

INSTRUCTIONS FOR SECTION 4

ROMA Outcomes and Indicators

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INSTRUCTIONS FOR SECTION 4

ROMA Outcomes and Indicators

Background and CSBG Program Information Memorandum Transmittal No. 49

In the 1994 re-authorization of the CSBG, states were asked to secure from all grantees community action plans that included “a description of outcome measures to be used to monitor success in promoting self-sufficiency, family stability and community revitalization.” These factors and the growing interest in accountability resulted in the creation of the Monitoring and Assessment Task Force (MATF), a joint effort of the federal Office of Community Services (OCS), the National Association for State Community Services Programs (NASCS) and the National Association of Community Action Agencies (NACAA) now called the Community Action Partnership (CAP). The MATF was established to enhance and improve the capacity of the Community Services Network to deliver programs and services to low-income and special needs populations. In this context, the MATF created six national CSBG goals to be carried out by the Community Action Network:

Level	National CSBG Goals	Goal Statements
Family	Goal 1	Low-income people become more self-sufficient.
Family	Goal 6	Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.
Community	Goal 2	The conditions in which low-income people live are improved.
Community	Goal 3	Low-income people own a stake in their community.
Agency	Goal 4	Partnerships among supporters and providers of services to low-income people are achieved.
Agency	Goal 5	Agencies increase their capacity to achieve results.

In order to ensure that CAAs would have a management framework and the necessary tools for implementing the six national goals, the MATF developed ROMA or Results-Oriented Management and Accountability. ROMA is a sound management practice that integrates outcomes or results into the CAA’s administration, management, and delivery of programs and services. A CAA can use ROMA practices to demonstrate results and accountability to its Board and staff, to funders, the public, government and other community based organizations.

In 2001, the federal Office of Community Services issued Information Memo 49 – Program Challenges, Responsibilities and Strategies – FY 2001-2003. The information memo identified three central concepts that have become the cornerstone for ROMA implementation. These concepts transcend CSBG as a stand-alone program for addressing the six national CSBG goals and convey the unique strengths that the broader concept of Community Action brings to the nation’s anti-poverty efforts:

- Focusing our efforts on client/community/organizational change, not particular programs or services. As such, the goals provide a basis for results-oriented, not process-based or program-specific plans, activities, and reports.

FACS – Establishes a client focus on reporting outcomes in addition to program outcomes or results.

- Understanding the interdependence of programs, clients and communities. The (six national) goals recognize that client improvements aggregate to, and reinforce, community improvements, and that strong and well-administered programs underpin both.

FACS – Establishes the interdependence of clients and their communities and that CSBG funded community activities are essential to supporting families in their progress towards self-sufficiency. Helps distinguish the impact of Community Action from other human service agencies. Establishes ROMA as a method to ensure strong and well-administered programs.

- Recognizing that CSBG does not succeed as an individual program. The goals presume that community action is most successful when activities supported by a number of funding sources are organized around client and community outcomes, both within an agency and with other service providers.

FACS – Establishes that CSBG funded activities work best in an environment of partnership and collaboration at the client or community level, that CSBG funds are used to leverage other agency and community resources, and that all these activities whether directly or indirectly funded by CSBG are reportable outcomes.

CSBG Program Information Memorandum Transmittal No. 49, February 21, 2001

In 2001, to further advance the implementation of ROMA in Pennsylvania, a Task Force of CAAs and DCED staff, supported by DCED and convened by the Community Action Association of Pennsylvania, drafted the Pennsylvania CSBG Outcomes Catalog.

The Pennsylvania CSBG Outcomes Catalog contained in Section 4 of the FACS Report is an inventory of outcomes and indicators grouped by the six national CSBG goals. It is used to measure and report the positive impact that CAAs have with their clients and their communities.

For the purpose of consistency, these instructions will generally use the word client rather than other common descriptors, e.g. customers, consumers, families, participants, individuals, etc., when referring to the beneficiary of services.

General Operating Principles – Musts

- Each CAA in Pennsylvania is to report on each of the six national goals.
- All CAAs must report on the employment outcomes in Goal 1. For the balance of Goal 1 and the entire Goal 6, CAAs should report outcomes and indicators for which they are directly responsible or have subcontracted out for service.
- CAAs are to report client outcomes and indicators for all programs and services, not only those supported by CSBG.
- CAAs are to report client outcomes and indicators for all subcontracted programs and services that support low-income people and special populations.
- CAAs are to report on agency and community outcomes and indicators to distinguish the impact of Community Action from other human service agencies.
- CAAs are to report only on outcomes and indicators identified in the Catalog unless otherwise directed in the forms. CAAs will have the opportunity to regularly petition the Catalog Committee of the PA ROMA Outcomes Task Force to make changes to the Catalog.

General Instructions for Using the FACS Report Format

The Pennsylvania CSBG Outcomes Catalog

The Pennsylvania CSBG Outcomes Catalog is an inventory of outcomes and indicators that CAAs use to identify and measure client and community impact. The structure of the Catalog recognizes and supports the individuality of each CAA and also allows for data to be uniformly aggregated across the Pennsylvania Community Action Network.

Outcomes and indicators as used in the Catalog are defined as:

- **Outcomes** – Positive benefits and behaviors accruing to individuals, families and communities that result from a program or service intervention; a result achieved and a change in condition, functioning or problem of an individual, group or community. Outcomes are identified by numbers, e.g. 1,2,3, etc.
- **Indicator** – Specific items of information to track or monitor success on accomplishing an outcome. Indicators are numerical measures characterizing the results or impact of a program activity, service or intervention and are used to measure performance. Indicators are identified by letters, e.g. a, b, c, etc.

For the purpose of reporting, outcomes are more broadly defined measures of impact or success and indicators are more specific measures of impact or success. A CAA is expected to report on both outcomes and indicators, unless specifically noted in the instructions.

For the purpose of clarity, these instructions will sometimes use the term outcome to refer to both outcomes and indicators.

When referring to any time period or fiscal year, the actual dates for reporting are July 1 – June 30th.

Include Head Start families in reporting on Family, Agency and Community Goals.

Family Goals 1 and 6 – Definitions

Family outcomes are reportable under Goals 1 and 6. A family is defined as one or more individuals living in a household (or homeless). A single person is a one-person family.

Reporting under **Goal 1** indicates that the family (client) outcome was accomplished in the transition towards or achievement of self-sufficiency.

Reporting under **Goal 6** indicates that the family (client) outcome was accomplished in the context of providing a service or support to the family (client).

Achievement of an outcome is a single event and can be reported only once. A family can achieve more than one outcome, but each outcome is reportable as a single event. In this manner a CAA can report an unduplicated count of clients achieving outcomes. The CAA must determine whether to report the family outcome under Goal 1 or Goal 6. A family achieving more than one outcome could have them reported under either or both Goals.

In general, the CAA is not required to submit documentation for reporting under Goals 1 and 6 unless specifically directed. The CAA should maintain documentation to support the numbers reported in the FACS Report.

Instructions for Reporting Outcomes and Indicators Goals 1 and 6

- **Goal 1 – Low-Income People Become More Self-Sufficient – Family**

Outcomes reported under **Goal 1** must relate to the achievement of or transition towards self-sufficiency. There are seven outcomes:

1. Obtained Employment/Self-Employment.
2. Maintained Employment for at Least 90 Days.
3. Increased Earned Income From Previous Reporting Period.
4. Increased Total Household Resources.
5. Increased Ability to Manage Income and Accumulate Assets to Achieve Self-Sufficiency.
6. Obtained Adequate, Safe, Affordable, Permanent Housing.
7. Eliminated Barriers to Employment and Self-Sufficiency.

Self-sufficiency incorporates outcomes beyond the traditional measures of employment. Obtaining permanent housing, accumulation of assets, eliminating barriers (decrease in dependency), and maintenance of independence are also measures of self-sufficiency.

Various outcomes (indicators) under Goal 1 may also be found under Goal 6. For example, if a client earned a GED as a condition or requirement to obtain or maintain employment, it would be a self-sufficiency outcome reportable under Goal 1. If the award of the GED was to improve a client's educational status independent of employment, it would be reportable under Goal 6, strengthening family.

To assist in reporting outcomes for Goal 1, the following instructions and definitions are provided:

- All CAAs must report employment statistics: 1A, 1B, 1C or 1D, a, b, c, d, 2.
- Do not report numbers in shaded areas of the forms.

Column 1 – is the inventory of self-sufficiency outcomes and indicators. The CAA must use this list exclusively when reporting outcomes for Goal 1.

***Required Reporting – 1A, 1B, 1C or 1D, a, b, c, d, 2**

1A) Unduplicated Count Employment Service – These are the same numbers reported in Section 2D1,a, b of the FACS Report. This provides an unduplicated count of all clients at or below 125% of poverty receiving employment services and not the achievement of outcomes. The Virtual Outcomes College Introduction to ROMA course teaches that this statistic is the denominator from which to calculate performance measures. The statistic, *How many clients are you serving?*, is found in Module 6, the Reginald Carter Methodology: Seven Management Questions for Integrating Outcomes into Your Agency’s Operation – Foundation for Relational Data Base, MIS and Return-On-Investment

1B) Unduplicated Count Employment Service – These are the same numbers reported in Section 2E1,c of the FACS Report. This provides an unduplicated count of all clients above 125% of poverty receiving employment services and not the achievement of outcomes. The Virtual Outcomes College Introduction to ROMA course teaches that this statistic is the denominator from which to calculate performance measures. See above discussion on the Reginald Carter Methodology.

1C) Unduplicated Count Obtained Employment/Self-Employment – This is an unduplicated count of clients who achieved an employment outcome.

1D) Duplicated Count Obtained Employment/Self-Employment – This is a duplicated count of clients who achieved an employment outcome.

Please note: It is preferred that the CAA report the numbers for 1C, an unduplicated count of clients achieving employment outcomes. If the CAA does not have the capacity to report 1C it may report 1D. **Do not report both 1C and 1D.**

a), b), c), d) – Specific counts of part-time and full-time employment. Report the total number of jobs even if a client held more than one job during the time period.

2) Maintained Employment for at Least 90 days – Report all jobs held at least 90 days even if a client held more than one job during the time period.

Outcomes and Indicators – 3-7

The CAA should report on other self-sufficiency outcomes and indicators achieved by their clients described in 3-7. Reported outcomes are those achieved while the individual or family is an active client of the CAA and receives services directly by the CAA or through a subcontractor or referral. **Only report on outcomes for which the CAA directly provides the service, makes a referral or subcontracts out.**

3) Increased Earned Income From Previous Reporting Period. In the first report, the time period is six months. In the second report, the time period is one year.

4) a-d: Increased Total Household Resources. This could refer to such things as: a move of a job to one closer to home which reduces travel costs; securing benefits such as tax credits, child support, SSI, Weatherization services reducing utility bills or other increases you may choose to define. This does not include increased income from employment.

5) a-f: Increased Ability to Manage Income and Accumulate Assets to Achieve Self-Sufficiency. Most of the indicators refer to use of an IDA/FSA or other savings account. The terms household and individual are used synonymously. An individual is considered a one-person household. If reporting under 5f, please provide documentation under Narrative Comments.

6) a-b: Obtained Adequate, Safe, Affordable, Permanent Housing. Report on unsubsidized housing only.

7) Eliminated Barriers to Employment and Self-Sufficiency.

- **a-h** – no additional comments.
- **i** – Provide additional documentation in the narrative.
- **j** – This should only be used if case-management was employed in the pursuit of a self-sufficiency goal and not towards increased potential or strengthened supportive systems.
- **k** – This could refer to a range of outcomes for individuals of various ages, characteristics, or circumstances. Outcomes associated with participation in treatment programs, alternatives to incarceration or institutionalization, Family Caregiver programs or other programs that enable families/individuals to achieve a measure of self-sufficiency should be reported here with accompanying narrative comments.
- **l** – Use of an outcome scale must include a copy of the scale used. Reporting this indicator identifies use and documentation of an outcome scale and not the specific outcome achieved. **The specific outcome achieved and measured by use of the scale must be reported elsewhere in Goal 1.**

The headers in columns 2-7 use the term people. People are synonymous with clients.

Column 2 – People Under 125% of Poverty Receiving Services. Only one number is to entered under column 2, the total of **a** and **b** from Section 2D1 of the FACS Report. This provides an unduplicated count of all clients at or below 125% of poverty receiving employment services. As CAAs move towards client based outcome reporting, column 2 will contain an unduplicated count of clients receiving services that lead to the specific outcome described in column 1. These counts form the denominator from which performance can be measured.

Column 3 – People Under 125% of Poverty Achieving Outcome. Please enter the number of people under 125% of poverty achieving the outcome. This is an unduplicated count of people achieving the outcome.

Column 4 – People Under 125% of Poverty Still Progressing Towards Outcome. Please enter the number of people under 125% of poverty still progressing towards the outcome. This is an unduplicated count of all people in the agency that are enrolled and active in a program, but have **not** yet achieved the expected outcome.

Column 5 – People Under 125% of Poverty Exited Program Prior to Achieving Outcome. Please enter the number of people under 125% of poverty who left the CAA or subcontractor and did not achieve the expected outcome. This is an unduplicated count and should include dropouts, no-shows and closed cases for reasons other than achievement of self-sufficiency.

Column 6 – People Above 125% Receiving Services. Only one number is to entered under column 6, **c** from Section 2E1 of the FACS Report. This provides an unduplicated count of all clients above 125% of poverty receiving employment services. As CAAs move towards client based outcome reporting, column 6 will contain an unduplicated count of clients receiving services that lead to the specific outcome described in column 1. These counts form the denominator from which performance can be measured.

Column 7 – People Above 125% Achieving Outcome. Please enter the number of people above 125% of poverty that achieved the expected outcome. This is an unduplicated count of people achieving the outcome.

Column 8 – \$ Value of Outcome. Not a required column. In order to calculate return-on-investment (ROI), a value must first be established for the outcome. If you are developing ROI calculations, please indicate in the Narrative Comments your current activity or attach supporting material showing your ROI analysis.

Column 9 - \$ ROI Return-on-Investment. Not a required column. The ROI is a comparison of the value of the outcome to the cost of producing the outcome. If you are developing these ROI calculations, please indicate in the Narrative Comments your current activity or attach supporting material showing your ROI analysis.

Instructions for Reporting Outcomes and Indicators

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

Outcomes and indicators reported under **Goal 6** must relate to activities that strengthen family and other supportive systems. There are eleven outcomes:

1. Increased Education/Skills.
2. Increased Families' Skills and Strengthened Families.
3. Increased Ability to Manage Income.
4. Increased/Maintained Safe Affordable Housing.
5. Increased Nutrition.
6. Reduced an Emergency Need.
7. Obtained Linkages.
8. Increased/Maintained Physical or Behavioral Health.
9. Youth Participate in Services that Support their Growth and Development.
10. Senior Citizens Participate in Services that Support Active, Independent Living.
11. Increased Other Supports to Eliminate Causes of Poverty.

Outcomes and indicators that are related to the provision of emergency services, housing, education, counseling and other supportive services are to be reported under Goal 6 if they are administered as services outside the context of employment and/or self-sufficiency.

To assist in reporting the following instructions and definitions are provided:

- **Only report on outcomes for which the CAA directly provides the service, subcontracts out, or in certain situations where a referral is made through case-management.**
- **Do not report numbers in shaded areas of the forms.**

Column 1 – is the inventory of outcomes for achieving potential and strengthening family and other supportive systems. The CAA must use this list exclusively when reporting outcomes for Goal 6.

Report outcomes and indicators for all clients achieving potential and strengthening family and other supportive systems, Outcomes 1-11. Reported outcomes are those achieved while the individual or family is an active client of the CAA and receives services directly, through a subcontractor or through a referral.

1) a-h: Increased Education/Skills. Distinguish between adults and youth.

2) a-e: Increased Families' Skills and Strengthened Families. Improved behavior or family functioning may be measured by observation or a formal evaluation.

3) a-d: Increased Ability to Manage Income. The CAA should determine the term financially stable. Suggestions include: on-time payment of bills, reduction or elimination of arrearages, establishing credit, obtaining a credit card, having discretionary income after all expenses are met.

4) a-f: Increased/Maintained Safe Affordable Housing. Indicators a-e apply to subsidized housing only.

5) a-d: Increased Nutrition. Report the outcome/indicator as indicated. The reporting of nutrition is a proxy outcome. A proxy outcome is a surrogate or stand-in for the actual outcome and is used to estimate impact. Proxy outcomes may be used when it is not practical to measure certain key program outcomes, it is not yet certain what the specific outcome is or that it is the best that can be undertaken until better data collection procedures can be developed. Simply stated, a proxy outcome is when the reported outcome is also the output or the service itself. For example, the provision of a hot lunch in a senior center is a proxy outcome for nutrition. A daily hot lunch may be the only nutritionally balanced hot meal available to many seniors. Provision of a hot lunch meets nutrition needs; however measuring the impact of nutrition would involve physical measurement such as blood work and other physical tests. Using these tests to measure the outcome for nutrition is impractical. Therefore, the provision of the meal (the output or service) that ensures adequate nutrition is also the outcome. The CAA would report the number of meals served as the proxy outcome. The Virtual Outcomes College Introduction to ROMA course provides additional examples and usage of proxy outcomes.

6) a-g: Reduced an Emergency Need. Report as indicated. Several of the indicators are proxies. For example, report 6a as the number of people receiving food.

7) a-e: Obtained Linkages. Report the number of people achieving the outcome.

8) a-d: Increased/Maintained Physical or Behavioral Health. Report the number of people achieving the outcome.

9) a-g: Youth Participate in Services that Support their Growth and Development. Report the number of children and youth achieving the outcome.

10) a-c: Senior Citizens Participate in Services that Support Active, Independent Living. Report the number of senior citizens achieving the outcome.

11) Increased Other Supports to Eliminate Causes of Poverty. If reporting this indicator, identify other services and outcomes and the population served. Provide documentation in the Narrative Comments.

Columns 2-9: See previous description for reporting under Goal 1.

Community Goals 2 and 3 – Definitions

The impact of Community Action is documented through direct services to clients (Goals 1 and 6) and the impact it has in the community to bring about changes that benefit low-income and special populations, Goals 2 and 3. These community goals are:

- **Goal 2 – The Conditions in Which Low-Income People Live Are Improved.**
- **Goal 3 – Low-Income People Own a Stake in Their Community.**

A good description of the community mission can be found in the original OEO Instruction 6320-1, November 16, 1970,

“To stimulate a better focusing of all available, local, state, private, and Federal resources upon the goal of enabling low-income families, and low-income individuals of all ages in rural and urban areas, to attain the skills, knowledge, and motivations and secure the opportunities needed for them to become self-sufficient.”

“The Act thus gives the CAA a primarily catalytic mission: to make the entire community more responsive to the needs and interests of the poor by mobilizing resources and bringing about greater institutional sensitivity. A CAA’s effectiveness, therefore, is measured not only by the services which it directly provides but, more importantly, by the improvements and changes it achieves in the community’s attitudes and practices toward the poor and in the allocation and focusing of public and private resources for antipoverty purposes.”

Without the emphasis on “community”, there is little to distinguish Community Action from the numerous human service agencies providing services to low-income and special populations. The allocation of CSBG funds specifically for CAAs recognizes the distinction between Community Action and the larger human services system. Reporting the impact in the “community” under Goals 2 and 3 allows Community Action to tell a better story and tell the story better.

Instructions for Reporting Outcomes and Indicators

Goal 2 – The Conditions in Which Low-Income People Live Are Improved – Community

There are five outcomes for Goal 2:

1. Low-Income People Have Improved Access to Employment.
2. Investment in the Community Benefits Low-Income People.
3. Access to Adequate and Affordable Housing is Improved and Increased.
4. Municipal Infrastructure is Improved/Maintained.
5. Essential Service Systems are Created/Improved/Increased.

To assist in reporting the following instructions and definitions are provided:

- **Only report on outcomes for which the CAA or its clients are actively engaged.**
- **Do not report numbers in shaded areas of the forms.**

Column 1 – is the inventory of community outcomes and indicators. The CAA must use this list exclusively when reporting outcomes for Goal 2. The CAA should choose those outcomes and indicators from the inventory, Column 1, for which community outcomes were achieved.

1) a-c: Low-Income People Have Improved Access to Employment. Provide documentation in the Narrative Comments where indicated. The CAA should define access.

2) a-d: Investment in the Community Benefits Low-Income People. For 2d, please provide a description of “other investment in the community” in the Narrative Comments.

3) a-e: Access to Adequate and Affordable Housing is Improved and Increased. Provide documentation in the Narrative Comments where indicated. The CAA should define access.

4) a-b: Municipal Infrastructure is Improved/Maintained. These are broad indicators. Provide documentation in the Narrative Comments to support the specific outcomes achieved.

5) a-e: Essential Service Systems are Created/Improved/Increased. These are broad indicators. Provide documentation in the Narrative Comments to support the specific outcomes achieved.

Column 2 – Efforts Maintained from Previous Year(s). In column 2, place a “Y” for yes alongside each outcome/indicator achieved. Do not place an “N” if you did not address or achieve the outcome/indicator listed. Do not report numbers in this column. Only report those activities that are on-going from a previous fiscal year.

Column 3 – Efforts That Are New this Fiscal Year. In column 3, place a “Y” for yes alongside each outcome/indicator achieved. Do not place an “N” if you did not address or achieve the outcome/indicator listed. Do not report numbers in this column. Only report those activities that are new in the current fiscal year.

Column 4 – Estimated Number of People Benefiting From the Outcome. Record the number of people benefiting from achievement of the outcome/indicator in column 4. Consideration should be given to reporting all people who directly and indirectly benefit from the activity. Where possible report a specific number. For broad outcomes, report an estimated number but provide documentation in the Narrative Comments as to the method or assumptions used to derive the estimate. Be conservative in estimating and be able to support any large numbers.

Column 5 – \$ Value of Outcome. CSBG funds are intended to be a leveraging agent. Part of the community mission is to leverage CSBG funds to expand other programs and services to low-income people. Where possible, establish a monetary value for the outcome/indicator achieved and provide documentation in the Narrative Comments explaining how the monetary value was derived. The establishment of a monetary value is necessary to conduct any future return-on-investment analysis.

Column 6 – \$ ROI (Return-On-Investment). Not a required column. The ROI is a comparison of the value of the outcome to the cost of producing the outcome. If you are developing ROI calculations, please indicate in the Narrative Comments your current activity or attach supporting material showing your ROI analysis.

Instructions for Reporting Outcomes and Indicators

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

There are four outcomes for Goal 3:

1. Low-Income People Participate in Formal Community Organizations, Government, Boards or Councils that Provide Input to Decision- Making and Policy Setting Through CAA Efforts.
2. Low-Income People Participate in Community Advocacy or Volunteer Activities.
3. Low-Income People Participate in Social or Volunteer Activities.
4. Low-Income People Own Businesses and Homes in Their Communities.

To assist in reporting the following instructions and definitions are provided:

- **Only report on outcomes for which the CAA or its clients are actively engaged.**
- **Do not report numbers in shaded areas of the forms.**

Column 1 – is the inventory of community outcomes and indicators. The CAA must use this list exclusively when reporting outcomes for Goal 3. The CAA should choose those outcomes and indicators from the inventory, Column 1, for which community outcomes were achieved.

1) a-h: Low-Income People Participate in Formal Community Organizations, Government, Boards or Councils that Provide Input to Decision- Making and Policy Setting Through CAA Efforts. Provide brief documentation in the Narrative Comments if reporting indicators, f -h identifying the name and type of organization or advisory committee(s).

2) a-c: Low-Income People Participate in Community Advocacy or Volunteer Activities. Provide brief documentation in the Narrative Comments describing the type and purpose of the activity.

3) a-c: Low-Income People Participate in Social or Volunteer Activities. Provide brief documentation in the Narrative Comments describing the type of activity or the type of agencies where volunteer activity is conducted.

4) a-b: Low-Income People Own Businesses or Homes in Their Communities. Provide brief documentation in the Narrative Comments describing the types of businesses created.

Column 2 – Efforts Maintained from Previous Year(s). In column 2, place a “Y” for yes alongside each outcome/indicator achieved. Do not place an “N” if you did not address or achieve the outcome/indicator listed. In addition, place a number alongside the “Y” to indicate the number of units represented. For example, you should report one (1) for the number of Head Start Policy Councils, or CAA Board, (e.g. Y-1). In other situations, the number of units will vary according to your agency. For example, you should report two (2) Family Center Councils, (Y-2) if your CAA serves two different communities, and you should report three (3) Tenant Groups if you work with three different Housing Projects. Only report those activities that are on-going from a previous fiscal year. See sample under description of Column 4 below.

Column 3 – Efforts That Are New this Fiscal Year. In column 3, place a “Y” for yes alongside each outcome/indicator achieved. Do not place an “N” if you did not address or achieve the outcome/indicator listed. In addition, place a number alongside the “Y” to indicate the number of units represented. Only report those activities that are new in the current fiscal year. **Follow the instructions above for column 2 reporting.** See sample under description of Column 4 below.

Column 4 – People Participating in the Activity. Record the number of people participating/serving in the community activity in column 4. Consideration should be given to reporting all people who directly and indirectly participate in the activity. This can be an estimate but provide documentation in the Narrative Comments as to the method or assumptions used to derive the estimate. Be conservative in estimating and be able to support any large numbers. See sample under description of Column 4 below.

Sample Reporting

1	2	3	4	5	6
Outcomes for Low-Income People Own a Stake in Their Community 1. Low-Income People Participate in Formal Community Organizations, Government, Boards or Councils 2. Low-Income People Participate in Community Advocacy or Volunteer Activities. 3. Low-Income People Participate in Social or Volunteer Activities. 4. Low-Income People Own Businesses and Homes in Their Communities.	Efforts Maintained from Previous Year(s)	Efforts That are New this Fiscal Year	People Participating in the Activity	\$ Value of Outcome	\$ ROI
Outcomes with Indicators	Enter Y Only and the Number of Units	Enter Y Only and the Number of Units	Number of People		
1) Low-Income Participate in Formal Community Organizations and/or Boards or Councils that Provide Input to Decision-Making and Policy Setting Through CAA Efforts.					
a) Low-income people serve on the CAA Board of Directors.	Y-1		4		
b) Low-income people serve on Head Start Policy Councils.	Y-1		15		
c) Low-income people serve on Family Center/ Parent Councils.		Y-3	8		

Column 5 – \$ Value of Outcome. Not a required column. In order to calculate return-on-investment (ROI), a value must first be established for the outcome. If you are developing ROI calculations, please indicate in the Narrative Comments your current activity or attach supporting material showing your ROI analysis.

Column 6 – \$ ROI (Return-On-Investment). Not a required column. The ROI is a comparison of the value of the outcome to the cost of producing the outcome. If you are developing ROI calculations, please indicate in the Narrative Comments your current activity or attach supporting material showing your ROI analysis.

Agency Goals 4 and 5 – Definitions

The impact of Community Action is documented through direct services to clients (Goals 1 and 6) and the impact it has in the community to bring about changes that benefit low-income and special populations, Goals 2 and 3. In addition, it is necessary for CAAs to communicate that they have the on-going capacity to manage efficiently and effectively, are accountable and produce outcomes or results, and accomplish this through partnership and collaboration. The agency goals are:

- **Goal 4 – Partnerships Among Supporter and Providers of Services to Low-Income People are Achieved**
- **Goal 5 – Agencies Increase Their Capacity to Achieve Results**

Instructions for Reporting Outcomes and Indicators

- **Goal 4 – Partnerships Among Supporters and Providers of Services to Low-Income People are Achieved – Agency**

A good description of agency responsibilities can be found in the original OEO Instruction 6320-1, November 16, 1970, “

“To stimulate a better focusing of all available, local, state, private, and Federal resources upon the goal of enabling low-income families, and low-income individuals of all ages in rural and urban areas, to attain the skills, knowledge, and motivations and secure the opportunities needed for them to become self-sufficient.”

As Peter Drucker states in the preface to The Drucker Foundation Self-Assessment Tool – Participant Workbook, 1999,

“Social sector organizations (CAAs) with vision and new mind-sets will forge relationships crossing the private, public and social sectors to build partnerships and community. They will welcome the challenge of accountability, define and achieve meaningful results, and articulate their accomplishments in a way that draws interest, energy, and support their mission. They will change lives.”

It is in this context that CAAs are asked to document the role of their agency in developing and sustaining collaborative efforts and how CAAs maintain and increase their capacity to achieve results.

The reportable outcomes in Goal 4 are the existence and type of partnership or collaboration engaged in by the CAA. A partnership or collaboration is a formal relationship documented by a written agreement. This includes but is not limited to such things as: a formal contract (in which you receive funding to provide a service for another partner, or in which another partner receives funding from you to provide a service), an agreement that identifies the partner roles, an agreement or a letter of confirmation that allows you to use space at no cost. You may have formal arrangements which are multi-year, or which do not expire in a given reporting period.

Reporting under Goal 4 is accomplished using **Table 1 – Partnerships Among Supporters and Providers of Services to Low-Income People are Achieved:**

Column 1 – is the inventory of agency partnerships. The CAA can report from the inventory and can identify other types of partnerships and collaborations not included in the inventory.

Column 2 – New Units Achieved (Since July 1). In this column, report the number of new partnerships or collaborative agreements made in the current fiscal year. If there was no new activity, leave blank. See sample under description of Column 4 below.

Column 3 – Units Achieved (Continued from previous year). In this column, report the number of existing partnerships or collaborative agreements made in previous fiscal years and still in effect. If the partnerships or collaborative agreements made in previous fiscal year(s) is no longer in effect, leave blank. See sample under description of Column 4 below.

Column 4 – Type of Partnership or Collaboration. In this column, report the type of partnership or collaborative agreement reported in columns 2 and 3. Use the “key” (a-f) provided under Table 1 in the reporting form.

Sample Reporting

Table 1			
1	2	3	4
<p>Partnerships Among Supporters and Providers of Services to Low-Income People are Achieved</p> <p>A partnership or collaborative effort is defined as a formal relationship documented by a written agreement. In column 4, please identify the type of organization with whom you partnered or collaborated by using the “key” below. Enter the number of partnerships achieved in columns 2 and 3.</p>	<p>New Units Achieved (Since July 1)</p> <p>If none, leave blank</p>	<p>Units Achieved (Continued from Previous Year)</p> <p>If none, leave blank</p>	<p>Type of Partnership or Collaboration</p>
Career Link Operating Consortium partnerships.		1	a, b
Faith Based agencies.	2		c
Food bank pantries or other food and nutrition agencies.		4	a, c, d
Other: Please identify: (see notes in Narrative Comments)	1		e, f

- a) Partnerships to Coordinate Service Delivery and Eliminate Duplication of Services.
- b) Partnerships to Improve Community Planning.
- c) Partnerships to Achieve Specific Family Outcomes (identify the outcomes in the Narrative Comments).
- d) Partnerships to Improve Program Efficiency and Streamline Administration.
- e) Partnerships to support cultural, ethnic, and special needs considerations of low-income people.
- f) Other Types of Partnerships (identify the outcome(s) of the partnership in the narrative on page).

Impact of the Partnership

In the Narrative Comments, provide a description of the actual impact or outcomes achieved by a partnership or collaborative effort if not already covered in reporting of community outcomes, Goals 2 and 3.

Instructions for Reporting Outcomes and Indicators

- **Goal 5 – Agencies Increase Their Capacity to Achieve Results – Agency**

It is necessary for CAAs to communicate that they have the on-going capacity to manage efficiently and effectively, are accountable and produce outcomes or results, and accomplish this through partnership and collaboration.

A good description of increasing the capacity to achieve results can be found in the original OEO Instruction 6320-1, November 16, 1970,

“In developing its strategy and plans, the CAA shall take into account the area of greatest community need, the availability of resources, and its own strengths and limitations. It should establish realistic, attainable objectives, consistent with the basic mission established in this Instruction, and expressed in concrete terms which permit the measurement of results. Given the size of the poverty problem and its own limited resources, the CAA should concentrate its efforts on one or two major objectives where it can have the greatest impact.”

As Peter Drucker states in the preface to The Drucker Foundation Self-Assessment Tool – Participant Workbook, 1999,

“Social sector organizations(CAAs) have to think through very clearly what results are for their programs and services. They must demonstrate both commitment and competence in a highly demanding environment. People are no longer interested to know, “Is it a good cause?” Instead, they ask, “What is being achieved? Is this a responsible organization worthy of my investment? What difference is being made in society, in this community, in the life of individuals?” The successful social sector organization will hold itself accountable for performance inside the organization – for effective marketing, exemplary management of human and financial resources, for contributions in all areas – but always with the central focus on its bottom line: changed lives.”

It is in this context that CAAs are asked to document their capacity to achieve results.

Reporting under Goal 5 is accomplished using four tables:

- Table 1 – Number of Funding Sources
- Table 2 – Total Agency Funding in Current Year
- Table 3 – In-Kind and Donated Resources
- Table 4 – ROMA Implementation and Capacity Building

Table 1 – Number of Funding Sources:

Column 1 –Funding Sources identifies the sources of funding for your agency.

Column 2 – Number in Current Year. In this column enter the number, (not the dollar amount) of funding sources identified in column 1 for the current year to date if the six-month report or the total for the fiscal year, July 1 – June 30th for the annual report.

Column 3 – Number in Previous Year. In this column enter the number, (not the dollar amount) of funding sources identified in column 1 for the previous fiscal year, July 1 – June 30th.

Use the Narrative Comments under Table 1 for additional comments or explanations.

Table 2 – Total Agency Funding in Current Year:

Column 1 – Funding Sources identifies the sources of funding for your agency.

Column 2 – Dollars. In this column enter the dollar amount from funding sources identified in column 1 for the current year, July 1 – June 30th.

Use the Narrative Comments under Table 2 to explain the use of “h or other” in column 1 or for additional comments or explanations.

Table 3 – In-Kind and Donated Resources:

Do not use the shaded areas for reporting.

Column 1 – Sources of In-Kind and Donated Resources identifies the sources of in-kind and donated resources made to your agency. If your agency receives an in-kind or donated resource not listed in column 1, please use “other” and type in the nature of the in-kind or donated resource. Use the Narrative Comments section if additional details are needed for any types of in-kind and donated resources; Volunteer or Donated Staff Hours, Donated or In-Kind Space, Other Donations.

Column 2 – Estimated Number of Hours and Square Feet. Where indicated, enter the estimated number of hours and number of square feet for in-kind or donated resources. Add the numbers on each line and total. There is no data entry for Other Donations.

Column 3 – Estimated Average Value of Single Hour and Square Foot. Where indicated, enter the estimated dollar value of a single hour and the value of a square foot for in-kind or donated resources. Use the Narrative Comments section if additional details are needed to support the value given to an hour of volunteer time and the value given to a square foot of space. There is no data entry for Other Donations.

Column 4 – Total Estimated Value. For Volunteer Staff Hours and Donated Space, multiply the number in Column 2 by the dollar amount in Column 3 and enter the total in Column 4. Enter the total amount in Column 4 where indicated. For Other Donations enter the total estimated value.

Table 4 – ROMA Implementation and Capacity Building:

- **Do not use the shaded areas for reporting.**

Table 4 is two pages and is used to assess the CAAs capacity consistent with implementation of HHS/OCS IM 49 and the OCS Implementation Survey conducted in April 2001.

Column 1 – Outcomes for ROMA Implementation and Capacity Building. There are five outcomes that address ROMA Implementation and Capacity Building:

1) a-g: Agency is Organized Around the Client/Customer and has the Capacity to Measure and Report on Client/Customer Progress Towards Self-Sufficiency.

Indicators a-e measure an agency's capacity to capture and manage with client specific data. Indicators f-g measure an agency's capacity to capture outcome data for measuring movement towards self-sufficiency with or without an outcome scale.

2) a-f: Agency has Implemented Results-Oriented Management and Accountability Systems. These indicators measure an agency's capacity to link and use cost or expenditure data with service delivery and achievement of outcomes. The Virtual Outcomes College Introduction to ROMA course teaches the Reginald Carter Methodology: Seven Management Questions for Integrating Outcomes into Your Agency's Operation – Foundation for Relational Data Base, MIS and Return-On-Investment. The indicators are consistent with the Carter methodology taught Module 6 of the Introduction to ROMA training.

3) a-b: Agency Programs Achieved Accreditation Demonstrating That Program Meets or Exceeds Nationally Recognized Standards. These indicators identify that the agency increases its capacity by becoming accredited from external accrediting bodies.

4) a-f: Agency Obtained a Level of Excellence in Organizational Quality. These indicators may be developed at a future date and could be used to measure overall agency capacity across various management dimensions. The indicators that represent aggregate scales may also be used for a CAA accreditation process. **Do not report here.**

5) a-h: Agency Staff Obtained Credentials That Improve Their Capacity to Achieve Results. These indicators identify that the agency increases its capacity by the continuing professional development of its staff. Include Head Start if applicable.

Column 2 – Outcomes 1-3 Only, Agency Has Achieved Implementation of Activity.

Indicate by a Y for yes in Column 2 if the agency has achieved implementation of the activity.

Column 2 – Outcome 5 Only, Number of Staff That Have Received Credentials.

Indicate the number of staff that has received credentials.

Column 3 – Outcomes 1-3 Only, Agency Has Formal Plan to Address and

Implement Activity. Indicate by a Y for yes if the agency is in the process of implementing the activity.

Column 3 – Outcome 5 Only, Number of Staff Working Towards Credentials.

Indicate the number of staff that are working towards credentials.