TOTAL
		a. FIRST	b. SECOND	c. THIRD	d. FOURTH	
1. BARRIER TO DEVELOPMENT						
2. APPROACH TO OVERCOME BARRIER						

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EOF-3

1/86

ECONOMIC OPPORTUNITY FOUNDATION, INC.

AGENCY DEVELOPMENT

(Instructions for Completing EOF-3)

Introduction:

Every EOF-3 form:

- Identifies a barrier to the long-term development of EOF;
- Describes an approach that will be used to overcome a barrier to long-term development;
- Describes what will be done in terms of Agency development; and,
- Provides for an on-going record of barrier elimination efforts.

Instructions By Section:

1. One of the barriers EOF faces in terms of long-term development will be entered here. (Examples include incomplete public knowledge about EOF and its accomplishments, insufficient resources, etc.)
2. An approach EOF will use to overcome the barrier identified in Section 1 will be entered here. If EOF is using more than one approach in this regard, a corresponding number of EOF-3 forms will be used.
3. Sufficient measures will be included to convey a clear picture of EOF's efforts to overcome the barrier listed in Section 1. (Examples of such measures include the number of public presentations made, the number of funding requests developed, the number of times funding requests are submitted, etc.)
4. A code number will be assigned to each distinct measure of effort.
5. Efforts to overcome barriers to development during the course of the program year will be recorded here. Data on which these entries will be based will be taken from Manager's Worksheets (EOF-4).

ECONOMIC OPPORTUNITY FOUNDATION, INC.

CALENDAR

1. COMPONENT/CENTER

2. MANAGER

3. EOF CODE	a. MO/	b. MO/	c. MO/	d. MO/	e. MO/	f. MO/

EOF-4
1/86

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ECONOMIC OPPORTUNITY FOUNDATION, INC.

CALENDAR

(Instructions for Completing EOF-4)

Introduction:

Every EOF-4 form provides a timetable for accomplishments during a work program period.

Instruction By Section:

1. The name of an EOF component/Center will be entered here.
2. The name of the person responsible for the component/Center will be entered here.
3. Code numbers from EOF forms 1, 2, and 3 will be entered here.
4. This Section will be used to: schedule performance; schedule impact; schedule management activities; set timelines for the development of administrative products; and, schedule agency development efforts. In all cases, the sum of monthly subtotals for the program period will correspond to the program year totals included on EOF forms 1, 2, and 3.

ECONOMIC OPPORTUNITY FOUNDATION, INC.

MANAGER'S WORKSHEET

1. COMPONENT/CENTER

3. MONTH

2. MANAGER

4. EOF CODE	5. TARGETS	6. STAFF ASSIGNMENTS	7. ACCOMPLISHMENTS PREVIOUS MONTH

ECONOMIC OPPORTUNITY FOUNDATION INC.

MANAGER'S WORKSHEET

(Instructions for Completing EOF-5)

Introduction:

Every Manager's Worksheet form:

- Provides a place to record monthly assignments for individual component/Center staff; and,
- Tracks and records accomplishments on a monthly basis.

Instructions By Section:

1. The name of an EOF component/Center will be entered here.
2. The name of the person responsible for the component/Center listed in Section 1 will be entered here.
3. The month for which staff responsibilities are being assigned will be entered here.
4. EOF code numbers relating to component/Center assignments will be entered here.
5. Performance, impact, administration, and agency development targets will be entered here. (This will require only that the entries in the appropriate monthly column (Section 4) of the Calendar (EOF-4) be transferred to this Section.)
6. Individual staff responsibilities for the month in terms of performance, impact, administration, and agency development will be entered here. In all cases, the sum of these individual assignments will correspond to the component/Center totals for the month (Section 5).
7. Individual staff accomplishments for the month just completed in terms of performance, impact, administration, and agency development will be recorded here.

GENERAL RESPONSIBILITIES AND STANDARDS

Authority:

The holder of this position is delegated the authority necessary to effectively perform all assigned tasks and to carry out all assigned responsibilities subject to the restrictions, requirements, and terms of SCCAA policies and instructions; applicable local, state, and federal laws; and, the dictates of sound judgment, prudence, and ethical conduct.

SCCAA Management Systems:

As appropriate, the holder of this position will participate in and support activities and efforts relating to the following SCCAA management systems:

A. Planning

Analysis of community problems, selection of criteria and the establishment of SCCAA priorities

B. Program Operations

Program design, the direction and performance of work, reporting

C. Personnel Management

The establishment and use of policies and procedures

D. Board Operations

Support for SCCAA boards and committees

E. Fiscal Operations

Resource management in all forms

F. Monitoring and Evaluation

Assessment of: performance and impact; administrative activities; and the development of administrative products

SUPERVISORY RESPONSIBILITIES AND STANDARDS

Planning:

- A. Participate as assigned in the development of planning products
 - 1. Assigned contributions will be made on schedule
- B. Participate as assigned in refining the SCCAA planning system
 - 1. Assigned contributions will be made on schedule

Program Operations:

- A. Participate in program design efforts
 - 1. Assigned contributions will be made on schedule
- B. Develop monthly targets for all assigned performance and impact objectives and management system activities and products
 - 1. Targets will be developed prior to program implementation
- C. Make and track individual staff work assignments
 - 1. Make assignments by the third working day of each month
 - 2. Record accomplishments for the previous month by the third working day of each month
 - 3. Record overall progress by the fifth working day after the end of every quarter
- D. Maintain records
 - 1. Assigned records will be accurate, complete, up-to-date, and will meet all funding source requirements
- E. Coordinate and link program/component efforts with those of other SCCAA program/components and with those of other agencies/groups
 - 1. Participate as assigned in interagency efforts
 - 2. Develop materials for publications as assigned
 - 3. Provide support to other SCCAA programs/components and to other agencies/groups as assigned

Supervisory Responsibilities and Standards (page 2)

- F. Have program(s)/component(s) meet all established objectives
 - 1. Identify barriers to meeting objectives, devise and implement appropriate solutions
- G. Participate as assigned in refining the SCCAA program operations system
 - 1. Assigned contributions will be made on schedule

Personnel Management:

- A. Attend and contribute to staff meetings
 - 1. Contributions will be as assigned
- B. Respond to requests for information
 - 1. Responses will be complete, accurate, and timely
- C. Recruit and hire staff
 - 1. Provide required products and assistance to the personnel officer on schedule
 - 2. Follow established policies and procedures in recruitment and hiring
- D. Provide staff orientation
 - 1. Complete the orientation for all new staff on schedule
- E. Make appropriate use of probationary periods
 - 1. Provide necessary supervision and assistance and develop assigned products on schedule
- F. Promote career development
 - 1. Complete and implement a career development plan for every subordinate
- G. Participate in grievance resolution efforts
 - 1. Participate as assigned
- H. Do performance appraisals
 - 1. Complete all assigned appraisals by their due date
- I. Participate in salary/benefits administration

Supervisory Responsibilities and Standards (page 3)

1. Provide recommendations and make contributions as assigned
- J. Discipline subordinates
 1. Follow established policies and procedures
- K. Terminate subordinates
 1. Follow established policies and procedures
- L. Participate as assigned in refining the SCCAA personnel management system
 1. Assigned contributions will be made on schedule

Board Operations:

- A. Attend and participate in board/committee events
 1. Contributions will be made as assigned
- B. Develop products for use by boards/committees
 1. Assigned products will be completed on schedule
- C. Participate as assigned in refining the SCCAA board operations system
 1. Assigned contributions will be made on schedule

Fiscal Operations:

- A. Do program budgeting
 1. Complete accurate budgets meeting funding source requirements will be developed on schedule
- B. Manage financial resources and property efficiently and effectively
 1. Take corrective action as necessary to insure that program/component expenditures are within budget limits in terms of line item and budget totals
 2. Follow established procurement and contracting policies and procedures
 3. Follow established property and inventory control policies and procedures

Supervisory Responsibilities and Standards (page 4)

C. Keep required fiscal records

1. Records will be complete, accurate, up-to-date and will meet all funding source requirements

D. Track efforts of subcontractors

1. Subcontractors will comply with all obligations

E. Participate as assigned in refining the SCCAA fiscal management system

1. Assigned contributions will be made on schedule

Monitoring and Evaluation:

A. Prepare reports and materials for reports

1. Assigned products will be complete, accurate, will meet all funding source requirements, and will be submitted on schedule

B. Participate in assessment efforts

1. Assigned contributions will be made on schedule

C. Participate as assigned in refining the SCCAA monitoring and evaluation system

1. Assigned contributions will be made on schedule

HEAP DIRECTOR

Specific Responsibilities and Standards

Program Operations

- A. Assume supervisory responsibility for the following program(s)/component(s): _____

1. The quality of supervision provided will meet or exceed established standards
- B. Perform work scheduled but not assigned to subordinates
1. The quality of work done will meet or exceed established standards
- C. The Weatherization Program will meet or exceed the following performance and impact objectives
1. _____ units will be weatherized in the period from _____ to _____ at an average cost of \$ _____ per unit
2. SCCAA materials/support/administrative cost ratios will rank in the top _____ % of Kansas weatherization program operators
3. Fuel consumption in weatherized homes will drop an average of _____ %
- D. Maintain monthly project calendars
1. Calendars will be accurate and up-to-date
- E. Follow established procedures in soliciting and screening applications
1. A _____ day backlog of approved applications will be maintained at all times
2. Application files will be complete, accurate, up-to-date, and will meet all funding source requirements
3. _____ % of application files will be spot-checked for completeness, accuracy, timeliness, and compliance every month, and records of these spot-checks will be maintained.

F. Follow established procedures in contracting for home weatherization

1. Bid specifications, and other contract documents will be complete, accurate, and will meet funding source requirements
2. Bid specifications and other contract documents will be produced on schedule
3. Change orders will be required _____ % of the time or less
4. Spot-checks will be made on _____ % of all contracted work and problems will be addressed as they are identified
5. Cost estimates will be within an average of \$_____ of work orders
6. Compliants will be recorded and a response made within _____ working days; the compliant ratio will not exceed _____ %

G. Recruit, train and support volunteers

1. _____ volunteers will contribute a total of _____ hours to program/component efforts _____ and the value of this assistance will exceed \$ _____

H. Maintain the following records: _____

1. Records will be accurate, complete, up-to-date, and will meet all funding source requirements

I. Submit the following reports: _____

1. Reports will be accurate, complete, will be produced on schedule, and will meet all funding source requirements

HEAP DIRECTOR

Specific Responsibilities and Standards

From 6/1/84 to 12/31/84

Blanks

Program Operations

A. Weatherization, Home Repair

C. Objectives...

1. 345 units from June 1, 1984 to December 31, 1984...
at an average cost of \$675/unit
2. 20%
3. 26%

E. Applications...

1. 60-90
3. 10%

F. Contracting procedures...

3. 8%
4. 10%
5. \$100
6. 5 working days.... 10%

G. Volunteers...

1. 100 volunteers will contribute a total of
500 hours.....will exceed \$ 5,000 ...

H. SE00 monthly, CD monthly, MIS monthly, monthly status,
time allocation, status of applications, energy consumption
(shared responsibility)

CHEYENNE/LARAMIE COUNTY HUMAN SERVICE SYSTEM

Performance and Impact Measures

Attention Home

Performance Measures

- # of person/nights shelter provided
- # of persons provided shelter
- # of meals served
- # of referrals made
- # of persons referred
- # of counseling sessions
- # of persons provided counseling
- # of volunteers/# hours/\$ value of time

Impact Measures

- % of persons referred receiving assistance
- \$ value of assistance received
- % of persons returning (1 time, 2-4 times, 5+ times)

Cheyenne Housing Authority

Public Housing

Performance Measures

- # of units managed
- # of months units occupied
- # of individuals/families served
- \$ value of rent collected
- \$ value of rent uncollected
- # of volunteers/# hours/\$ value of time

Impact Measures

- \$ value savings to tenants over market rate rent

Rent Supplements

Performance Measures

- # of units supplement for which supplement provided
- # of months units occupied
- # of individuals/families participants
- # of landlord participants
- \$ value of rent subsidies provided

Impact Measures

- \$ value savings to tenants over market rate rent

Congregate Meals

Performance Measures

- # of meals served
- # of participants
- # of volunteers/# hours/\$ value of time
- \$ spent on food

Impact Measures

- \$ value of meals served

Home Delivered Meals

Performance Measures

- # of meals delivered
- # of participants
- \$ spent on food

of volunteers/# hours/\$ value of time
Impact Measures
\$ value of meals delivered

Transportation
Performance Measures
of times transportation provided
of participants
of miles traveled
Impact Measures

Homemaker and Chore Service
Performance Measures
of times service provided
of participants
\$ value of assistance provided
Impact Measures

Recreation/Senior Centers
Performance Measures
of centers
of hours centers open
of participants per day (average)
of participants (total)
of organized programs
of participants per program
of participants (total)
Impact Measures

COMEA

Temporary Shelter
Performance Measures
of person/nights shelter provided
of persons provided shelter
of meals served
of referrals made
of persons referred
of volunteers/# hours/\$ value of time
of persons provided direct assistance
Impact Measures
\$ value of meals provided
\$ value of shelter provided
\$ value of direct assistance provided

Community Action of Laramie County

Youth Employment
Performance Measures
of slots
of participants
of hours employment
Impact Measures
\$ value of wages

Outreach and Referral
Performance Measures

of contacts
of referrals
of persons referred
of persons provided direct assistance
of times intervention made
of volunteers/# hours/\$ value of time
Impact Measures
% of persons acquiring assistance
\$ value of assistance acquired
\$ value of direct assistance
% time intervention resulted in problem resolution

Work Experience/Solar Greenhouse

Performance Measures

of persons working
of hours of employment

Impact Measures

\$ value of wages

Food Production/Solar Greenhouse

Performance Measures

of gardens
of gardeners
of persons given seeds
of agencies given produce
of persons given chickens and eggs
of persons using root cellar
of volunteers/# hours/\$ value of time

Impact Measures

\$ value of produce distributed to agencies
\$ value of gardener produce
\$ value of chickens and eggs distributed
\$ value of farmers market sales

Special Education Programs/Solar Greenhouse

Performance Measures

of programs
of participants (average and total)
of media presentations
of times transportation provided
of miles traveled
of volunteers/# of hours/\$ value of time

Distribute Commodities

Performance Measures

of days commodities distributed
of persons receiving commodities per day
of persons receiving commodities
of pounds commodities distributed
of volunteers/# hours/\$ value of time

Impact Measures

\$ value of commodities distributed

Community Center of Domestic Violence Violence Reduction

Performance Measures

- # of presentations in community
- # in audiences
- # of persons counseled
- # of counseling sessions
- # of referrals made
- # of persons referred
- # of times intervention assistance provided
- # of volunteers/# hours/\$ value of time

Impact Measures

- % of persons referred receiving assistance
- \$ value of assistance acquired
- % reduction in battering for participants
- # persons who permanently change living arrangements

Laramie County Citizens for Mental Health

Violence Reduction

Performance Measures

- # of person/nights shelter provided
- # of persons provided shelter
- # of crisis calls taken
- # of counseling sessions
- # of persons counseled
- # of referrals made
- # of persons referred
- # of persons provided direct assistance
- # of volunteers/# hours/\$ value of time

Impact Measures

- % reduction in battering for participants
- # of persons who permanently change living arrangements
- % of persons referred receiving assistance
- \$ value of assistance acquired
- \$ value of direct assistance provided

Community Interagency Board Inc.

Direct Assistance

Performance Measures

- # of times assistance provided
- # of persons assisted
- # volunteers/# hours/\$ value of time

Impact Measures

- \$ value of assistance provided

Information and Referral

Performance Measures

- # of contacts
- # of referrals
- # of persons referred
- # of persons provided direct assistance
- # of times intervention made
- # of volunteers/# hours/\$ value of time

Impact Measures

- % of persons acquiring assistance
- \$ value of assistance acquired
- \$ value of direct assistance

% time intervention resulted in problem resolution

Crisis Counseling

Performance Measures

- # of calls
- # of times referrals made
- # of referrals
- # of hours counseling provided

Impact Measures

Tutoring

Performance Measures

- # of persons tutored
- # of tutoring sessions
- # of volunteers/# hours/\$ value of time

Impact Measures

- % increase in grades
- % reduction in drop-out rate

Recruit, Place, and Train Volunteers

Performance Measures

- # of contacts
- # of presentations
- # placed
- # of training events
- # of person/days of training

Impact Measures

- # of volunteers placed/# hours/\$ value of time

Pathfinder

Drug Abuse Prevention and Treatment

Performance Measures

- # of presentations
- # in audiences
- # of counseling sessions (individuals)
- # of persons counseled
- # family counseling sessions
- # families counseled
- # groups
- # group sessions
- # of persons in methadone program
- # of persons provided medical assistance
- \$ value of medical assistance

Impact Measures

- % of successful participants...with success defined as...

Southeast Wyoming Mental Health Center

Maintenance of Mental Health

Performance Measures

- # of presentations
- # in audiences
- # of counseling sessions (individuals)
- # of persons counseled
- # family counseling sessions
- # families counseled

groups
group sessions
couples counseled
couples counseling sessions
of crisis counseling sessions
of persons counseled
of 24 hour calls taken
of evaluations done
of organized programs
of participants (by program and total)
of referrals made
of persons referred
Impact Measures
% of successful participants...with success defined as...

Alcohol Detoxification
Performance Measures
of detoxification days provided
of participants
of volunteers/# hours/\$ value of time
Impact Measures
of persons completing detoxification

Alcohol Abuse Halfway House
Performance Measures
of lodging/days
of persons provided lodging
of meals served
of referrals made
of persons referred
of counseling sessions
of individuals counseled
of family counseling sessions
of families counseled
of group sessions
of group session participants
of times transportation provided
of miles
of volunteers/# hours/\$ value of time
Impact Measures
% of successful participants...with success defined as...

Alcohol Abuse Prevention and Treatment
Performance Measures
of referrals made
of persons referred
of counseling sessions
of individuals counseled
of family counseling sessions
of families counseled
of group sessions
of group session participants
of volunteers/# hours/\$ value of time
Impact Measures
% of successful participants...with success defined as...

Stride Learning Center

Pre-School

Performance Measures

- # of slots
- # of children/days
- # of children served
- # of child/classroom hours
- # of hours special assistance/instruction
- # of volunteers/# hours/\$ value of time

Impact Measures

- % measured improvement in...

Youth Alternatives

Youth Development

Performance Measures

- # of referrals made
- # of persons referred
- # of counseling sessions
- # of individuals counseled
- # of family counseling sessions
- # of families counseled
- # of group sessions
- # of group session participants
- # of organized programs
- # of program participants by program and total
- # of volunteers/# hours/\$ value of time

Impact Measures

- % of successful participants...with success defined as...

Meals on Wheels

Congregate Meals

Performance Measures

- # of meals served
- # of participants
- # of volunteers/# hours/\$ value of time
- \$ spent on food

Impact Measures

- \$ value of meals served

Home Delivered Meals

Performance Measures

- # of meals delivered
- # of participants
- \$ spent on food
- # of volunteers/# hours/\$ value of time

Impact Measures

- \$ value of meals delivered

Telephone Reassurance, Homemaker and Chore Services

Performance Measures

- # of services provided (by type)
- # of times services provided (by type)
- # of persons assisted
- \$ value of assistance
- # of volunteers/# hours/\$ value of assistance

Impact Measures

Salvation Army

Performance Measures

- # of meals served
- # of participants
- # of person/nights shelter provided
- # of persons provided direct assistance
- # of times direct assistance provided
- # of referrals made
- # of persons referred
- # of counseling sessions
- # of individuals counseled
- # of family counseling sessions
- # of families counseled
- # of organized programs
- # of program participants by program and total
- # of volunteers/# hours/\$ value of time

Impact Measures

- \$ value of meals served
- % of persons referred receiving assistance
- \$ value of assistance acquired
- \$ value of direct assistance

Distribute Commodities

Performance Measures

- # of days commodities distributed
- # of persons receiving commodities per day
- # of persons receiving commodities
- # of pounds commodities distributed
- # of volunteers/# hours/\$ value of time

Impact Measures

- \$ value of commodities distributed

Wyoming Food Clearinghouse

Collect and Distribute Food

Performance Measures

- # of donors contacted
- # of donor contacts
- # of donors
- # of pounds food donated
- # of agencies receiving food
- # of volunteers/# hours/\$ value of time

Impact Measures

- \$ value of food distributed

Department of Public Assistance and Social Services (Cheyenne Office)

AFDC

Performance Measures

- # of applications
- # of persons served
- # of payments made

Impact Measures

- \$ value of assistance provided

SSI

Performance Measures

of applications

of persons served

of payments made

Impact Measures

\$ value of assistance provided

LIHEAP

Performance Measures

of applications

of persons served

of payments made

Impact Measures

\$ value of assistance provided

Food Stamps

Performance Measures

of applications

of persons served

of payments made

Impact Measures

\$ value of assistance provided

General Assistance

Performance Measures

of applications

of persons served

of payments made

Impact Measures

\$ value of assistance provided

Emergency Assistance

Performance Measures

of applications

of persons served

of payments made

Impact Measures

\$ value of assistance provided

Minimum Medical Payments Assistance

Performance Measures

of applications

of persons served

of payments made

Impact Measures

\$ value of assistance provided

Advocacy, Information and Referral Program

Performance Measures

of contacts

of referrals

of persons referred

of persons provided direct assistance

of times intervention made

Impact Measures

- % of persons acquiring assistance
- \$ value of assistance acquired
- % time intervention resulted in problem resolution

Mental Health

Performance Measures

- # of referrals made
- # of persons referred
- # of counseling sessions
- # of individuals counseled
- # of family counseling sessions
- # of families counseled
- # of group sessions
- # of group session participants
- # of organized programs
- # of program participants by program and total

Impact Measures

- % of successful participants...with success defined as...

Eyeglass and Hearing Aid Program

Performance Measures

- # of persons assisted (by category)

Impact Measures

- \$ value of assistance provided

Home Management and Financial Planning

Performance Measures

- # of hours assistance provided
- # of persons assisted
- # of home budgets developed

Impact Measures

- % home budgets followed 6+ months

WIN Program

Performance Measures

- # of enrollees
- # hours training provided (total and average)

Impact Measures

- # of persons finding unsubsidized employment
- \$ salary to start (average)
- % employed 6+ months

VI. Quality Considerations

A. Introduction

The materials included in Sections II through Section V of this Manual relate to either planning or management functions. As such, they describe either what needs to be done or suggest ways in which necessary tasks can be accomplished. They do not, however, provide guidance in regard to how well tasks can or should be done. The materials that follow are designed to serve this purpose.

B. Materials

1. Program Management Questions.....114
2. Characteristics of High Performance
Organizations.....115
3. Worksheets/Checklists.....116-135

PROGRAM MANAGEMENT QUESTIONS

Product Considerations	Productivity Considerations
I. Program Rationale Status....What is the rationale for selecting program ends? Quality...On what basis should program rationale decisions be made? II. Program Appropriateness Status....What planning data is available? Quality...What planning data should be available, and what should be done with it? III. Work Program Elements Status....What elements does a work program contain? Quality...What elements should a work program contain? IV. Performance Status....What effort is being exerted? Quality...What effort should be exerted? V. Impact Status....What results are being obtained? Quality...What results should be obtained? VI. Cost-Effectiveness Status....What is being accomplished in terms of both effort and results with available resources? Quality...What should be accomplished in terms of both effort and results with available resources?	I. Basic Values Status....What values are widely shared? Quality...What values should be widely shared? II. People Status....What knowledge, skills and attitudes are present? Quality...What knowledge, skills, and attitudes should be present? III. Management Style Status....What approach is used? Quality...What characteristics should the approach used have? IV. Delivery Mechanism Strengths and Capabilities Status....Which ones are present? Quality...Which ones should be present? V. Systems and Procedures Status....What is the nature and what are the characteristics of the ones used? Quality...Which ones should be used, and what characteristics should they have? VI. Structure Status....Which one is used? Quality...What characteristics should be present?

CHARACTERISTICS OF HIGH PERFORMANCE ORGANIZATIONS

VISION

Target population, conditions, commitment to change conditions
Whenever anything is being accomplished, it is being done, I
have learned, by a monomaniac with a mission.

-Peter Drucker

VALUES

A shared understanding of and commitment to address selected
problem causes

A shared understanding of and commitment to use selected
program strategies

A commitment to quality

AWARENESS

Internal

External

TECHNIQUE

Demonstrated capability in regard to: planning; program operations;
board operations; personnel management; fiscal operations; interagency
affairs; human rights; public information; and monitoring and evaluation

IMAGE

Dependable, predictable, capable

LEVERAGE

Positioned to make best use of assets

CONNECTIONS

Target populations, funding sources, decision makers

MYTHS AND STORIES

A shared history of "heroic sacrifices"

ELECTRICITY

"Can-do" attitude, a presumption that the organization will succeed

POTENCY

Cash and non-cash resources

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

II. People

B. Job Characteristics Exercise

	Matters of Concern to Employees From the Perspective Of... (1 = somewhat important; 2 = important; 3 = very important)											
	The Governor			The Department Secretary			The Office Director			The Employee		
	1	2	3	1	2	3	1	2	3	1	2	3
a. Tactful Discipline												
b. Good Working Conditions												
c. Promotion and Growth												
d. Pay												
e. Job Security												
f. Feeling of Being In On Things												
g. Full appreciation of Work Done												
h. Treating people as individuals												
i. Employee autonomy												
j. Informal atmosphere												
k. Support for innovation												

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

II. People

D. Staff Capacity Inventory

Management Functions	Useful Knowledge (Not Inclusive)	Resource Person(s) (Quality...1-5)	Useful Skills (Not Inclusive)	Resource Person(s) (Quality...1-5)	Useful Attitudes (Not Inclusive)	Resource Person(s) (Quality...1-5)
Program Development	-P/D systems -P/D techniques -Fed & state reqs -M & E results -Resources		-Data analysis -Surveying -Work with groups -Prepare docum'ts -Sponsor meetings -Resource analysis		-Commitment to: - mission - P/D process - community input	
Program Operations	-Ways to organize work and make work assgmts -MIS options -M & E systems -Operation of rel't'd pgms -connections		-Leadership -Organizing work -Needed techniq's -Reporting -Coalition bldg -M & E		-Commitment to success of programs/pjct projects	
Personnel	-Personnel mgmt systems -P/M techniques		-Supervision -Group processes -Record keeping		-People are the key to productivity	

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

II. People

D. Staff Capacity Inventory (Cont.)

Management Functions	Useful Knowledge (Not Inclusive)	Resource Person(s) (Quality...1-5)	Useful Skills (Not Inclusive)	Resource Persons (Quality...1-5)	Useful Attitudes (Not Inclusive)	Resource Persons (Quality...1-5)
Human Rights	-Fed & state regs -H/R pgm altern's •employment •participation		-Conciliation -Mediation -Group processes -Program design		-Commitment to H/R principles	
Fiscal Operations	-Gen'ly acct'd acct'g prin's -Fed & state regs -Auditing -Ppty management		-Accounting -Budgeting -Reporting -Ppty management		-Commitment to: •cost-effectvns •fiscal acctbty	
Interagency Affairs	-Operation H/R programs -Reactions to own "Connections" -Mission		-Team building -Forging linkages -"political" game		-Commitment to: •mission •success	

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

II. People

D. Staff Capacity Inventory (Cont.)

Management Functions	Useful Knowledge (Not Inclusive)	Resource Persons (Quality...1-5)	Useful Skills (Not Inclusive)	Resource Persons (Quality...1-5)	Useful Attitudes (Not Inclusive)	Resource Persons (Quality...1-5)
Board Operations	-Ways to organize boards -Ways of conducting bd busin's		-Prepare briefing materials -group processes		-Commitment to: •bd input •bd's success	
Public Information	-Media operations -P/I products & techniques -Mission		-Preparing/distbg p/i products		-Commitment to: •mission	

Driving Assumptions

Worksheets

Rationale for Office Operations

Assumption Options	Not a Concern	Somewhat of a Concern	A Strong Concern (Rank Ordered)
a. Responsiveness to low-income people			
b. Not creating dependencies on the part of program participants			
c. Functioning in accord with local government preferences			
d. Promoting coordination and linkages			
e. Importance of details of execution-- contracts, papers, memos, letters, presentations, etc.			
f. Having the best agency in the country			
g. Functioning in accord with State Administration policies			
h. Having a positive impact on poverty related problems			
i. Having the best agency in the state			
j. Promoting institutional changes of benefit to low-income people			
k. Mobilizing anti-poverty resources			
l. Working smoothly with other agencies			
m. Promoting public-private partnerships			
n. Involving low-income people in the affairs/events that shape their lives			
o. Other (specify)			
p.			
q.			
r.			

Management Style

Management Style Inventory

Management Style Elements	Extent to Which Current Management Style Makes Use of and/or Reflects the Elements Listed		
	To a Very Limited Degree	To Some Degree	To a Great Degree
Loose-Tight Properties			
A Bias for Action			
Transactional Leadership			
Transforming Leadership			
Full Information Flow			
"Family" Characteristics			
Myths and Stories			

Management Style

Changes/Improvements

Management Style Element	Status as per Assessment	Changes/ Improvements	Schedule

Management Style

Leadership

Transactional Leadership

Involves:

1. Shifting the attention of an agency/organization
2. Altering agendas
3. Being visible at problem times
4. Listening
5. Encouraging
6. Reinforcing with believable action
7. Being tough when necessary

Transforming Leadership

Involves:

1. Building on peoples' need for meaning
2. Creating institutional purpose
3. Shaping values
4. Being an exemplar
5. Creating meaning(s)
6. Constant promotion of one or two transcending values
7. Leadership that is inseparable from followers needs and goals
8. Leader and followers raising each other
9. Fusing the purposes of leader and followers

From James MacGregor Burns' book, Leadership

"Whenever anything is being accomplished, it is being done, I have learned, by a monomaniac with a mission."

-Peter Drucker

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

IV. Management Style

B. Worksheets

4. Decision Making

Decisions (Nature and Characteristics)	Never	Sometimes	Often	Not Applicable
Decisions Originating with Superiors				
1. Have an articulated or understood value base.....				
2. Are consistent.....				
3. Are timely				
4. Accord CSBG Office both authority and responsibility...				
5. Are clear and unambiguous.....				
6. Provide for CSBG Office input..				
7. Reflect CSBG Office input.....				
Decisions Solicited by CSBG Office				
1. Have an articulated or understood value base				
2. Are consistent.....				
3. Are provided in a timely manner				
4. Reflect/support the responsibility and authority of the CSBG Office.....				
5. Are clear and unambiguous.....				
6. Provide for CSBG Office input..				
7. Reflect CSBG Office input.....				
Decisions Made in the CSBG Office				
1. Are consistent with articulated/understood administration values				
2. Are consistent				
3. Are made in a timely manner....				
4. Are clear and unambiguous.....				
5. Provide for staff input.....				
6. Reflect staff input.....				
7. Reflect established policies..				

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

IV. B. 4 (Cont.)

Decisions (Nature and Characteristics)	Never	Sometimes	Often	Not Applicable
Decisions Made BY CSBG Office For Contractors				
1. Have an articulated or under- stood value base.....				
2. Are consistent.....				
3. Are timely.....				
4. Reflect/support the responsibil- ity & authority of contractors..				
5. Are clear and unambiguous.....				
6. Provide for contractor input...				
7. Reflect contractor input.....				

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

IV. Management Style

B. Worksheets

5. Myths and Stories

Fertile Climates For Myths and Stories	Current Myth and Story Producing Activities	Possible New Myth and Story Producing Activities
Starting New Programs and Projects		
Joint Ventures (Monitoring and evaluation efforts, creating task forces and coalitions, etc.)		
Campaigns (Legislative, fund raising, ballot initiatives, etc.)		
Events (Conferences, "Days", training sessions, etc.)		
Recruitment		

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

VI. A. 1 (Cont.)

	Never	Sometimes	Often	N/A
Department Secretary's Office Actions (cont.)				
5. Degree of initiative CSBG Office uses in dealing with Secretary's Office				
a. wait until asked				
b. Ask.				
c. Recommends, then acts				
d. Acts, then advises				
e. Acts, then routinely reports				
6. Signs letters for and makes calls in behalf of CSBG Office				
7. Makes direct use of CSBG Office staff				
Placement of New Programs				
1. New anti-poverty programs are assigned to the CSBG Office...				
a. As a matter of course				
b. After routine consultation with other state departments and agencies				
c. After some pushing/prompting by the CSBG Office				
d. After rock-em sock-em battles				
Indirect Evidence				
CSBG Office Actions				
1. Staff participation on policy making bodies...				
a. Governor's cabinet				
b. Governor's cabinet subgroups				
c. Department Secretary's cabinet				
d. Secretary's cabinet subgroups				
e. Policy making bodies of Governor's political party				
f. Policy making subgroups of Governor's political party				

IMPROVING STATE-LEVEL PROGRAM OPERATIONS

VI. A. 1 (Cont.)

CSBG Office Actions (cont.)

2. Staff support provided to policy making bodies...
 - a. Governor's cabinet
 - b. Governor's cabinet subgroups
 - c. Department Secretary's cabinet
 - d. Secretary's cabinet subgroups
 - e. Policy making bodies of Governor's political party
 - f. Policy making subgroups of Governor's political party
3. CSBG Office staff are assigned to provide training and technical assistance and similar support to other State departments and agencies

Never	Sometimes	Often	N/A

Resources, Strengths, and Skills

Altering the Environment

Image Considerations

	Indicate the degree to which you associate the words/phrases provided with the CSBG Office		
	Very Limited Assoc	Some Assoc	Strong Assoc
Economic development			
Provide services			
Welfare system			
High performance			
Emergency needs			
Jobs			
Food and shelter			
Leadership			
Small businesses			
Status quo			
Transportation			
Clients			
Civic groups and organizations			
Social services			
Low-income groups and organizations			
Quality work			
Cooperatives			
Legislative initiatives			
Talented staff			
Discrimination			
Catalyst			
Mobilize resources			
Sensitize people to poverty			
Institutional change			
Social and economic justice			
Affirmative action			
Political clout			

	Indicate the degree to which you associate the words/phrases provided with the CSBG Office		
	Very Limited Assoc	Some Assoc	Strong Assoc
Poor people			
Community development			
Welfare rights			
Self-sufficiency			
Community organizing			
Coordination and linkages			
Service gaps			
Purchase of services			
Access to people who count			
Payments			
Connections			
Social change			
Food			
Housing			
Ties to constituency			
Elderly persons			
Handicapped persons			
Leverage			
Title XX			
Community economic development			
Unemployment			
Minorities			
Ear of Governor			
Starvation and malnutrition			
Education			
Duplication of effort			
Private sector involvement			
Social services			
Ties to legislature			

Resources, Strengths, and Skills

Altering the Environment

Connections

A "Connections"	B Period Since Most Recent Contact	C Contacts Last Six Months	D # Persons Reprsnt'd Col C	E Nature of Contacts Col C	F Reasons/Chances to Increase Contacts
Governor					
Governor's Top Asstant					
State Legislators					
Local Elected Officials					
Department Secretary					
Dept. Deputy Secretaries					
Legislators' Staff					
Private Sector Leaders					
Contractor Board Members					
Contractor Senior Staff					
Political Party Staff					
Elected Party Officials					
Lobbyists---State Level					
Staff State-Wide Orgs					
Board Mbrs State-Wd Orgs					
Feds---D.C. Based					
Feds---Regional Offices					
Senators					
Senate Staffers					
House Members					
House Staffers					
Lobbyists---National					
Staff--Other Local Contractors					
Board Members--other Local Contractors					

Resources, Strengths, and Skills

Altering the Environment

Leverage

"Leveragees"	Nature/Date Last Asstce Provided	Quality of Personal Reltnshp (1-5)	Likelihood will do more than "form" for you	Date/Nature of last con- tact (+ or -)	Chit Standing (+ or -)
Governor					
Governor's Top Assistnt					
State Legislators					
Local Elected Officials					
Department Secretary					
Depty Dept Secretaries					
Legislators' Staff					
Private Sector Leaders					
Contractor Board Mbrs					
Contractor Senior Staff					
Political Party Staff					
Elected Party Officials					
Lobbyists--state level					
Staff State-wide Orgs.					
Board Mbrs State-Wd Org					
Feds---D.C. Based					
Feds--Reg/ Offices					
Senators					
Senate Staffers					
House Members					
House Staffers					
Lobbyists--National					
Staff--Other Local Contractors					
Board Mbrs--Other local contractors					

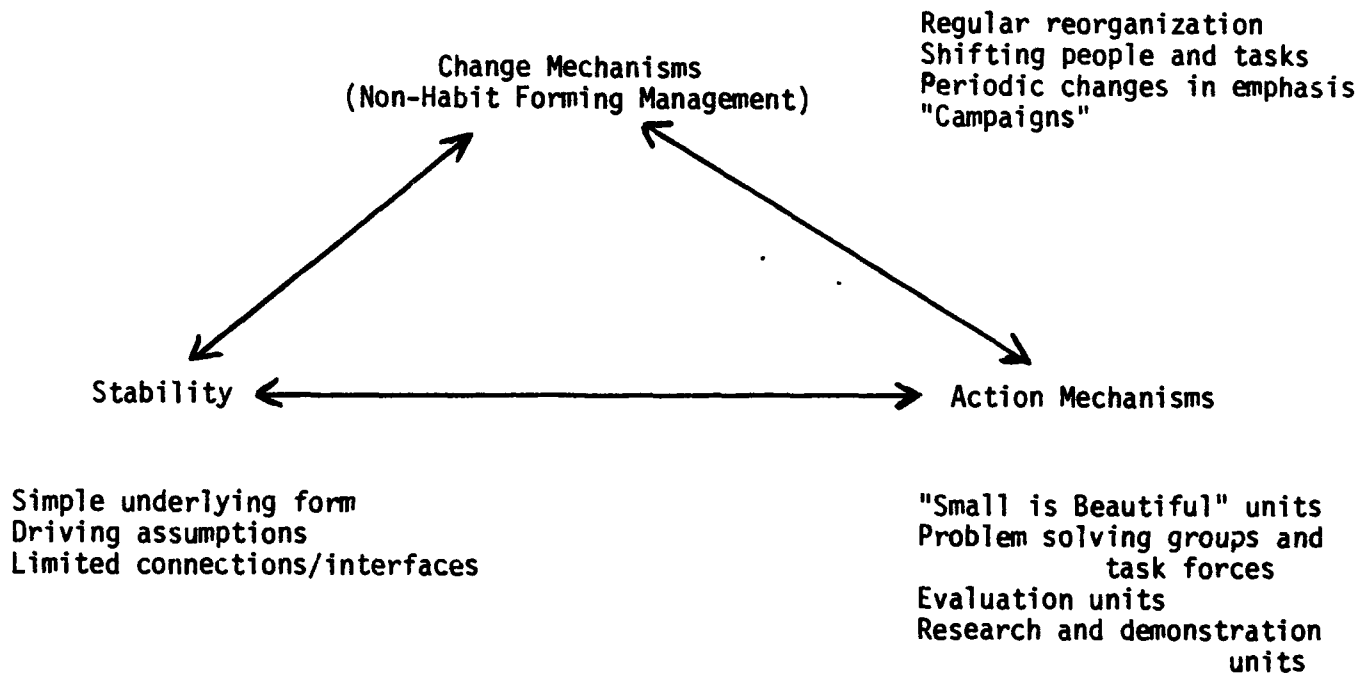
Resources, Strengths, and Skills

Awareness

and 2. Information from External Sources and Reactions to Efforts

Sources	Personal Sources (Prof and Social)				Your Network's (Prof and Social)			
	# Used in 6 mos.	Times Used	Quality Info/Reac	Barriers to Use	# Used in 6 mos.	Times Used	Quality Info/Reac	Barr's to Use
Information Sources								
Meetings								
Telephone Calls								
Visits								
Publications								
Conversations								
Reaction Sources								
People in Other Departments								
People in Other Offices/Divisions								
People in Other Polit Party								
People of Other Age/Race/Sex/etc. Groups								
Traffic Managers (Planning Units, Budget Units, Gov's Office, etc.)								
People Out of Govt.								

Model



Note: This model owes much to material included in In Search of Excellence, Lessons From America's Best Run Companies

VII. Agency and System Development

A. Introduction

It is possible to think as systematically about refinements in individual human service agencies and in the overall human service system as it is to think about addressing the problems human service target populations face. Further, the same conceptual tool...examining problems, identifying problem causes, and identifying strategies that could be used to address these problem causes...can be used.

The materials that follow include checklists, discussion papers, surveys, etc. that can be used in either or both individual human service agency or human service system wide refinement efforts.

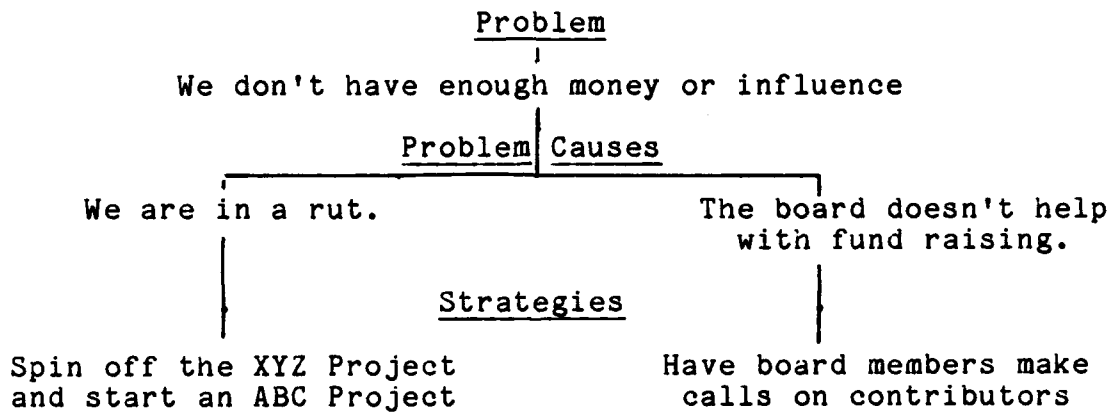
B. Materials

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AGENCY DEVELOPMENT

Problem Analysis

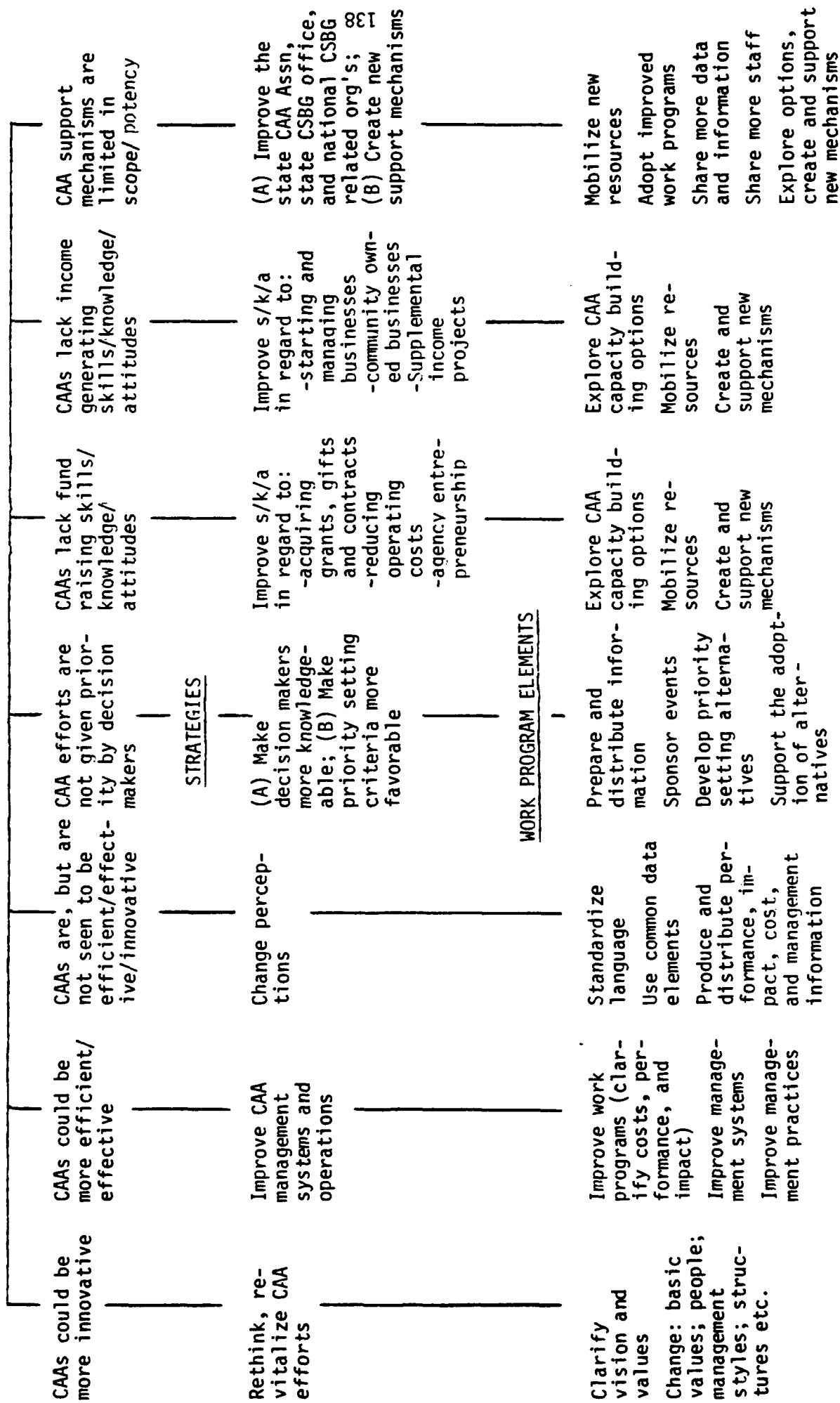
- A. We are in a rut. We haven't done anything different for ten years.
- B. Our problem is poor management.
- C. We need to spin off the XYZ Project and start an ABC Project.
- D. Every board member needs to make some calls on possible contributors.
- E. Our staff performance appraisal system is a joke.
- F. The board doesn't get involved in fund raising.
- G. We don't have enough money or influence.



PROBLEM

CAA efforts are limited in scope/potency

PROBLEM CAUSES



WORK PROGRAM ELEMENTS

CAA PROGRAM/MANAGEMENT ELEMENTS

Program Design		Agency Operations		Agency Development	
Tasks	Key Products/Tools	Tasks	Key Products/Tools	Tasks	Key Products/Tools
Agree on Agency purpose	Statement of Purpose/ Mission -ends -products -processes Plan for Planning/A -activities -products -processes Need Assessment/A -ranking -ranking input analysis -resource analysis -priority setting Long-Range Plan -Priorities •Target populations •Problems •Causes •Strategies -Goals •Problem impact	Address poverty related problems Administer program funds (board operations, fiscal operations, personnel, monitor- ing and evaluation, interagency affairs)	Work program/A -performance -impact -cost-effectiveness Work program/B -activities -products Work Program/A and B -calendar -work assignments -data collection	Decide what to do for/with the Agency	Plan for Planning/A' -activities -products -processes Needs Assessment/A' Agency scope/ potency problem -ranking -ranking input analysis -resource analysis -priority setting Agency administrat'n -ranking -ranking input analysis -resource analysis -priority setting
Decide what to do in the community				Address Agency scope/potency problem Improve Agency administration (Values, people, management style, mechanism strengths and capabilities, systems and procd's, structure) Assess development	Work Program/A' -initiatives -accomplishments Work Program/B' -efforts -results Work Program/A' and B' -calendar -work assignments -data collection Assessment -findings

NEXT STEPS

Tasks	Key Products/Tools	Satisfaction Level (lo/med/hi)	Priority For Refinement (lo/med/hi)	Comments/etc.
Agree on Agency purpose	Statement of purpose/ Mission -ends -products -processes Plan for Planning/A -activities -products -processes Needs Assessment/A -ranking -ranking input analysis -resource analysis -priority setting Long-Range Plan -priorities •Target pop's •Problems •Causes •Strategies -goals •Problem impact			
Address poverty related problems	Work Program/A -performance -impact -cost-effectivn's			
Administer program funds (bd ops, fiscal ops, personnel, mon and eval, intg'cy affairs)	Work Program/B -activities -products Work Program/A & B -calendar -work assignmts -data collection			

NEXT STEPS/Page 2

Tasks	Key Products/Tools	Satisfaction Level (lo/med/hi)	Priority for Refinement (lo/med/hi)	Comments/etc.
Decide what to do for/with the Agency	Plan for Planning/A' -activities -products -processes Needs Assessment/A' Agency Scope/ potency problem -ranking -rank'g inpt anal -res'ce analysis -pr'ty setting Agency Administ'n -ranking -rank'g inpt anal -res'ce analysis -pr'ty setting			
Address Agency scope/potency problem	Work Program/A' -initiatives -accomplishments			
Improve Agency admin (values, people, mgmnt style, mech st's and cap's, syst's and prcd's, str'r	Work Program/B' -efforts -results Work Program/A' & B' -calendar -work assgmnts -data collection			
Assess developm't	Assessment -findings			

STANDARDS OPTIONS

Rationale

- Question: What should be the distinguishing features of CAAs?
- Standards: Measures that indicate the extent to which CAA structures and operations reflect selected features and characteristics...

Appropriateness

- Question: To what extent do CAA activities address community problems?
- Standards: Measures that assess the relative quality of program design products and procedures...

Performance

- Question: What do CAAs do (programatically)?
- Standards: Measures that quantify CAA program efforts...

Impact

- Question: What difference do CAA program efforts make?
- Standards: Measures that quantify CAA program results...

Cost-Effectiveness

- Question: Could more (...in terms of performance...in terms of impact...) have been done with the same or fewer resources?
- Standards: Measures that compare and contrast costs, performance (effort), and impact (results)...

Compliance

- Question: Are CAAs following established policies and procedures, and are they developing required products?
- Standards: Measures that assess the extent to which CAAs are following established policies and procedures, and that assess the relative quality of required products...

Management Quality

- Question: How well are CAAs managed?
- Standards: Measures that indicate the extent to which CAAs are managed efficiently and effectively...

Agency Development

- Question: What can be said about the scope and significance of CAA activities retrospectively...prospectively...?
- Standards: Measures that identify and assess trends in the scope and significance of CAA activities...

PROGRAM MANAGEMENT QUESTIONS

Looking Ahead

- I. What will we use ____ money to do? (Contract Obligations)
- II. Why are we going to do it? (Rationale)
- III. Should we do it? (Appropriateness)
- IV. How much will we do? (Performance)
- V. What difference will it make? (Impact)
- VI. Are we going to do the most possible with the resources available? (Cost-Effectiveness)

Looking Back

- I. What did we get paid to do? (Contract Obligations)
- II. Why did we do it? (Rationale)
- III. Should it have been done? (Appropriateness)
- IV. How much did we do? (Performance)
- V. What difference did it make? (Impact)
- VI. Could more have been done with the resources that were applied? (Cost-Effectiveness)

PROGRAM MANAGEMENT ANSWER SOURCES

Basic Assumptions	Program Development	Contracting	Program Operations	Monitoring & Evaluation
<u>II. Rationale</u> A. Poverty Analysis 1. Causes 2. Strategies B. Program Purposes 1. Self-sufficiency 2. Promote coordination 3. Involve private sector 4. Involve poor people 5. Other.... C. Program Mechanics 1. Target populations 2. Geographic coverage 3. Administrative costs 4. Other....	<u>III. Appropriateness</u> A. Mission B. Problem Data and Information C. Problem Identification and Analysis D. Problem Ranking E. Resource Analysis F. Priority Setting G. Budget Allocations <u>VI. Cost-Effectiveness</u> A. Problem Data and Information B. Problem Identification and Analysis C. Problem Ranking D. Resource Analysis E. Priority Setting F. Budget Allocations	<u>I. Contract Obligations</u> A. General Contract Conditions B. Scope of Work 1. Goals 2. Performance measures 3. Impact measures 4. Activity schedule 5. Detailed budgets IV., V., and VI. Performance, Impact, Cost-Effectiveness A. Scope of Work 1. Goals 2. Performance measures 3. Impact measures 4. Activity schedule 5. Detailed budgets	<u>IV. Performance</u> A. Work Schedules and Assignments B. MIS Data and Information C. Policy Decisions and Related Information <u>V. Impact</u> A. Work Schedules and Assignments B. MIS Data and Information C. Policy Decisions and Related Information <u>VI. Cost-Effectiveness</u> A. Work Schedules and Assignments B. MIS Data and Information C. Policy Decisions and Related Information	<u>I. Contract Obligations</u> A. M and E Products <u>II. Rationale</u> A. M and E Products <u>III. Appropriateness</u> A. M and E Products <u>IV. Performance</u> A. M and E Products <u>V. Impact</u> A. M and E Products <u>VI. Cost-Effectiveness</u> A. M and E Products

PROGRAM MANAGEMENT QUESTIONS

Product Considerations	Productivity Considerations
I. Program Rationale Status....What is the rationale for selecting program ends? Quality...On what basis should program rationale decisions be made? II. Program Appropriateness Status....What planning data is available? Quality...What planning data should be available, and what should be done with it? III. Work Program Elements Status....What elements does a work program contain? Quality...What elements should a work program contain? IV. Performance Status....What effort is being exerted? Quality...What effort should be exerted? V. Impact Status....What results are being obtained? Quality...What results should be obtained? VI. Cost-Effectiveness Status....What is being accomplished in terms of both effort and results with available resources? Quality...What should be accomplished in terms of both effort and results with available resources?	I. Basic Values Status....What values are widely shared? Quality...What values should be widely shared? II. People Status....What knowledge, skills and attitudes are present? Quality...What knowledge, skills, and attitudes should be present? III. Management Style Status....What approach is used? Quality...What characteristics should the approach used have? IV. Delivery Mechanism Strengths and Capabilities Status....Which ones are present? Quality...Which ones should be present? V. Systems and Procedures Status....What is the nature and what are the characteristics of the ones used? Quality...Which ones should be used, and what characteristics should they have? VI. Structure Status....Which one is used? Quality...What characteristics should be present?

Product Considerations

I. Program Rationale

On what basis should program rationale decisions be made?

. . .At a minimum, the rationale for program activities should be based in whole or in part on two elements--an analysis of the causes of poverty and of positive and negative features of basic anti-poverty strategies, and a commitment to quality programming.

This rationale can also be based in part on:

- A. Assumptions about major program purposes (promoting self-sufficiency of participants, avoiding the creation of dependencies, promoting coordination and linkages, involving low-income people and/or private sector in program activities, etc.);
- B. Assumptions about program mechanics (geographic coverage, types and numbers of contractors, minimum allocations of funds, etc.); and,
- C. Assumptions about the optimum focus for program activities (target populations, problem conditions to be changed, problem causes to be addressed, strategies to be used.)

II. Program Appropriateness

What planning data should be available, and what should be done with it?

. . .At a minimum, available planning data and information should include:

- A. A clear statement of mission;
- B. Demographic information relating to existing poverty problems;
- C. Information about the causes of existing poverty problems; and,
- D. An analysis of available and potentially available anti-poverty resources.

This data and information should be used as the basis for:

- A. The development of ranking criteria and the rank ordering of poverty problems in terms of their relative severity;
- B. The development of priority setting criteria and of priorities for 1)changing problem conditions, 2) addressing problem causes, and, 3) implementing anti-poverty strategies; and,

- C. The development of budget allocation criteria and the allocation of resources.

III. Work Program Elements

What elements should a work program contain?

. . .At a minimum, contracts/work programs should include:

- A. Performance measures;
- B. Impact measures;
- C. Strategy descriptions;
- D. Lists of major activities;
- E. Schedules for key events; and,
- F. Budget allocations by program strategies.

IV. Performance

What effort should be exerted?

. . .At a minimum, performance benchmarks should be established for all programs and projects. For example, standards should be developed that indicate the number of persons a housing counselor could reasonably assist in a day (month, year), how many persons a staff member might be expected to involve in an initiative of some sort in a given period, how many persons could be referred to a service provider or providers in a given period, etc.

V. Impact

What results should be obtained?

. . .At a minimum, impact benchmarks should be established for all programs and projects. Possible examples in this regard include the number of persons provided housing counseling who will actually get out of sub-standard housing as a result of the counseling, the dollar value of produce grown and consumed by persons involved in a garden project, the number of job trainees who find permanent, unsubsidized employment, etc.

VI. Cost-Effectiveness

What should be accomplished in terms of both effort and results with available resources?

Productivity Considerations

I. Basic Values

What values should be widely shared?

. . .At a minimum, widely shared values should include a commitment to high quality programming, and a commitment to address problems low-income persons face.

The following can also serve as basic values:

- A. Assumptions about major program purposes (see Product Considerations, I.A);
- B. Assumptions about program mechanics (see Product Considerations, I.B); and,
- C. Assumptions about the optimum focus for program activities (see Product Considerations, I.C).

II. People

What knowledge, skills and attitudes should be present?

. . .At a minimum, necessary knowledge, skills, and attitudes include those required to carry out the following functions efficiently and effectively:

- A. Planning;
- B. Program Operations;
- C. Personnel Management;
- D. Board Operations;
- E. Interagency Affairs;
- F. Human Rights;
- G. Public Information;
- H. Fiscal Management;
- I. Monitoring and Evaluation.

III. Management Style

What characteristics should the approach used have?

...At a minimum, the style used should insure that persons associated with the program feel that they are being treated with dignity and respect, that they are being included in program decision making, and that they are "winners".

More specifically, the management style used should promote the following:

A. "Loose-Tight" Properties

...Unfailing adherence to a few driving assumptions within a context of substantial autonomy for individual employees...

B. A Bias for Action

...An unwavering inclination to move forward...

C. Transforming Leadership

...Leadership that creates and sustains program purpose, that builds on people's need for meaning, and that increases the output and commitment of all persons associated with the program...

D. Transactional Leadership

...Leadership that focuses the program's agenda, that solicits and encourages input, and that reinforces program efforts with concerted, believable actions...

E. Full Information Flow

...Activities and procedures that insure that every person associated with the program is routinely made aware of available information...

F. A "Family" Feeling

...Informal, collegial, warm, and inclusive atmosphere...

G. Myths and Stories

...The propagation of information and anecdotes that document or purport to document extraordinary program efforts and contributions to program activities...

IV. Delivery Mechanism Strengths and Capabilities

Which ones should be present?

. . .At a minimum, adequate resources must be available, the delivery mechanism must be able to alter its environment, and persons associated with the delivery mechanism must be aware of related events and of reactions to their efforts.

Detailed requirements in this regard are as follows:

A. Resources

1. Mandate

There must be both direct and indirect evidence that the delivery mechanism has a mandate to carry out its tasks. Direct evidence in this regard can include statutory authority, an executive order, administrative rules, etc. It can also include the products of on-going management and/or administrative efforts.

Indirect evidence can include participation by persons associated with the delivery mechanism on policy making bodies, solicitation of support and contributions from persons associated with the delivery mechanism, and solicitations of assistance from these persons.

2. Staff

As is indicated in Productivity Considerations, II,C, the delivery mechanism must have people with the knowledge, skills, and attitudes necessary to carry out a wide range of program amangement tasks.

3. Program Support

Sufficient resources must be available to cover costs incurred for travel, space, equipment, supplies, etc., and to acquire specialized outside assistance when necessary.

B. Ability to Alter the Environment

1. Image

The delivery mechanism must be perceived as having at least three characteristics; a mission, a definable target for its efforts, and the capacity to meet established objectives.

2. Connections

Persons associated with the delivery mechanism must have extensive connections that extend upward, downward, and laterally both inside and outside their funding network.

3. Leverage

Persons associated with the delivery mechanism must be able to combine and use resources, theirs and the mechanism's image, and their connections to exert leverage. This includes both providing and receiving assistance, and trading on and receiving the benefits that accrue from a variety of relationships.

C. Awareness

Persons associated with the delivery mechanism must be intensely aware of what is going on both in their immediate environment and in the world around them. They must also have detailed knowledge of internal and external reactions to delivery mechanism efforts and initiatives.

V. Systems and Procedures

Which ones should be used, and what characteristics should they have?

. . . At a minimum, systems used should clearly specify roles and responsibilities in regard to:

1. Planning;
2. Program Operations;
3. Personnel Management;
4. Board Operations;
5. Interagency Affairs;
6. Human Rights;
7. Public Information;
8. Fiscal Management; and,
9. Monitoring and Evaluation.

Further, system operations should: 1) feature decision making that has a broadly understood value base, is consistent, timely, unambiguous, and widely participatory; 2) make use, when appropriate, of groups and task forces; and, 3) feature intense communications among the persons involved.

VI. Structure

What characteristics should be present?

. . .At a minimum, the structure used should have three characteristics. It should have:

- A. Elements that promote stability (adherence to a few driving assumptions, a simple form, a limited number of connections and interfaces, etc.);
- B. Elements that combat institutional inertia (provisions for periodic reorganization and for shifting people and tasks, routine changes in emphasis, etc.); and,
- C. Elements that insure success (problem solving groups and task forces, provisions for spinning off programs and starting new ones, etc.).

Characteristics of an Ideal Human Services System Summary

Introduction

The characteristics of an ideal human service system are described below. No system has all of these characteristics but high quality systems have most of them.

Mission

Basic assumptions that drive the overall human services effort are debated openly and decisions reached are formally adopted. Topics typically addressed include: the basic human service roles of public bodies and private organizations; broad goals for human service efforts; and, the mix of basic program approaches to be used.

Planning

Both single and multi-year plans are developed using a process that involves the solicitation of community input regarding necessary and appropriate human service problem solving efforts, a resource analysis, and, the development and use of priority setting criteria.

Human service plans identify target populations that will be served, problems these populations face that will be addressed, and program approaches that will be used.

Program Design

Funding sources solicit applications for funds using an open, competitive process. Applications are screened objectively, and only quality providers are selected.

Provider work programs: identify problems to be addressed; make clear both what Providers will do (performance), and what difference their efforts will make in the lives of program participants (impact) and, link expenditures to problem solving strategies thus allowing cost-effectiveness comparisons.

Individual Provider Characteristics

Providers have a positive image. Persons associated with them: share deeply held values; are aware of what is happening inside and outside their agency; have strong administrative and programmatic skills; and, have extensive connections with target populations, funding source officials, and key decision makers. Providers can exercise leverage because they are appropriately positioned to make maximum use of their assets. Finally, they have an "electricity" about them. Persons associated with them share a conviction that they will be successful.

Long-Term Provider/System Development

Both Funding Sources and Providers work to promote the long-term development of the area's human service system. These efforts are well designed and effectively implemented with staff and resources assigned as necessary.

Human Service System Assessment Checklist

Introduction

This checklist can be used to assess the quality of human service systems and the quality of individual human service funding sources and providers. The None-Some-Most-All scale is designed for use in assessing systems and the "no" and "yes" entries at either end of the scale can be used to assess the quality of individual funding sources and providers.

System/Funding Source/Provider _____ Date _____

Mission

Funding Sources
No/None Some Most All/Yes

Funding Sources
No/None Some Most All/Yes

Providers
No/None Some Most All/Yes

Funding Sources have made clear the types of funding that will be available, and Funding Sources and Providers have adopted formal statements relating to the broad, human services approaches they intend to support or use. (Examples of such approaches include: address basic, short-term needs; increase community awareness of problems; develop community problem solving capacities; increase the knowledge and skills of program participants; change the environment in which program participants live; increase the efficiency of programs; etc.

Funding Sources
No/None Some Most All/Yes

Providers
No/None Some Most All/Yes

Funding Sources and Providers have adopted statements relating to the mix of basic program strategies they intend to support or use. (Possibilities include: direct assistance for individuals and families; support for community based problem solving; and efforts to bring about systemic changes...)

Funding Sources
No/None Some Most All/Yes

Providers
No/None Some Most All/Yes

The activities of Funding Sources and Providers reflect their mission choices.

Planning

Funding Sources
No/None Some Most All/Yes

Providers
No/None Some Most All/Yes

Funding allocations by Funding Sources/requests for funds by Providers are based on the results of planning processes that involve community input, resource analysis, and formal priority setting.

(Single Year Plans)
No/None Some Most All/Yes

(Multi-Year Plans)
No/None Some Most All/Yes

(Single Year Plans)
No/None Some Most All/Yes

(Multi-Year Plans)
No/None Some Most All/Yes

Funding Sources have adopted and use both single and multi-year plans that identify approximate human service funding levels, target populations to be served, problems to be addressed, and program strategies to be used.

Providers have adopted and use both single and multi-year plans that identify target populations to be served, problems to be addressed, and program strategies to be used.

Program Design

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

Funding Sources:

- a. Solicit applications for funds using an open, competitive process;
- b. Provide prospective applicants complete application materials and related instructions;
- c. Screen applications for funds using previously distributed criteria; and,
- d. Support only adequately financed Providers capable of operating cost-effective programs.

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

The work program sections of funding applications prepared by Providers:

- a. Clearly identify problems that will be addressed;
- b. Specify what Providers will do (performance);
- c. Indicate what difference provider efforts will make in the lives of target populations (impact); and,
- d. Link expenditures to specific problem solving strategies to allow cost-effectiveness comparisons.

Individual Provider Activities

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

Provider agencies have the following characteristics:

- a. A broadly positive image;
- b. Persons associated with them share deeply held values;
- c. Persons associated with them share agency related "myths";

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

d. Persons associated with them are aware of what is happening both inside and outside their agencies;
e. Persons associated with them have strong administrative and program operations skills;
f. Persons associated with them have a wide, diverse range of useful contacts;
g. They are able to exercise leverage...They are positioned to make the best use of their assets; and,
h. They have an "electricity" about them...Persons involved with them share a conviction that they will succeed in what they set out to do.

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

Provider agencies in the human service system have and use the following management tools:

a. Calendars with performance and impact targets for regular segments of work program periods;
b. Work assignment systems tied to performance and impact targets;
c. Data collection systems that track both performance and impact;
d. Monitoring and evaluation systems that focus on program performance and impact; and,
e. Staff performance appraisal systems keyed to program performance and impact.

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

Provider senior staff use management approaches that:

a. Consistently reflect key agency values;
b. Are open, participatory, and promote a strong sense of belonging;
c. Promptly address problems and routinely pursue opportunities;
d. Give substantial responsibility/flexibility to subordinates; and,
e. Feature "agenda-creating" and "agenda-moving" types of leadership.

Collective Provider Activities

Providers work together to address service delivery problems and to make program improvements. This

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

includes:

- a. Collective efforts by a wide range of providers;
- b. Collective efforts by closely allied groups of providers;
- c. The development and use of work programs; and,
- d. Formal assignment of staff and resources to collective efforts.

Long-Term Provider/System Development

No/None Some Most All/Yes

No/None Some Most All/Yes

Providers work individually on long-term development. This includes:

- a. Systematic identification of barriers to long-term development and,
- b. Adoption and use of work programs and the related assignment of staff and resources to long-term development.

No/None Some Most All/Yes

No/None Some Most All/Yes

Providers work collectively on long-term system development. This includes:

- a. Formal identification of barriers to long-term system development; and,
- b. Adoption and use of work programs and the related assignment of staff and resources to long-term system development.

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

No/None Some Most All/Yes

Funding Sources promote the long-term development of the human service system. This includes:

- a. Incorporation of elements in funding processes and program operations requirements that promote the long-term development of Providers;
- b. Incorporation of elements in funding processes and program operations requirements that promote the long-term development of the human service system;
- c. Direct allocation of funds for long-term Provider development and,
- d. Direct allocation of funds for long-term system development.

Human Service System Elements

Introduction

Elements commonly found in human service systems are listed below. Use the spaces provided to indicate how important it is to have these elements in the human service system in Laramie County. (The human service system consists of programs that serve low-income persons, the elderly, youth, handicapped persons etc.)
Date _____

This form was completed by a: Provider Board/Staff member; a Funding Source Board/Staff member; Other; (circle as appropriate)

System Elements

Mission

Importance
Low Med Hi

Overall human service system objectives have been discussed and formally adopted.

Overall system objectives are reflected in funding source and provider agency activities.

Planning

Funding applications and allocations are based on quality planning processes;

Single Year

Single and multi-year plans are used by funding sources;

Multi-Year

Single and multi-year plans are used by program providers.

Single Year

Multi-Year

Program Design

Funding allocation processes are open and competitive.

Application materials are complete and easy to use.

Funding criteria are distributed in advance.

Funding applications contain performance (effort) and impact (results) elements.

Funding applications link expenditures to problem solving approaches and this makes cost-effectiveness comparisons possible.

<u>Provider Activities</u>		Importance		
		Low	Med	Hi
Human service providers:				
a.	Are aware of human service issues;	_____	_____	_____
b.	Have strong management skills;	_____	_____	_____
c.	Communicate openly and frequently;	_____	_____	_____
d.	Are able to exercise leverage; and,	_____	_____	_____
e.	Work to avoid duplication.	_____	_____	_____
Human service providers use the following:				
a.	Regular performance and impact targets;	_____	_____	_____
b.	Systems that tie work assignments to performance and impact targets;	_____	_____	_____
c.	Data collection systems that track program performance and impact;	_____	_____	_____
d.	Evaluation systems that focus on performance and impact; and,	_____	_____	_____
e.	Staff appraisal processes keyed to program performance and impact.	_____	_____	_____
Human service providers use management approaches that:				
a.	Consistently reflect key agency values;	_____	_____	_____
b.	Are open and participatory;	_____	_____	_____
c.	Promptly address problems and take advantage of opportunities;	_____	_____	_____
d.	Give responsibility and flexibility to subordinates; and,	_____	_____	_____
e.	Feature "agenda-creating" and "agenda-moving types of leadership.	_____	_____	_____

Funding Source Activities

Human service funding sources:				
a.	Are aware of human service issues;	_____	_____	_____
b.	Share funding allocation information on a regular and timely basis;	_____	_____	_____
c.	Communicate often and openly; and;	_____	_____	_____
d.	Work to avoid program duplication.	_____	_____	_____

Human Service System Development

Both providers and funding sources make efforts to promote the long-term development of the human services system. This includes:				
a.	Identification of barriers to system development;	_____	_____	_____
b.	The use of system development work programs;	_____	_____	_____
c.	Funding procedures and requirements that promote system development; and,	_____	_____	_____
d.	The direct allocation of funds for system development.	_____	_____	_____

ASSESSMENT TOOL

Human Service System Funding Sources

This tool can be used to assess the quality of one or more governmental bodies and private organizations that provide financial support for human service programs. (These programs serve low-income persons, the elderly, youth, handicapped persons, etc.)

Date _____

Funding Source(s) _____

Assessment done by: Provider Board/Staff member; Funding Source Board/Staff member; Other; (circle as appropriate)

Mission

Formal statements have been adopted relating to the broad problem resolution approaches to be supported. No In Part Yes

Mission choices are consistently reflected in funding source actions and decisions. No In Part Yes

Planning

Funding allocations are based on a planning process that involves community input, resource analysis, and formal priority setting. No In Part Yes

Single and multi-year plans are used that identify approximate human service funding levels, target populations to be served, problems to be addressed, and program strategies to be used. Single Year No In Part Yes Multi-Year No In Part yes

Program Design

An open, competitive process is used to solicit funds. No In Part Yes

Prospective applicants are given complete application materials and related instructions. No In Part Yes

The criteria used to make allocations decisions are distributed in advance. No In Part Yes

Only providers capable of operating cost-effective programs receive funding. No In Part Yes

Funding Source Activities

Funding source activities are characterized by: (Note: if the funding source/sources being assessed provide support for more than just human service efforts, consider only activities related to human services.)

- | | |
|---|----------------|
| a. A broadly positive image; | No In Part Yes |
| b. Shared, deeply held values; | No In Part Yes |
| c. An awareness of happenings in the community's human service network; | No In Part Yes |
| d. Open and frequent communication with other funding sources; | No In Part Yes |
| e. The timely sharing of funding criteria and allocation decisions; | No In Part Yes |
| f. Joint efforts to insure that multiple funded agencies operate effectively; | No In Part Yes |
| g. Diverse contacts in the community; | No In Part Yes |
| h. An ability to exercise leverage; are positioned so as to make the best use of available assets; and, | No In Part Yes |
| i. An electricity...persons involved are convinced that they will succeed. | No In Part Yes |

Human Service System Development

An effort is made through the funding process to promote the long-term development of the community's human service funding and provider networks. This includes:

- | | |
|---|----------------|
| a. Systematic identification of barriers to long-term development; | No In Part Yes |
| b. The adoption and use of work programs for long-term development efforts, | No In Part Yes |
| c. Incorporation of elements in funding procedures and the use of operations requirements that promote long-term system development; and, | No In Part Yes |
| d. The direct allocation of funds for term system development. | No In Part Yes |

Refinement Suggestions

Use the space below to suggest possible refinements in the operations of the funding source/funding sources that is/are the subject of this assessment.

ASSESSMENT TOOL

Human Service System Providers

This tool can be used to assess the quality of one or more agencies and organizations that operate human service programs. (These programs serve low-income persons, the elderly, youth, handicapped persons etc.)

Date _____

Provider(s) _____

Assessment done by: Provider Board/Staff member; Funding Source Board/Staff member; Other; (circle as appropriate).

Mission

Formal statements have been adopted relating to the broad problem resolution approaches to be used. No In Part Yes

Mission choices are consistently reflected in provider actions and decisions. No In Part Yes

Planning

Funding applications are based on a planning process that involves community input, resource analysis, and formal priority setting. No In Part Yes

Single and multi-year plans have been developed that identify approximate resource mobilization objectives, target populations to be served, problems to be addressed, and program strategies to be used. Single Year
No In Part Yes
Multi-Year
No In Part Yes

Program Design

Work program sections of funding applications:

- a. Identify problems that will be addressed; No In Part Yes
- b. Specify what provider(s) will do... (performance); No In Part Yes
- c. Indicate what difference provider efforts will make in the lives of target populations (impact); and, No In Part Yes
- d. Link expenditures to specific problem solving strategies so that cost-effectiveness comparisons can be made. No In Part Yes

Provider Activities

Provider activities are characterized by:

- a. A broadly positive image; No In Part Yes
- b. Shared, deeply held values: No In Part Yes

- | | |
|---|----------------|
| c. Diverse contacts in the community; | No In Part Yes |
| d. An awareness of happenings in the community's human service network; | No In Part Yes |
| e. Open and frequent communication with other providers; | No In Part Yes |
| f. Joint efforts to insure that program efforts are not duplicative; | No In Part Yes |
| g. Strong administrative and program operations skills; | No In Part Yes |
| f. An ability to exercise leverage...being positioned to make effective use of available assets; and, | No In Part Yes |
| g. An "electricity"...persons involved share a conviction that they will succeed | No In Part Yes |

The following management tools are used:

- | | |
|---|----------------|
| a. Performance and impact calendars | No In Part Yes |
| b. Work assignment systems tied to performance and impact targets; | No In Part Yes |
| c. Data collection systems that track both performance and impact; | No In Part Yes |
| d. Monitoring and evaluation systems that focus on performance and impact; and, | No In Part Yes |
| e. Staff performance appraisal processes keyed to performance and impact. | No In Part Yes |

Provider senior staff use management approaches that:

- | | |
|--|----------------|
| a. Consistently reflect key agency values; | No In Part Yes |
| b. Are open, participatory, and promote a sense of belonging; | No In Part Yes |
| c. Promptly address problems and routinely pursue opportunities; | No In Part Yes |
| d. Give substantial responsibility and flexibility to subordinates; and, | No In Part Yes |
| e. Feature both "agenda-creating" and "agenda-moving" types of leadership. | No In Part Yes |

Human Service System Development

An effort is made by the provider(s) to promote the long-term development of the community's human service provider network. This includes:

- | | |
|--|----------------|
| a. Systematic identification of barriers to long-term development; | No In Part Yes |
| b. The adoption and use of work programs for long-term development efforts, and the assignment of staff and resources; | No In Part Yes |

Refinement Suggestions

Use the back of this sheet to suggest possible refinements in the operations of the provider/providers that is/are the subject of this assessment.

MX/HUMAN SERVICE SYSTEM REFINEMENT PROJECT

February 6, 1986 Community Input Meeting

Summary

Approximately 35 persons attended a workshop on February 6, 1986 at which they identified improvements that could be made in the overall human service system in Laramie County.

Participants reviewed a community survey that identified desirable human service system elements and they reviewed surveys that assessed the quality of Laramie County's current human service provider and funding networks. Desirable system elements were then contrasted with the system assessments to develop recommendations for improvements.

These recommendations took two forms. Participants both identified problems that they felt need attention and they identified possible solutions to these problems. This input is summarized below.

Problems

Mission Problems:

- A. The basic approaches used in human service program efforts are (or may be) inappropriate.
- B. It is not clear whether the human service system should use long or short term approaches.
- C. The mission of both funding sources and providers is not clear.
- D. There is not a commitment to meeting the needs of disabled persons.

Planning Problems:

- A. Planning may not identify the real/worst problems.
- B. The community is not involved in defining problems.
- C. Planning goals are not shared by the community and providers.

Funding Problems:

- A. Funding processes are not coordinated and they use different time lines.
- B. Priorities and priority setting criteria are unclear.
- C. The community is not involved in funding allocations.

Provider Management System Problems:

- A. Providers cannot measure or describe the impact they have.

Provider Operations Problems:

- A. There is inadequate communication between providers and funding sources.
- B. There is inadequate communication between providers.
- C. There is inadequate cooperation between providers.

Funding Source Management System Problems:

- A. Funding sources do not know if goals are met.

Funding Source Operations Problems:

- A. Funding source officials are not knowledgeable about human service problems.
- B. Funding source officials are not knowledgeable about human service agency efforts.
- C. Funding source officials do not communicate enough with providers.

Overall System Development Problems:

- A. The community is unaware of human service problems.
- B. The community is not aware of human service agency efforts.

Solutions

Mission Solutions:

- A. Human service efforts should focus on problem prevention.
- B. Human service efforts should make participants independent and should preserve their dignity.
- C. Funding sources should make a formal commitment to support human service efforts.
- D. A commitment should be made to address the needs of disabled persons.

Planning Solutions:

- A. A multi-year planning system should be adopted.
- B. An improved one-year planning system should be adopted.
- C. A coordinated planning body should be created.
- D. Specific priorities should be developed and distributed.

Funding Solutions:

- A. Funding sources should adopt, use, and share funding criteria.
- B. Funders should do joint funding.
- C. Funding sources should adopt and use common time-lines.
- D. Funding sources should create and distribute a pool of human service funds through a single source.
- E. Fiscal management criteria should be adopted and incorporated in allocation procedures.
- F. Service requirements should be adopted and incorporated in allocation procedures.
- G. Knowledgeable persons should make funding decisions.
- H. Allocation criteria should promote the independence of participants (through work if possible).
- I. Post-funding information should be distributed regarding which agencies received funding and for what.
- J. Eligible service populations should be clarified.
- K. Requests for funds that follow uniform guidelines should be made one time to a full set of funders.

Provider Management System Solutions:

- A. Provider reporting to funders, constituents, etc. should be better and more uniform and it should address impact.
- B. Monitoring and evaluation should focus on changes in the lives of recipients...should measure long-term improvements.

Provider Operations Solutions:

- A. Increase coordination and communication.
- B. Share resources.
- C. Stop duplication.
- D. Create a human service provider task force to promote cooperation and communication.

Funding Source Management System Solutions:

- A. Hire a person to orchestrate and organize human service efforts.
- B. The City and County should appoint a human services liason person.
- C. Use a better monitoring and evaluation system.

Funding Source Operations Solutions:

- A. Receive comprehensive information from providers.
- B. Have staff conduct periodic human service briefings.
- C. Participate in regular on-site visits to providers.
- D. Communicate regularly with providers.
- E. Communicate regularly with other funders.
- F. Attend human service meetings.
- G. Compile and distribute information about provider accomplishments.

Overall System Development Solutions:

- A. Establish and use a mixed (city, county, state, provider, community) human service task force.
- B. Educate the community regarding human service problems.
- C. Educate the community regarding human service agency efforts.
- D. Educate the community regarding funder efforts.
- E. Promote access to human service sites by disabled persons.
- F. Develop and use a long-range plan to improve human service delivery sites.
- G. Develop and use a long-range agency funding plan.
- H. Do not spread resources too thin.
- I. Provide a long-term commitment to the existence of a human service network.
- J. Increase the awareness of national trends.

Comments and suggestions of any type regarding either or both the problems identified above or the solutions offered or regarding any other problems and possible solutions are welcome and will be given careful consideration. Input can be provided formally or informally to Do Palma in the Cheyenne/Laramie Regional Planning Office (637-6281).

Finally, a follow-up meeting will be held on March 13, 1986 to give detailed consideration to solutions to human service system refinement options. Anyone is welcome to attend.

HUMAN SERVICE SYSTEM REFINEMENTS
FY/87 WORK PROGRAM
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- I. Policy Making
 - A. Funding officials develop and adopt operating procedures for a policy making body (membership, presiding officer(s), meeting frequency, voting, records of meetings etc.)
 - 1. Prepare draft procedures
 - 2. Review and critique procedures
 - 3. Refine procedures
 - 4. Adopt procedures
 - B. Develop and adopt fiscal policies and procedures
 - 1. Prepare draft materials
 - 2. Review and critique materials
 - 3. Refine materials
 - 4. Adopt policies and procedures
- II. Staff Support
 - A. Develop and adopt personnel policies and procedures
 - 1. Develop draft materials
 - 2. Review and critique materials
 - 3. Refine materials
 - 4. Adopt policies and procedures
 - B. Assign/recruit staff
 - C. Provide staff orientation
 - D. Provide technical support materials (801 project)
 - E. Make and record work assignments
 - F. Track accomplishments
 - G. Maintain records
- III. Long Range Improvements
 - A. Multi-Year Plan(s)
 - 1. Provide orientation
 - 2. Solicit input
 - 3. Develop draft(s)
 - 4. Review and critique draft(s)
 - 5. Refine draft(s)
 - 6. Adopt Multi-Year Plan(s)
 - B. Single Year Work Program(s)
 - 1. Provide orientation
 - 2. Solicit input
 - 3. Develop draft(s)
 - 4. Review and critique draft(s)
 - 5. Refine draft(s)
 - 6. Adopt Work Program(s)
 - C. Multi-Year Budget(s)
 - 1. Develop draft(s)
 - 2. Review and critique draft(s)
 - 3. Refine draft(s)
 - 4. Adopt budget(s)
 - D. Single Year Budget(s)
 - 1. Develop draft(s)
 - 2. Review and critique draft(s)
 - 3. Refine draft(s)

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4. Adopt budget(s)
 - E. Administrative Barrier Reduction
 1. Identify barriers
 2. Identify barrier removal requirements
 3. Develop alternatives
 4. Select preferred alternative(s)
 5. Develop necessary barrier removal materials and documentation
 6. Pursue barrier removal
- IV. Increased Efficiency
- A. Common Application Format
 1. Develop draft (801 Project)
 2. Review and critique draft
 3. Refine draft
 4. Adopt Application format
 - B. Common Application Process
 1. Develop "boiler-plate" requests for proposals (competitive and non-competitive versions)
 2. Develop sample performance and impact measures
 3. Adopt common application time-lines
 - a. Document current procedures/requirements
 - b. Develop alternatives
 - c. Review and critique alternatives
 - d. Refine alternatives
 - e. Select alternative(s)
 - f. Develop and distribute related materials
 4. Use common request presentation process/format
 - a. Document current procedures/requirements
 - b. Develop alternatives
 - c. Review and critique alternatives
 - d. Refine alternatives
 - e. Select alternative(s)
 - f. Develop and distribute related materials
- V. System Development
- A. Program Approaches That Generate Resources
 1. Develop lists of approach examples for a wide range of problems
 2. Develop draft request for proposal (RFP) elements that reward the use of revenue generating program approaches
 3. Review and critique draft RFP elements
 4. Refine RFP language
 5. Adopt RFP elements
 - B. Insurance costs
 1. Collect data on existing insurance coverages and costs
 2. Set a specific cost reduction objective (\$'s)
 3. Identify alternative approaches to coverage
 4. Prepare materials that describe coverage alternatives
 5. Select alternatives

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6. Pursue alternatives
- C. Computers
 1. Collect data on existing equipment (hardware and software) and its uses
 2. Set a specific cost reduction objective (\$'s)
 3. Identify alternatives to current equipment and equipment uses
 4. Prepare materials that describe equipment and equipment use alternatives
 5. Provide hands-on demonstrations
 6. Select alternatives
 7. Pursue alternatives
- D. Office Equipment
 1. Collect data on existing equipment and its uses
 2. Set a specific cost reduction objective (\$'s)
 3. Identify alternatives to current equipment and equipment uses
 4. Prepare materials that describe equipment and use alternatives
 5. Select alternatives
 6. Pursue alternatives
- E. Space/Space Costs
 1. Collect data on existing space needs and costs (Note: see related MX studies)
 2. Set a specific cost reduction objective (\$'s)
 3. Identify alternatives to current space costs and arrangements (Note: see MX studies)
 4. Prepare materials that describe space cost and arrangement alternatives (Note: see MX studies)
 5. Select alternatives
 6. Pursue alternatives
- F. Bookkeeping Functions/Costs
 1. Collect data on existing bookkeeping costs and practices
 2. Set a specific cost reduction objective (\$'s)
 3. Identify alternatives to current bookkeeping practices
 4. Prepare materials that describe bookkeeping arrangement alternatives
 5. Select alternatives
 6. Pursue alternatives
- G. Grant Solicitation
 1. Establish a specific resource mobilization objective (\$'s)
 2. Design and provide or secure training
 2. Schedule and provide periodic group follow-up sessions
 3. Schedule and provide assistance to individual agencies
- H. Goods/Materials Donation
 1. Collect information on similar projects
 2. Set a specific resource mobilization

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objective (\$'s)

3. Develop and distribute explanatory materials
4. Secure necessary help and facilities
5. Develop collection and distribution policies
6. Initiate project operations

I. Banking Costs/Interest Income

1. Collect data on existing banking/investment costs and practices
2. Set a specific cost reduction objective (\$'s)
3. Identify alternatives to current banking/investment practices
4. Prepare materials that describe banking/investment alternatives
5. Select alternatives
6. Pursue alternatives

J. Purchasing Costs

1. Collect data on existing purchasing costs and practices
2. Set a specific cost reduction objective (\$'s)
3. Identify alternatives to current purchasing costs and practices
4. Prepare materials that describe purchasing alternatives
5. Select alternatives
6. Pursue alternatives

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WK Pgm Ref	Person(s) Responsib	Due Date(s)	Status (OK/Late)			
			1st 1/4	2nd 1/4	3rd 1/4	4th 1/4

WORK ASSIGNMENTS

Assigned To _____ From _____ To _____

Wk Pgm Ref	Assignments/Due Dates	Accomplishments