

MISSOURI AGENCY ASSESSMENT

August 2005

Instructions for the Agency Assessment Process

Purpose of Agency Assessment

The agency assessment process is intended to help participating agencies develop a picture of organizational quality, recognize best practices, and identify possible opportunities for improvement. The agency assessment process is one step in a journey that can lead to a variety of other efforts, including forming internal quality improvement teams, planning a board retreat, or engaging an external facilitator or an expert in one or more improvement areas.

Review Areas and Scoring

The agency self assessment has three distinct sections. There are six (6) content areas. Each content area is broken down into individual items, each of which must be scored to give a composite picture of each area. Each area has its own scoring sheet.

There is also a Financial Assessment which is a modification of the 2005 Head Start Prism tool. This area has two (2) sections – questions 1-23 are questions that are expected to result in negative responses and questions 24 -56 are expected to result in positive answers. Each of these two financial sections also has scoring sheets that should be completed by the reviewer(s).

The last section pertains to the Missouri Outcomes of Efforts tool. There is a scoring sheet, of such, that asks individual reviewer(s) to consider several things in relation to the Outcomes of Effort tool and to answer accordingly.

Complete each scoring sheet as indicated. The agency may find it helpful to capture an explanation that summarizes the reasons for each score on the actual score sheets provided. This activity may prove to be useful in preparing for on-site visits by funding sources.

Completing the Agency Assessment

The participating agency determines who completes the assessment. In some cases, agencies may want to do a preliminary assessment using only their executive team. Other agencies may wish to assemble a cross-functional team with team members drawn from all units and levels within the agency. Another alternative is to involve agency board members in the process.

Validation of Information

While the agency assessment package has been designed as a stand-alone instrument, the participating agency may wish to further explore, document, or validate where the agency stands in relationship to particular questions. Such additional investigation can only strengthen the validity of the results.

I. Mission, Vision and Planning

I A. Community Needs Assessment*

1—at risk	There is little or no needs assessment data, and the agency has no system for synthesizing available data to guide the direction of comprehensive agency strategic or operational plans.
2—insufficient but making progress	There are needs assessments for specific programs required by funding sources. The data are only used to meet program requirements.
3—sufficient	Systems exist for utilizing the programs’ needs assessment data on an agency level or for disseminating funding within the agency. There is a regularly conducted, broad-based* community needs assessment and a system is in place to utilize the data across program lines.
4—sufficient and making strides toward excellence	There is a regularly conducted, broad-based community needs assessment and a system is in place to utilize data in developing the agency strategic plan and in formulating program goals and objectives.
5—excellent	4 and information from the needs assessment is used in formulating agency goals and objectives in which, the board members were involved and approved. Information is also shared with the community, local policy makers and legislators. The agency’s needs assessment and strategic plan are utilized in seeking funding through governmental and private funding sources.

Community needs assessment refers to a systematic effort at evaluating what the service requirements of the community are. It is aimed at determining what services it is essential to provide, what is available, and what is missing. A broad-based community needs assessment can be achieved by conducting a number of different methodologies including:

focus groups – guided group discussion with a small group with a skilled facilitator that guides the group into increasing levels of focus and depth on the key issue(s) being discussed.

key informant interviews – one-on-one interviews with individuals who represent important constituencies with knowledge or experience with the identified problem. A skilled interviewer uses probing and open ended questions to obtain data about the needs and possible solutions.

community forums – a series of community meetings to involve the community in defining and discussing the needs. They are informal and open to the public at large.

surveys – three general types are used in conducting needs assessments: face-to-face; telephone; mailed (questionnaires). Surveys allow for the collection of information in large numbers and offers flexibility in the type of information collected.

community resource inventories – a survey of service providers in a defined geographic area which yields a listing or summary of information about activities and services provided by those organizations.

formal research committees – research data that is available from local universities and other key organizations in the defined area, this could include census data.

environmental scans – a comprehensive approach that allows the agency to map both the needs of the community as well as the capacity and resources of the community to respond to those needs.

SCORE: _____

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I. Mission, Vision and Planning

I B. Mission and Planning

1—at risk	There is no mission statement* and/or it is not posted or available. There is a mission statement available within the agency but it is not used in any planning activities.
2—insufficient but making progress	There is a mission statement that has been reviewed in the past 3 years; it may be prominently placed in the agency where staff and customers can see it but it is not used for planning.
3—sufficient	There is a mission statement that has been reviewed in the past 3 years and is used as the starting point for planning many agency programs and meeting community needs.
4—sufficient and making strides toward excellence	The mission statement is reviewed at regular intervals and is used as the starting point for planning all programs and meeting community needs. There is some external communication of the mission statement.
5—excellent	The mission statement is reviewed at regular intervals and is used as a starting point for planning and as one important point of reference for evaluating all programs and ensuring they meet community needs. The mission statement is widely disseminated externally.

*A mission statement formulates the organization's declaration of purpose. The mission statement is, customer and outcome-oriented and provides direction to the organization.

SCORE: _____

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1. Mission, Vision and Planning

1 C. Development of the Strategic Plan

1—at risk	The strategic plan is developed by one or two people.
2—insufficient but making progress	It is developed by management staff.
3—sufficient	It is developed by management staff, clients, some community members, and the board.
4—sufficient and making strides toward excellence	It is developed by the groups listed in 3 plus the planning process is intentional about including input from all stakeholder groups.
5—excellent	It is developed with input from all stakeholder groups, draft plans are shared with community groups for input, revision and partnership development. The plan prioritizes the needs of the community, families and the agency and identifies specific high impact strategies to engage the community.

SCORE: _____

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1. Mission, Vision and Planning

1 D. Use of the Strategic Plan

1—at risk	There is no strategic plan or it is not used, is not available or has no applicability.
2—insufficient but making progress	There is a strategic plan with goals* that are loosely associated with operational plans** for programs.
3—sufficient	The goals are connected to operational planning, with key targets and outcomes to track progress toward those goals.
4—sufficient and making strides toward excellence	The goals are linked to nearly all operational plans with measures.
5—excellent	The goals are linked to all operational plans with program measures, budgets, and evaluation strategies.

*Goals are the more specific purposes of an organization that flow from the mission. A goal is a quantifiable statement that provides guidance regarding the outcomes an organization intends to achieve. Performance indicators measure work performed and results achieved based on goals established by the program. They track the progress in achieving those goals.

**An operational plan is a planning and management tool that guides the operation of the organization over a twelve-month period. It is drawn from the strategic plan and reflects the detailed approach to the work. While the organization's strategic plan outlines its vision and directions for the future, its operational plan details the range and scope of programs and services it provides to achieve the objectives outlined in the strategic plan. It links strategic plans to daily operations so that the day-to-day work of the organization is consistent with the mission, will lead to the vision, and addresses the key strategic directions.

SCORE: _____

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I. Mission, Vision and Planning

I E. Expanding Funding

1—at risk	The agency manages existing contracts to meet contract compliance requirements.
2—insufficient but making progress	The agency seeks opportunities for funding existing program expenses or for new funds for programs, but these efforts are not related to the strategic plan and are only conducted as opportunity arises.
3—sufficient	The agency has a strategic plan and uses it to seek some funding or program expansion, but not as an integrated effort between board, senior management and local community.
4—sufficient and making strides toward excellence	The agency has a strategic plan and uses it to seek appropriate funding opportunities, with some resources provided by the board.
5—excellent	The agency’s strategic plan and fundraising plan are fully integrated, with resources provided by the board, senior management, staff, and the local community.

SCORE: _____

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Section I. Mission, Vision and Planning

Individual Items	Score(s)
Community Needs Assessment	
Mission and Planning	
Development of the Strategic Plan	
Use of the Strategic Plan	
Expanding Funding	
<i>Total</i>	
<i>Percentage (total points divided by 25)</i>	
<i>Range (the lowest score and the highest score) e.g. 2--5</i>	

II. Fiscal Policies and Practices

II A. FINANCIAL SELF ASSESSMENT TOOL (Adopted in part from the 2005 Head Start Prism)

			Questions	Documents Reviewed	Comments
1	Y	N	Has the grantee borrowed money within the last 12 months?		
2	Y	N	Has the amount of cash reported on the balance sheet (per audit report) decreased over the past three years?		
3	Y	N	Have vendor payments been late?		
4	Y	N	Does the most recent audit contain a disclosure (footnote) regarding cash flow status?		
5	Y	N	Does the most recent audit show any programs with negative operating balances?		
6	Y	N	Are there large unfunded liabilities (e.g. annual and sick leave accruals, taxes payable, 401 (k) payments outstanding, large mortgage, or large line-of-credit payments) or recent significant cost increases?		
7	Y	N	Is the agency named in pending or recent litigation? Are there pending or current disallowances from any funding source?		
8	Y	N	Is there any indication the agency may lose one or more major programs and/or funding sources?		
9	Y	N	Do bank statements reflect any negative cash balances, over-draft, or finance charges?		

			Questions	Documents Reviewed	Comments
10	Y	N	Has there been a recent reduction of program staff or services, a shift towards outsourcing, excessive turnover of supervisory staff, or have key personnel quit unexpectedly?		
11	Y	N	Have positions been vacant for a significant period of time (e.g. more than 90 days)?		
12	Y	N	Is one individual allowed to control all key aspects of a transaction or event?		
13	Y	N	Did a review of year-end payments disclose any unusual or irregular items (e.g. large purchases of supplies or equipment or pay out of end-of-year “bonuses”)?		
14	Y	N	Have grant funds been drawn down in excess of documented cash requirements?		
15	Y	N	Have prior year salaries or other prior year costs been charged to the current budget year?		
16	Y	N	Have grant funds been used to cover costs normally paid by other funding streams (i.e., interfund borrowing)?		
17	Y	N	Are any staff making in excess of \$100,000? [Consider gross pay from all funding sources.]		
18	Y	N	Has the agency made changes to grant budgets that required prior approval before receiving such approval in writing?		
19	Y	N	Does the agency have inadequate supplies or materials or outdated equipment?		

			Questions	Documents Reviewed	Comments
20	Y	N	Are any of the procurement transactions conducted in a manner that does not provide for open and free competition?		
21	Y	N	Is the ratio of current assets to current liabilities less than 1 (i.e., are there insufficient funds to pay debts due within a year)? [If yes, please answer the question below]		
a.	Y	N	Has the ratio decreased over the past three years?		
22	Y	N	Are there compliance findings over internal controls in the current audit? If yes, please answer the question below.		
a.	Y	N	Have the findings been corrected or is there a corrective action plan in place?		
23	Y	N	If Head Start Grantee – Did the use of Federal funds in the grantee’s last budget exceed 80% of the total cost without a waiver?		

Note: Questions 1-23 are expected to return a negative response

A. Total Points (Questions 1-23) Actual number of negative responses	
B. Total Points Available	23
C. Percentage Points for this Section (A divided by B)	%

			Questions	Documents reviewed	Comments
24	Y	N	Does the agency maintain a complete and up-to-date list of all employees?		
25	Y	N	Has the agency provided adequate documentation to demonstrate timely payment of employee benefits (i.e., Federal and state taxes, health and retirement contributions)?		
26	Y	N	Does the Federal tax information reported agree with other financial reports (specifically, is the tax information on the IRS 990 in agreement with the audit report)?		
27	Y	N	Do all final SF-269s reconcile with the appropriate quarterly PMS-272s for the same period? (Federal DHHS grant forms)		
28	Y	N	Are separation/termination of employment instances immediately reported to the payroll department?		
29	Y	N	Are original time records properly prepared and properly approved by supervisors?		
30	Y	N	Are payroll records regularly compared with the records of the personnel department?		

			Questions	Documents Reviewed	Comments
31	Y	N	Are there written accounting procedures?		
32	Y	N	Are there specific procedures for maintaining checks and balances for cash management and other fiscal functions? To assist in answering this question, consider the questions below.		
a.	Y	N	Are cash and negotiable securities under lock and key, and is access to them strictly controlled?		
b.	Y	N	Are forms such as blank checks and purchase orders sequentially pre-numbered, physically secured, and access to them is strictly controlled?		
c.	Y	N	Are mechanical check signers and signature plates physically protected, and is access to them strictly controlled?		
d.	Y	N	Are duties assigned systematically to a number of individuals to ensure that effective checks and balances exist?		
e.	Y	N	Does the grantee have internal controls for mail processing, cash receipts, and cash disbursements?		
f.	Y	N	Are all grantee bank statements reconciled on a monthly basis?		

Questions			Documents reviewed	Comments
g.	Y	N	Are there safeguards in place for financial data systems in the event of data failure?	
h.	Y	N	Are changes in payroll properly authorized?	
33	Y	N	Do the grantee and/or delegate agencies have policies and procedures for the use of credit cards (e.g., require documentation for expenditures, regularly monitor expenditures, and impose other clear spending limits)?	
34	Y	N	Have timely and accurate SF-269s and PMS-272s been submitted?	
35	Y	N	Does the agency have a qualified fiscal officer?	
36	Y	N	Are the wages of staff reasonable and supported by appropriate wage comparability data? OMB Circulars A-122 (attachment B, Item 8 (b))	
37	Y	N	Has the agency awarded Cost of Living increases across the agency in the past two years?	
38	Y	N	Are there appropriate internal controls for payroll checks distributed to employees?	

			Questions	Documents Reviewed	Comments
39	Y	N	If the grantee has shared costs, has the grantee used an allocation base that best measures the relative degree of benefit for all benefiting functions? OMB Circulars A-122 (attachment A, subsection D.1b)		
40	Y	N	Does the agency regularly compare budgeted costs to actual costs?		
41	Y	N	If Head Start Grantee - Do the Policy Council and Policy Committees work in partnership with key management staff and the governing body to develop, review, and approve or disapprove all procedures for refunding applications and amendments to refunding applications for Early Head Start and Head Start, including administrative services, prior to the submission of such applications?		
42	Y	N	Are financial reports current and available to Board Members and program managers?		
43	Y	N	Has the agency submitted timely and accurate IRS 941, IRS 990 and other official reports as required?		
44	Y	N	Has accurate fiscal information been disseminated, in a timely manner, to the management staff, governing body, and policy groups?		
45	Y	N	Do program managers participate in budget development and understand financial reports?		

			Questions	Documents Reviewed	Comments
46	Y	N	Does management staff attend fiscal training?		
47	Y	N	Has the agency implemented procedures for programmatic and fiscal monitoring of its own operations and each of its delegates?		
48	Y	N	Was the last required annual audit completed and submitted in a timely manner to funding sources and Federal Audit Clearinghouse? (OMB Circular A-133 (subpart B.220))		
49	Y	N	Did the audit firm present the last audit to the Board of Directors?		
a.	Y	N	Was the audit approved by the Board of Directors?		
50	Y	N	Has the agency corrected previous audit findings? (OMB Circular A-133 (Subpart C.315, Paragraphs (a) & (b)))		
51	Y	N	Has the agency implemented procedures to determine allowability, allocability, and reasonableness of costs as required?		
52	Y	N	Does the agency have adequate insurance coverage? (board/officers liability, commercial crime policy or employee dishonesty bond, building and vehicle, business personal property, workers compensation, etc)		

			Questions	Documents Reviewed	Comments
53	Y	N	Does the agency meet property management standards for nonexpendable personal property, including conducting a physical inventory at least once every 2 years and have all vehicle titles available?		
a.	Y	N	Is equipment vulnerable to theft, not securely fastened, or not protected in some other manner?		
b.	Y	N	Are identification plates and numbers affixed to office furniture and fixtures, equipment, and other portable assets?		
54	Y	N	Are costs for administration necessary, properly allocated, documented, and not excessive?		
55	Y	N	If the agency charges indirect costs, are these costs supported by a current negotiated indirect cost rate? (OMB Circulars A-122 (Attachment A, Paragraph E.2.c. & g.) A-87 (Attachment A, Paragraph H), and A-21 (Section G, subpart 11.g))		
56	Y	N	Do the source, use, and accounting of non-Federal funds meet the same requirements as Federal funds, and is the accounting of funds supported by proper source documents?		

Note: Questions 24-56 are expected to return a positive response

A. Total Points (Questions 24-56) Actual number of positive responses			
B. Total Points Available	32		
C. Percentage Points for this Section (A divided by B)	%	Combined Percentage Points for sections 1 & 2	%

Section II. Fiscal Policies and Practices

Individual Items	Scores(s)
Financial Self-Assessment Tool – Section I (23 possible)	
Financial Self-Assessment Tool – Section II (32 possible)	
Total (55 possible)	
<i>Percentage points from Section I (Section I points divided by 23)</i>	
<i>Percentage points from Section II (Section II points divided by 32)</i>	
<i>Overall Percentage (Total Score divided by 55)</i>	

III. Personnel Policies, Procedures and Practices

III A. Team Building

1—at risk	Teams* are not used.
2—insufficient but making progress	There are isolated efforts at using teams.
3—sufficient	Cross-functional teams** are used for some projects.
4—sufficient and making strides toward excellence	3, plus there are formal and informal systems for training management in team building principles.
5—excellent	Cross-functional teams play an integral role in meeting Strategic Planning goals and in the organizational culture.

*A group of individuals organized to work together around a common goal.

**Cross-functional teams are work groups composed of workforce members from several different work units in the organization who possess different skills and perform various job functions. Cross-functional teams also include members with varying responsibility levels. The groups can help solve complex problems, provide customer focus, encourage creativity, promote organizational learning and serve as a single point of contact. Cross-functional teams can also provide organization-wide accountability and participation and tap the varied expertise and experience available.

SCORE: _____

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III. Personnel Policies, Procedures and Practices

III B. Staff Development and Training

1—at risk	Staff development is limited to the basics of position-specific job training at new employee orientation only.
2—insufficient but making progress	1, plus agency orientation* for all new employees is provided.
3—sufficient	The organization provides opportunities for staff development on an on-going basis.
4—sufficient and making strides toward excellence	A written outline of a training plan** is in place and implemented.
5—excellent	A formal individual personal development plan*** is in place that is linked to strategic planning efforts and to individual performance evaluation.
Score: _____ (Describe current status)	

*Orientation for new employees should include the distribution of an employee handbook, a discussion of the organization (organization chart, mission, vision, and values), disciplinary procedures, basic expectations (workplace and management philosophies), and an introduction to programs, departments, and relevant data systems. It should also include an introduction to the state and national community action networks.

**A training plan should be aligned with the agency's strategic plan. It should incorporate needs assessment, training vision, goals and objectives, procedures for identifying trainees, method of training, and method of evaluating the results of the training.

***A personal development plan (PDP) is used for defining your team member's contributions to the agency and the families it serves on a quarterly basis. The agency's main areas of work are described and an assessment of how that work was accomplished is an integral piece of the PDP. The details of the team member's work plan in terms of "outcomes, strategies and indicators as they relate to the agency strategic plan are captured. The personal development plan then serves as a guide for activity and decision making about the team member throughout the quarter. At the end of the quarter, the PDP serves as a measure of the success of the team member's efforts allowing recognition and affirmation to occur and for identifying areas for future growth and development.

SCORE: _____

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III. Personnel Policies, Procedures and Practices

III C. Internal Communication and Information Sharing

1—at risk	A systematic internal communication process is absent.
2—insufficient but making progress	Top-down communication is used, little information is shared, and little or no input is solicited from staff.
3—sufficient	A formal, mostly top-down communication program is in place that includes some input from staff. There is also sharing of information between departments e.g., newsletters or periodic e-mails
4—sufficient and making strides toward excellence	A written formal communication program that is informed by principles of knowledge management* is in place and includes communication with board and program advisory members.
5—excellent	A fully developed knowledge management approach is used by all agency stakeholders including staff and board members.

*Knowledge management - is the process through which organizations generate value from their intellectual and knowledge-based assets. Generating value from such assets involves sharing them among employees, work units, boards of directors, other organizations, etc. in an effort to devise best practices, serve as the foundation for collaboration, achieve agency goals and create win-win situations. An effective knowledge management program should help a company do one or more of the following:

- Foster innovation by encouraging the free flow of ideas
- Improve customer service by streamlining operations that eliminate redundant or unnecessary processes.
- Enhance employee retention rates by recognizing the value of employees' knowledge and rewarding them for it

Not all information is valuable and can lead to information overload. The point of a knowledge management program is to identify and disseminate knowledge gems from a sea of information. It is up to individual organizations to determine what is intellectual and knowledge-based assets. This usually fits into two categories:

- 1) explicit- consists of anything that can be documented, archived and codified, usually with the help of IT.
- 2) tacit – the know-how contained in people's heads.

The challenge with tacit knowledge is in figuring out how to recognize, generate, share, and manage it. IT in the form of e-mail, instant messaging, groupware and related technologies can help facilitate the dissemination of this information once identified.

SCORE: _____

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III. Personnel Policies, Procedures and Practices

III D. Internal Customer Satisfaction

1—at risk	The importance of internal customer satisfaction is not acknowledged.
2—insufficient but making progress	Internal customer satisfaction is measured occasionally, e.g., through a survey.
3—sufficient	The organization uses systematic but limited internal customer satisfaction measurement.
4—sufficient and making strides toward excellence	Innovative elements* and a systematic approach to internal customer satisfaction are used.
5—excellent	Many innovative elements and a systematic approach to internal customer satisfaction are used; in addition, the organization sets challenging standards that are compared against actual performance and are openly reported.

*Innovative elements of an internal customer satisfaction program might include the use of a multi-dimensional customer satisfaction survey instrument, periodic group interviews, focus groups to supplement routine surveying, user-friendly customer satisfaction reports regularly distributed to staff, and a team charged with fostering internal customer satisfaction.

SCORE: _____

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Section III. Personnel Policies, Procedures and Practices

Individual Items	Score(s)
Team Building	
Staff Development and Training	
Internal Communication and Information Sharing	
Internal Customer Satisfaction	
<i>Total</i>	
<i>Percentage (total points divided by 20)</i>	
<i>Range (the lowest score and the highest score) e.g. 2--5</i>	

IV. Services and Activities- Operational Management

IV A. Customer Satisfaction

1—at risk	Customer satisfaction information is not collected or only collected for programs where it is mandated and is not generally used.
2—insufficient but making progress	Customer satisfaction information is collected for some non-mandated programs but in an inconsistent manner, e.g., in the methodologies, the timing, or the regularity with which data are collected. Reporting and use are also inconsistent.
3—sufficient	Customer satisfaction information is collected for most programs and is reported individually by program. It is reviewed and used by program at least annually.
4—sufficient and making strides toward excellence	Customer satisfaction information is collected with some integration among programs and is reported and used during the year for continuous improvement.*
5—excellent	Customer satisfaction is collected with full integration among all programs and is reported and used both quarterly and annually in planning and continuous improvement. All customers' satisfaction is assessed!

*Continuous improvement refers to an organization's constant effort at improving processes, programs, and services. The process of continuous improvement is a cycle consisting of the following steps: measuring and reporting performance, analyzing data and defining improvement goals, determining causes for weak performance, designing corrective measures, implementing corrective strategies, and assessing the effectiveness of improvement efforts.

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IV. Services and Activities- Operational Management

IV B. Intake

1—at risk	There is a limited system in place for customer intake and assessment and therefore it is provided to few agency customers.
2—insufficient but making progress	Intake and assessment is provided to customers based on need but within specific programs only.
3—sufficient	Common intake and assessment among a few key programs is delivered regardless of customer situation.
4—sufficient and making strides toward excellence	3, plus results are shared across major programs to help link customers with multiple agency services. Customers have access to intake and assessment at multiple entry points.
5—excellent	Common intake and assessment among all agency programs with results shared across all programs. Customers have access to comprehensive intake and assessment at all agency locations.

SCORE: _____

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IV. Services and Activities- Operational Management

IV C. Performance Measurement*

1—at risk	Performance measures are not being used to report required information to funding source.
2—insufficient but making progress	Performance measures required by the funding source are occasionally used and reported for some programs.
3—sufficient	Performance measures required by the funding source are used and reported. Targets** are being set for some performance measures. Agency-wide ROMA is being initiated.
4—sufficient and making strides toward excellence	Performance measures required by the funding source are used, and output, process, and intermediate outcome measures are collected to support achievement of funding source required outcomes and outputs for all major programs and some continuous improvement activities. Targets are being set for all performance measures. Agency-wide ROMA is partially implemented.
5—excellent	4, plus an array of measures, including customer satisfaction, is used to track progress toward desired outcomes, to support program improvement and to assess staff performance. Targets are appropriate based on agency commitments, environmental factors and historical data. Agency-wide ROMA is fully implemented.

* A performance measurement system consists of an array of performance indicators that track the organization's success in attaining its goals. It should derive from the organization's strategic plan and provide critical data about key processes and results. Performance indicators measure work performed and results achieved based on goals and targets established by the program. Performance indicators should be consistent with and pertinent to the organization's mission and goals. The following terms are used to describe program measurement:

- Input is the amount of resources actually used to produce outputs and outcomes.
- Output refers to the amount of products produced and services delivered.
- Process (workload) refers to the amount of work that goes into a program.
- Outcome refers to the end result desired by the program.
- Intermediate outcomes are outcomes expected to lead to the ends desired but are not themselves ends, e.g., customer satisfaction and quality measures, response or cycle time.

** Targets refer to quantitative goals for outcome achievement.

SCORE: _____

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IV. Services and Activities- Operational Management

IV D. Internal Program Integration

1—at risk	There are no linkages among programs.
2—insufficient but making progress	There are formal linkages* among some programs and informal linkages among others.
3—sufficient	There are formal linkages among most programs and informal linkages for the remaining programs.
4—sufficient and making strides toward excellence	There are formal linkages among nearly all programs, and common intake information is shared among programs.
5—excellent	There are formal linkages among all programs, and there are common intake and database connections. Information flows freely to the benefit of the client, and staff can advise clients of other services and opportunities. Staff are trained to track and report on common measures/outcomes.

*formal linkages would be any practice that is written into agency plans/policies/procedures that promotes integration of all activities for the benefit of clients (e.g. if staff from different functions are expected to be cross-trained that would be defined in writing; if outreach staff from different programs are expected to have monthly meetings to discuss the status of a client or family that should appear in writing, if you have an IT department and they are responsible for tracking and reporting common measures and outcomes it needs to be written regarding how they are to get this information from all functions of the agency, when it is due, what needs to be captured and how, where is the information supposed to go once it is available, etc.).

SCORE: _____

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Section IV. Services and Activities-Operational Management

Individual Items	Score(s)
Customer Satisfaction	
Intake	
Performance Measurement	
Internal Program Integration	
<i>Total</i>	
<i>Percentage (total points divided by 20)</i>	
<i>Range (the lowest score and the highest score) e.g. 2--5</i>	

V. Information Technology

V A. IT Planning and Policy

1—at risk	Each program makes its own decisions, or IT planning is done on an ad hoc basis through the budget or in conjunction with other administrative decisions.
2—insufficient but making progress	IT decisions are made informally in consultation with one or two people who are perceived as having some expertise in this area.
3—sufficient	There is an IT committee or team* that meets occasionally to address IT issues as they arise.
4—sufficient and making strides toward excellence	There is an IT committee or team that meets regularly to plan and identify specific program and agency-wide IT needs.
5—excellent	There is an IT committee or team that develops and reviews an IT strategic plan in conjunction with the agency's overall strategic planning process.

*For small agencies, there may be no single person responsible for IT, but there is a recognized team that meets with the help of consultants to address IT-related issues.

SCORE: _____

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V. Information Technology

V B. Data Integration

1—at risk	There is no data integration.
2—insufficient but making progress	There are electronic databases for some programs but others are primarily paper-based.
3—sufficient	There are electronic databases for nearly all programs.
4—sufficient and making strides toward excellence	There is some integration of program data or a common intake form that can be shared among the various databases.
5—excellent	There is full integration of program data. There may also be integration with financial databases.

SCORE: _____

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V. Information Technology

V.C. IT Security

1—at risk	There is no IT security plan in place.
2—insufficient but making progress	Security policies and procedures have been developed for some of the following where appropriate: individual records to maintain confidentiality, financial records, network, e-mail, and Internet.
3—sufficient	Security policies and procedures have been developed for general security concerns*and all of the following where appropriate: individual records to maintain confidentiality, financial records, network, e-mail, and Internet. Policies and procedures in those areas have been disseminated and are being followed.
4—sufficient and making strides toward excellence	Security policies and procedures have been developed for all appropriate areas. Policies and procedures in those areas have been disseminated and are being followed. Some policies and procedures are regularly updated.
5—excellent	Security policies and procedures have been developed for all appropriate areas. Policies and procedures in those areas have been disseminated and are being followed. All policies and procedures are updated regularly.

*General security concerns include such issues as how the agency prevents and reacts to a computer break-in, where backups are stored, and who is allowed to access the server and other hardware.

SCORE: _____

NOTES:

Section V. Information Technology

Individual Items	Score(s)
IT Planning and Policy	
Data Integration	
IT Security	
<i>Total</i>	
<i>Percentage (total points divided by 15)</i>	
<i>Range (the lowest score and the highest score) e.g. 2--5</i>	

VI. Community Investment

VI A. Community Engagement

1—at risk	The agency does not engage the community at all and functions out of the government contractor model of service delivery.*
2—insufficient but making progress	The agency provides information and education on poverty issues, raising awareness, but no follow-up action is taken i.e. advocacy for policy change, inviting volunteers to work with families or systems change. Board of Directors and advisory committees are informed of local poverty information.
3—sufficient	Agency programs intentionally engage the community in helping some families out of poverty. Some community members are involved in the strategic planning process and strategy development. Fully engaged Board of Directors and advisory committees.
4—sufficient and making strides toward excellence	The agency is making strides toward implementing the community impact model.** The agency is intentional about testing high impact strategies to end poverty; changing the mindset of the community and changing public policy. A community education/engagement plan is in place and beginning implementation. The planning process is assertive and intentional about community involvement.
5—excellent	A formal Strategic Plan adopted with high impact strategies to engage and build community to end poverty. The community impact model is fully implemented and integrated into the agency and getting results, which are communicated, to the community. The agency is intentional and assertive about engaging the community in planning and in implementation of strategies. The organizational infrastructure *** aligns with the strategic plan. Community education/engagement plans implemented. Organizations, faith communities, businesses have adopted poverty ending strategies as part of their own plans and getting results.

*The government contract model is based on the regulatory and accounting practice most often associated with state and federal grants and contracts. The delivery of services is “siloeed” based on necessary accounting practice rather than the needs of the individual or family. Community members are not engaged in the design of the program services or in thinking through how to best address poverty in the community. Community members are not invited into the process or invited to share the responsibility as well as their gifts and talents to end poverty. Delivery of services is the primary goal rather than meeting the mission or engaging the community to end poverty.

**The community impact model engages the whole community to end poverty. Community members are actively invited and involved in the planning process, high impact strategies are developed, the organizational structure supports the strategies rather than the program silos, and leadership is broadly dispersed across the community, participants, and agency stakeholders. The community is aware of the impact of poverty and is planning and working toward its elimination.

***Organizational infrastructure includes but is not limited to:

- Work plans and budgets for activities to implement strategies
- Labor hours necessary by job function
- Organizational chart and staffing patterns by function not funding stream
- Agency policies on compensation, staff member job expectations, benefits, working conditions, responsibility and accountability, accounting policies and procedures
- Procedures and practices about systems of communication, work flow, tracking, monitoring, and evaluating work and projected outcomes/results
- Procedures and practices about decision-making and process improvement
- How time, money and space resources are allocated

SCORE: _____

NOTES:

Section VI. Community Investment

Individual Items	Score(s)
Community Engagement	
<i>Total</i>	
<i>Percentage (total points divided by 5)</i>	
<i>Range (the lowest score and the highest score) e.g. 2--5</i>	

VII. Governance

VII A. Board Composition

1—at risk	Composition of the board is not in compliance with state and federal requirements.
2—insufficient but making progress	Composition of the board is in compliance in some areas, and there is a written plan for reaching compliance.
3—sufficient*	The board complies with all state and federal requirements.
4—sufficient and making strides toward excellence	3, plus one or more of the following is used: innovative recruitment efforts in line with strategic objectives, ongoing training, or board member mentoring to ensure an active membership.
5—excellent	The board is in full compliance with state and federal requirements and does two or more of the following: innovative recruitment efforts in line with strategic objectives, ongoing training, or board member mentoring to ensure an active membership.

* In order to score 3, the organization must meet each of the following requirements:

- a. The number of seats on the board is stated.
- b. Procedures for selecting board members and alternates are described, and the terms of service are stated.
- c. The requirement that board members selected to represent a specific geographical area must reside in that area and that they represent the racial and ethnic composition of the community is stated.
- d. Procedures for filling vacancies on the board created by removal, resignation, or death of a board member are stated.
- e. Performance standards, e.g., attendance, for board members and alternates are stated.
- f. A process for removal of board members is stated including timely replacement or reappointment (to another representative group) of those who no longer hold public office.
- g. A quorum for meetings is established.
- h. The requirement that the board meet regularly (at least 6 times annually) is stated.
- i. The requirement that board meetings are open to the public is stated.
- j. The requirement that the board keep written minutes is stated.
- k. Provision is made for appointment of board committees, including an executive committee, and requirement that committee membership reflect the tripartite composition of the board is stated.
- l. Operating procedures for the conduct of board meetings are described, e.g., convening board meetings, duties of officers and election procedures, adoption of a meeting agenda, adherence to rules of order and any state laws.
- m. The requirement that executive committee actions must be ratified by the full board at its next regular meeting is stated.
- n. Procedures prohibit voting by proxy at meetings of the board or of its committees.
- o. There is a policy that prohibits alternates for board members (if allowed under the by-laws) from holding board offices and from being counted toward a quorum or casting a vote if the primary board member is present.
- p. The role of the board in the planning, implementation and evaluation of agency activities is stated.
- q. Roles of the board are clearly spelled out in the agency's by-laws.

SCORE: _____

NOTES:

VII. Governance

VII B. Role of the Board

1—at risk	The board sees some planning documents and some general budget plans but has no comprehensive view of the agency’s direction when planning, budgeting, or making personnel decisions.
2—insufficient but making progress	The board sets policy for the majority of the following: approving annual, strategic and fiscal plans; major personnel policies; and budgets.
3—sufficient*	The board sets policy for the agency and approves annual, strategic and fiscal plans, as well as major personnel policies and budgets; oversees legal matters; and reviews the agency’s fiscal status at each meeting. The board approves fund development.
4—sufficient and making strides toward excellence	3, plus some plans are reviewed in draft by committees before full board consideration. Board members are part of strategic work teams and program design committees. Board members understand and review outcomes as part of planning and evaluation functions. The board is involved in fund development.
5—excellent	4, plus all plans are reviewed in draft by committees before full board consideration. Board members represent the agency’s mission and strategies as part of the public education/community engagement plan. Board members are able to articulate the agency’s visions and strategies for ending poverty. The board has developed a leadership succession plan for the agency. The board leads fund development.

SCORE: _____

NOTES:

VII. Governance

VII C. Keeping the Board Informed

1—at risk	The board rarely is provided or considers any objective information about finances or programs except in crises.
2—insufficient but making progress	The board receives occasional financial reports and exception reports* on program activity but usually only when there are significant problems that threaten to become crises.
3—sufficient**	The board receives monthly financial information and exception reports on all program activity. Agendas are sent to board members in advance of all meetings, and materials that require substantial time to absorb are sent to board members in advance of all meetings. Transformational planning outcomes are reported.
4—sufficient and making strides toward excellence	3, plus information is presented in plan-to-actual form with improvement activities for some programs.
5—excellent	4, plus information is presented in plan-to-actual form with improvement activities for all agency programs.

*Exception reports facilitate the comparison of planned activities vs. actual operating performance. This includes financial as well as programmatic data. Reporting in a plan-to-actual manner assists agencies in early identification of potential operational problems and can help diagnose problems as they develop, thus, improving agency performance (e.g. (financial) if the agency budget report shows you have spent 50% on payroll and you are 75% through the year the board should question the variance; same with overspending. (program) the target is to get 25 individuals a living wage job in your area, halfway through the year you only have 6 individuals that have achieved this goal. The board should expect an exception report that documents the expected to achieve number vs. the actual number and the reason the numbers are off (factory closed) and what the agency is going to do to either achieve the original goal or for altering the original plan.

** To score 3, all major reports must be sent to board members before the meeting. In addition, minutes that include the following must be kept of all board and subcommittee meetings:

- a. Date, time and place of meeting
- b. Who was present and absent
- c. Determination that a quorum was present
- d. The business conducted at the meeting
- e. The exact wording of motions made and passed
- f. The identity of the makers of motions, who seconds the motions, and results of votes taken
- g. The major points of discussion regarding any motions.

SCORE: _____

NOTES:

VII. Governance

VII D. Board Decision Making

1—at risk	The board has little or no involvement in planning and budget making.
2—insufficient but making progress	The board views and passes on strategic plan and budget documents but has little involvement in their development.
3—sufficient*	The board uses a systematic approach to decision making on budget and strategic plan.
4—sufficient and making strides toward excellence	3, plus uses community needs assessment, community member and participant input, and program outcome information.
5—excellent	4, plus there is regular monitoring of budget and outcomes against plan.

SCORE: _____

NOTES:

VII. Governance

VII E. Board Training* and Orientation

1—at risk	The board does not engage in any formal training for either old or new members.
2—insufficient but making progress	The board has an orientation for new members but little or no training for members on an ongoing basis.
3—sufficient*	The board has an orientation and a structured approach to mentoring new members and has occasional training or retreats for all members
4—sufficient and making strides toward excellence	3, plus there is a board manual and regularly scheduled training or retreats for all members. Members have access to relevant workshops and information and have contact with members of other CAA boards.
5—excellent	4, plus members conduct regular board self-assessments.

*Board Training at a minimum should cover the following topics:

1. Orientation to statutory and regulatory requirements (CSBG Act, other Federal, State or local statutes and regulations, including non-profit board requirements;
2. Agency articles of incorporation, bylaws, etc.
3. Overview of Board Functioning – appointments, representation, meetings, committees, conflict of interest policy, relationship to executive director and staff, etc.
4. Role and responsibilities of the executive director
5. Role and responsibility of the Board regarding the employment, retention, and compensation of the executive director and key agency staff
6. Overview of agency administration and financial management policies and procedures – oversight role and responsibilities of the board
7. Orientation to and how to oversee agency mission, long-range plan and annual plans
8. Orientation to and how to oversee agency programs and services
9. Orientation to and how to oversee agency evaluation and reporting policies and procedures – role of the board in program and personnel performance evaluation
10. ROMA

SCORE: _____

NOTES:

VII. Governance

VII F. Evaluation of the Executive Director

1—at risk	There is not regular evaluation of the executive director.
2—insufficient but making progress	The board evaluates the executive director occasionally based on generally stated goals and objectives.
3—sufficient*	The executive director is evaluated annually based on specific goals and objectives stated in writing after discussion with the board.
4—sufficient and making strides toward excellence	The board evaluates the executive director annually with some evaluation components based on measurable objectives, which are mission centered and related to the agency's strategic plan. There are long-term objectives as well as annual ones.
5—excellent	The board's annual evaluation of the executive director is based on measurable annual and long-term objectives. The evaluation is one component, of many, used to determine compensation.

SCORE: _____

NOTES:

Section VII. Governance

Individual Items	Score(s)
Board Composition	
Role of the Board	
Keeping the Board Informed	
Board Decision Making	
Board Training and Orientation	
Evaluation of the Executive Director	
<i>Total</i>	
<i>Percentage (total points divided by 30)</i>	
<i>Range (the lowest score and the highest score) e.g. 2--5</i>	

Section VIII. Results

Missouri Outcomes of Efforts Report:

VIII. A. ROMA Outcomes of Efforts

(Using the Missouri Outcomes of Efforts tool please answer the following questions)

1	Does the agency's Missouri Outcomes of Efforts report include outcomes and measures from the agency strategic plan?	YES	NO
2	Does the agency's Missouri Outcomes of Efforts report include targets and are those targets appropriate and reasonable?	YES	NO
3	Does the agency track and report results quarterly to determine if targets are being met?	YES	NO
4	If targets are not being met or if there are other variances was an exception report completed and improvement activities developed?	YES	NO

NOTES:

SUMMARY OF OVERALL SCORES

Assessment Areas	Scores	Percentages
Section I. Mission, Vision and Planning (25)		
Section II. Fiscal Policies and Practices (55)		
Section III. Personnel Policies, Procedures and Practices (20)		
Section IV Services and Activities-Operational Management (20)		
Section V. Information Technology (15)		
Section VI. Community Investment (5)		
Section VII. Governance (30)		
Section VIII. Results (n/a)		
Total Points Scored		
Total Points Available	170	
Overall Percentage (divide points scored by points available)	%	