



MODULE 3: COMMUNITY INITIATIVE STATUS FORM REVIEW DOCUMENT

February 2020

Introduction

Module 3 is the Community Level module of the new CSBG Annual Report and includes information on the implementation of strategies and achievement of results for communities of low income. Module 3 creates the reporting space for CSBG eligible entities who are tackling complex community-level issues. This includes collecting information on agencies' community-level transformations¹ and showcasing the connection between transformations and outcomes over time.

The Community Transformation Status Form (CTS) is the entry form for eligible entities reporting community level work in Module 3 of the CSBG Annual Report and assists the network in telling the story of our community-level work. The checklist in this document assists CSBG state lead agencies in reviewing the CTS and thus all Module 3 reporting. This resource will be a living document that is updated over time to ensure it is an effective tool for reviewing the CTS, and a companion document will be developed to guide local agencies through the different components of this review form. State offices can use this review form to walk through the CTS and assess if sufficient information is presented to let the reader understand the transformation, its objectives, and its ultimate goal. This review tool can also help a state office consider if a submitted CTS is really about a transformation that is focused on meeting a community-level need and creating a community-level change or if it is an initiative designed to address individual, family, or agency needs which should be reported in Module 2 or Module 4 of the CSBG Annual Report.

A community-level transformation is a project designed to create measurable community-wide improvement affecting one or more cause or condition of poverty within a defined geographic area. The project has clearly defined and measurable goals and one or more strategic activities designed to achieve that goal. The CSBG eligible entity must be an active participant with a clearly-defined role that compliments those of any other organizational partners with the necessary expertise and capacity to affect change in community conditions.

When deciding whether to submit a community-level transformation, consider the following:

The Community Transformation Should:
1. Meet a clearly identified community need; <i>Note - Characteristics of a community level need include: that the need is identified as being systemic in the community, impacting the community at large, the need identifies conditions in the community (ex. the south side neighborhood does not have early childhood programs) and that there is a clear expectation of change in the identified community.</i>
2. Result in community change that is observable and measurable; AND Be a direct result of the community transformation strategies.
3. Include community strategies that engage external stakeholders (e.g., customers, community partners or others in the community).

¹ Please note that while this was previously referred to as "community initiatives," OCS is transitioning to "community-level transformation" to emphasize that projects reported in Module 3 are in an active implementation phase to address a specified community need. During this transition, the word "initiative" may still appear in OMB-approved documents.

Phases of Community-Level Transformations and When to Submit

While there are many potential steps in the development of community-level transformations, for the purposes of this guidance, OCS focused on four phases for the purpose of reporting in Module 3: (1) formative, (2) formal planning, (3) active implementation, and (4) maturity. These phases, along with reporting expectations for Module 3, are described below.

- 1. Formative Phase** – This phase refers to any community-level efforts that are in the early stages of development and may include community needs assessment work, focus groups, consensus-building meetings, “brainstorming” work with multiple organizational stakeholders to identify issues and discuss potential solutions, and early planning meetings to identify potential collaborative activities.
***Do not submit:** Eligible entities **should not** complete and submit Module 3 at this phase of work since there is no agreement or commitment to clearly defined and measurable goals, and strategic activities designed to achieve that goal. Eligible entities may choose to seek technical assistance at this phase.*
- 2. Formal Planning Phase** – This phase refers to a work process in which the eligible entity is actively engaged (either in a leadership or clearly-identified supportive role) in a community-level planning effort in which there is general agreement upon one or more cause or condition of poverty in the community as well as a commitment by the eligible entity and any necessary community partners to identifying and implementing strategies to address the identified issues. The participating organizations may have identified initial resources to support the planning effort and at minimum have committed necessary staff time for the planning and design of new community-level solutions. At the initiation of this phase of work, an eligible entity may develop a draft Module 3 submission and may consult with other community stakeholders, the state, and seek technical assistance in identifying potential community-level strategies and applicable performance measures. OCS recognizes that many planning efforts will require mid-course adjustments and that even after an initial year of implementation there may be changes in performance management information.
***Submit to the state**²: An eligible entity should develop and submit Module 3 for state review once there is general agreement on clearly defined and measurable goals and a commitment among any necessary organizational partners to implement strategies to achieve that goal. The state should not submit to OCS at this phase.*

² OCS recommends that the state define a date for eligible entities to submit to the state outside of the CSBG Annual Report submission period. This date should allow the state enough time to review, provide feedback, and seek additional technical assistance, as needed.

3. Active Implementation Phase – During this phase of work, the eligible entity and any organizational partners have launched necessary working groups, developed a formal plan of action with an ultimate goal, and established shared metrics (indicators, measurements, and a shared approach to collecting and analyzing performance data). While organizational partners may be working to identify and secure additional resources for the effort, there is an initial commitment of resources, identification of organizational roles, and at least one agreed-upon strategy for accomplishing common goals. The eligible entity is an active participant and has a clear role in implementation efforts.

Submit to OCS: Once a Community-Level Transformation is ready to move into active implementation, an eligible entity should again submit the Module 3 report to the state. After review, the state should submit the Module 3 report to OCS. The state may seek additional technical assistance prior to submitting³. The eligible entity should submit updates on an annual basis until maturity, and the state should provide updates to OCS.

4. Maturity Phase – When an eligible entity and any community partners have successfully implemented a community-level strategy, an effort may reach a “maturity level” in which the initial or ultimate goal(s) has been accomplished and the ongoing effort is focused on sustaining outcomes. For example, an effort to address a shortage of affordable housing may have reached its initial goal(s) of creation of a specified number of affordable housing units or a job creation effort may have successfully created new employment opportunities.

Final Submission to OCS: An eligible entity should submit Module 3 for a final year. In the case that the initial goal was not reached for whatever reason, such as lack of funding or a change in the needs of the community, the eligible entity should submit Module 3 for a final year. In the case that a new goal(s) is defined and agreed-upon, the eligible entity may submit a new Community-Level Transformation once it is in the Formal Planning Phase.

³ OCS recommends that the state lead agency define a date for eligible entities to submit to the state lead agency outside of the CSBG Annual Report submission period. This date should allow the state enough time to review, provide feedback, and seek additional technical assistance, as needed.

Community Initiative Status Form Checklist

	Use the dropdown menu to select the response where appropriate.	Questions to Consider During Review	Responses/inquiries
1. Initiative Name	Narrative	<input type="checkbox"/> The name is unique and concise.	
2. Initiative Year	1-7 years	<input type="checkbox"/> This a transformation that is in the <i>Active Implementation</i> ⁴ phase. <input type="checkbox"/> Provide the number of years it has been operating since moving into the <i>Active Implementation</i> phase.	
3. Problem Identification Responses here should address the definition of Community Level work: <input checked="" type="checkbox"/> The proposed transformation effort meets a clearly identified community level need supported by research and data.	Narrative (Provide a narrative on the scope of the problem)	Check if this narrative: <input type="checkbox"/> Clearly articulates a community level need. <input type="checkbox"/> Includes supporting data. <ul style="list-style-type: none"> <input type="checkbox"/> Are data sources cited? <input type="checkbox"/> Is baseline data provided? <input type="checkbox"/> Is data representative of the Identified Community (line 7)? <input type="checkbox"/> References the agency's community needs assessment (CNA). <ul style="list-style-type: none"> <input type="checkbox"/> Does the information from the CNA clearly identify the need at the community level? <input type="checkbox"/> Does the narrative also specify what data supported the needs assessment finding?	

⁴ During the **Active Implementation** stage, the eligible entity and any organizational partners have launched necessary working groups, developed a formal plan of action with an ultimate goal, and established shared metrics. For a full definition see page 3.

	Use the dropdown menu to select the response where appropriate.	Questions to Consider During Review	Responses/inquiries
<p>4. Goal/Agenda</p> <p>Responses should address the second and third definitions of Community Level work:</p> <ul style="list-style-type: none"> ✓ The transformation results in community change that is observable and measurable AND that change is a direct result of the identified transformation strategies. ✓ The transformation includes community strategies that engage external stakeholders? (e.g., customers, community partners or others in the community) 	<p>Narrative (Provide a narrative on the goal/agenda)</p>	<p>Check if this narrative:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Clearly articulates an ultimate goal statement for this transformation. (i.e. - “The ultimate goal of this transformation is to ____.”) <input type="checkbox"/> Indicates whether there are interim goals. (i.e. – “During this fiscal year/next few years, the transformation will work to achieve ____.”) <ul style="list-style-type: none"> ○ Are any interim goals reflected in the CNPIs reported (line 14)? <input type="checkbox"/> Describes how the transformation addresses the problem (line 3) at the community level -- the community change will result. <i>(i.e. – if need was for more affordable housing in the community, goal is to increase number of affordable units vs. assisting more families in searching for housing.)</i> <input type="checkbox"/> Describes the eligible entity’s specific role within the larger transformation. 	
<p>5. Issue/CSBG Community Domains</p>	<p>Employment; Education and Cognitive Development; Income, Infrastructure, and Asset Building; Housing; Health and Social/Behavioral Development; or Civic Engagement and Community Involvement</p>	<ul style="list-style-type: none"> <input type="checkbox"/> The domain(s) selected represent the identified need. <ul style="list-style-type: none"> ○ Should another or an additional domain have been selected? Note: more than one domain may be selected. 	

	Use the dropdown menu to select the response where appropriate.	Questions to Consider During Review	Responses/inquiries
6. Ultimate Expected Outcome	Community Level National Performance Indicators (NPIs) (Reference the Community NPIs listed in Section B)	<p>Check if the CNPIs selected:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Measures progress towards the goal(s) identified in line 4. If not: <ul style="list-style-type: none"> ○ Are there additional indicators that could/should be selected? <input type="checkbox"/> Has reasonable targets been set considering the expected duration of the transformation (line 8) and other information. <input type="checkbox"/> Includes any rates of change indicators. If so: <ul style="list-style-type: none"> ○ Does baseline data entered for each ROC indicator correlate to baseline data described in line 3? <input type="checkbox"/> Includes “other” indicators. If yes: <ul style="list-style-type: none"> ○ Do any pre-defined CNPIs accurately reflect what the “other” indicator measures and could be used instead? 	
7. Identified Community	Neighborhood, City, School District, County, Service Area, State, Region, or Other	<ul style="list-style-type: none"> <input type="checkbox"/> The identified community represents the information provided in line 3. <input type="checkbox"/> If <i>Other</i> is selected, the description makes sense based on the narratives provided on lines 3 and 4. 	
8. Expected Duration	Narrative (Provide the range in years, e.g. 1-3 years)	<p>Check if this narrative:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Reflects the timeframe (in years) needed to achieve the ultimate goal described on line 4. <ul style="list-style-type: none"> ○ Is the duration reasonable given the outcomes the transformation hopes to achieve? <p><i>Note: “Indefinite”, “ongoing”, or similar responses are not accepted at this time. There should be a clear expected duration upon submitting; however, this duration is able to change as the project continues.</i></p>	

	Use the dropdown menu to select the response where appropriate.	Questions to Consider During Review	Responses/inquiries
9. Partnership Type	Independent CAA Initiative, CAA is the core organizer of multi-partner Initiative, or CAA is one of multiple active investors and partners	<input type="checkbox"/> Based on the information provided for the transformation, this is answered appropriately.	
10. Partners Responses should address the third definition of Community Level work: ✓ The transformation includes community strategies that engage external stakeholders?	Narrative (Provide a narrative on the key 1-3 partners)	Check if this narrative: <input type="checkbox"/> Lists the key partners involved and their role as it relates involved in this transformation. ○ Are the partners representative of the work described on line 4? <input type="checkbox"/> Specifically describes the role of the eligible entity, including any use of CSBG funds. <i>Note: If there are activities that are not permissible under CSBG, provide the funding source.</i>	
11. Strategy(ies) Responses should address the third definition of Community Level work: ✓ The transformation includes community strategies that engage external stakeholders?	Select from the Community Level Strategies listed in Section C	Check if the strategies selected: <input type="checkbox"/> Will help achieve the goals indicated in line 4/CNPIs selected on line 14. ○ Are there additional strategies that could/should be selected? <input type="checkbox"/> Include any “other” strategies. If yes: ○ Do any pre-defined strategies accurately reflect what the “other” captures and could be used instead?	
12. Progress on Outcomes/Indicators	No Outcomes to Report, Interim Outcomes, Final Outcomes	<input type="checkbox"/> If “no outcomes to report” was selected, the eligible entity should provide an explanation under line 13. <i>Note: If there are “no outcomes to report” for three or more consecutive years, the state should reach out to the eligible entity for more information.</i> <input type="checkbox"/> If Interim Outcomes or Final Outcomes was selected, review lines 13-14 for further guidance.	

	Use the dropdown menu to select the response where appropriate.	Questions to Consider During Review	Responses/inquiries
13. Impact of Outcomes	<p>Narrative (Provide additional information on the scope of the impact of these outcomes. e.g. If an initiative created a health clinic, please describe how many individuals and families are expected to be impacted.)</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Did the eligible entity report that there are “interim outcomes” or “final outcomes” on line 12? <ul style="list-style-type: none"> <input type="radio"/> If yes, a response is required. <input type="radio"/> If no, no response should be entered. <input type="checkbox"/> The information provided corresponds to the information provided in line 4 which references the goal of the transformation. <input type="checkbox"/> If individuals or families are discussed, the references are appropriate to the transformation and provide context to the community transformation. 	
14. Outcomes/Indicators to Report	<p>Community Level National Performance Indicators (NPIs) (Reference the Community NPIs listed in Section B)</p>	<ul style="list-style-type: none"> <input type="checkbox"/> The actual outcomes reasonably compare to the target set by the eligible entity. 	
15. Final Status	<p>Initiative Active, Initiative Ended Early, Initiative Ended as Planned, Completed Still Delivering Value</p>	<ul style="list-style-type: none"> <input type="checkbox"/> This is correctly completed. <i>(i.e. if the eligible entity selected “final outcomes” under line 12, the response here should be reflective – “initiative ended early, initiative ended as planned, or “completed still delivering value” and vice versa)</i> <ul style="list-style-type: none"> <input type="radio"/> This should be updated on an annual basis, as needed. 	

	Use the dropdown menu to select the response where appropriate.	Questions to Consider During Review	Responses/inquiries
16. Lessons Learned	Narrative	<input type="checkbox"/> Information included about whether the transformation was successful, or that there were barriers to success, and/or any challenges encountered during the reporting period. <i>Note: While a response is only required once the transformation has reached the Maturity Phase⁵, we encourage eligible entities to provide an annual update of lessons learned that year.</i>	

⁵ During the **Maturity Phase**, an effort may have reached a “maturity level” in which the initial or ultimate goal(s) has been accomplished and the ongoing effort is focused on sustaining outcomes. For a full definition see page 3.