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# 2011 Lake County Consolidated Application Instructions Packet

*Community Development Block Grant – Public Services & Emergency Shelter Grant*

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Lake County - City of Waukegan - City of  
North Chicago

# 2011 Lake County Consolidated Application Instructions Packet

*Community Development Block Grant – Public Services & Emergency Shelter Grant*

## Letter of Intent/Checklist Instructions

The Letter of Intent and Checklist are now available as a separate download to make printing easier. They are available at: <http://www.lakecountyl.gov/Planning/CommunityDevelopment/Apply.htm>

The Letter of Intent and Checklist is universal among all funders. The requested information on the Letter of Intent is self-explanatory. Please fill out the gray boxes and print, sign, and submit the Letter of Intent. Instructions and examples of how to complete the checklist are present on the actual checklist. Please fill out the checklist, print it, and submit it with the Letter of Intent.

## Important Dates

### Workshops

- Consolidated Application Workshop --- September 14, 2010, 9:00am
  - Attendance is **required** for all applicants by North Chicago and Lake County. Attendance is **recommended** by Waukegan.
  - Applications will **not be accepted** from any agency that does not attend the workshop.
- Program Outcomes Workshop --- September 21, 2010, 9:00am
  - Attendance is recommended by all funders.

### Deadlines

- Letter of Intent/Checklist due date --- October 1, 2010, 4:00pm
  - **Required** for City of North Chicago & Lake County
  - *Recommended* for City of Waukegan

Grant	Due Date/Time	Number of Copies
Lake County CDBG	<b>October 29, 2010 4:00pm</b>	1 original, 5 copies, 1 electronic on CD/disk
Lake County ESG		1 original, 5 copies, 1 electronic on CD/disk
North Chicago CDBG		1 original, 10 copies
Waukegan CDBG		1 original, 10 copies

\* extra copies of attachments  
(listed on Page 1 of application) not required

**Applications are due at the grantor's office no later than the dates/times listed above. Late applications will NOT be accepted, regardless of circumstances.**

## General Instructions & Helpful Hints

- All applications must be collated and punched with a standard three-hole punch.
- Applications should be clipped (please no staples, binders, folders, etc.)
- Do not use more than the space requirement listed with the questions. It is not necessary to answer questions paragraph style. Please feel free to use bullets and short answers where appropriate. Keep explanations concise and readable. Font size must be no less than 10.
- Keep in mind that the application reviewers may not be familiar with the details of your agency. Please make sure the program is completely explained and the questions are fully answered.
- If you don't understand a question or form, please call or e-mail the grantor's office. Contact information is on the first page of this packet.

## Budget Instructions

Use budget forms provided. Note: There are **two** different budgets you must submit:

- Agency Budget
  - should be the budget for the entire organization, separated into Revenue and Direct or Programming Expenses.
- Program Budget
  - should be the budget for this specific program, separated into Revenue and Direct or Programming Expenses. If the program budget and agency budget are the same, simply check the box on the program budget page indicating that. You do not need to fill it out again.
- "Actual Last Year"..... refers to 2008 Calendar Year or 2008/2009 Fiscal Year
- "Operating This Year"..... refers to 2009 Calendar Year or 2009/2010 Fiscal Year
- "Projected Next Year"..... refers to 2010 Calendar Year or 2010/2011 Fiscal Year

### *TOTAL DIRECT EXPENSES*

- refer to the program costs only; in other words, total program costs less administration and fundraising expenses.

### *ADMINISTRATION AND FUNDRAISING COSTS*

- refer to those items that are not related to direct program expenses. Examples may include supplies for a special event, administrative staff time spent preparing grants, costs associated with budgeting or strategic planning, and all staff and non-personnel costs needed for general management purposes.

### *ADMINISTRATION AND FUNDRAISING COSTS/TOTAL EXPENSE (%)*

- refers to the percent you get when you divide the Administration/Fundraising costs by the total expenses.

### *TOTAL EXPENSES*

- equal the total direct expenses plus the administration/fundraising costs.

### *SURPLUS/DEFICIT*

- is the remainder when you subtract the total expenses from the total revenue. Show negative numbers in parentheses.

Percent of Total Program Budget is calculated by dividing the projected amount for that line by the total expense in the projected year. The formula is automatic. For CDBG/ESG program funding requests, please refer to the "CDBG/ESG Uses of Funds Statement" for allowable expenses.

## Accounts

### **NOTE**

Account items are mostly consistent with those in *Accounting and Financial Reporting: A Guide for United Ways and Not-for-Profit Human Service Organizations* (revised second edition, 1989). This book is strongly recommended for those who seek further expansion and clarification of accounts, or for guidelines to establish/redesign an agency's internal accounting practices.

CDBG and ESG recipients are subject to the provisions of various OMB circulars related to audits, cost principles, grants and agreements between funders and nonprofit or government agencies. Please check with your finance department and/or your funder if you have questions.

Should you have any questions about any of the line items, please contact the funder.

## Lake County Specific Instructions

This application is for a portion of CDBG funds designated for public/humanitarian services and for ESG funds. Applications for other CDBG funds and HOME funds is available on the Lake County website.

Please note – specific instructions related to Lake County’s grant programs are available at <http://www.lakecountyl.gov/Planning/CommunityDevelopment/Apply.htm>

### Funds Available - 2011 Budget

Please note – all 2011 budgets are based on 2010 Grant Allocations. The actual allocation is not known until after the application process

Estimated 2011 Available CDBG Public Services Funds	
Fair Housing Activities.....	\$75,000
Maximum allowable remaining use = 15% of overall grant.....	\$339,816
Estimated 2011 Available ESG Funds.....	
	\$107,000

*Please note* – the recently passed HEARTH Act may have an impact on the amount of funds available for and uses of ESG. Community Development staff is monitoring the implementation of this legislation for its potential impact on Lake County programs.

### Applicant Requirements

Applicants may apply **only** for **either** one (1) CDBG funding request **OR** one (1) ESG funding request per agency/entity, **but not both**.

Applicants may apply only for the goals approved for the 2011 Application Process – more details are available in the Lake County Community Development Application Instructions. The goals are:

- 2.1 – Emergency Shelter
- 2.5 – Homelessness Prevention
- 3.2.1 – Basic Food & Nutrition Needs
- 3.2.2 – Basic Health Needs
- 3.3.1 – Security of Employment
- 3.3.2 – Access to Services
- 3.3.3 – Security of Family & Social Stability
- 3.3.4 – Behavioral Health

Applicants/programs must:

- be either units of government, public not-for-profit entities or private not-for-profit entities;
- be open to all residents of the county and must target beneficiaries outside North Chicago and Waukegan to be eligible for Lake County CDBG funding;
- have applications for:
  - 1) CDBG: a minimum of \$25,000 and for no more than the maximum of \$50,000
  - 2) ESG: only for \$25,000

## Special Emergency Shelter Grant Program Notes

The U.S. Department of Housing & Urban Development requires all recipients of ESG funds to participate in the Lake County Continuum of Care's Homeless Management Information System (HMIS). Contact Peter Duggan at 847.377.2331 with any questions related to the HMIS.

Eligible ESG activities include:

- Renovation, major rehabilitation, or conversion of buildings for use as emergency shelters for the homeless;
- Provision of essential services to the homeless (e.g. counseling, transportation...);
- Expenses associated with the maintenance, furnishing and operation of homeless shelters; and
- Development and implementation of homelessness prevention activities.

## Match/Leverage

All applicants must be able to provide funding for a portion of the proposed program from other sources.

- CDBG = at least 20% of the total program cost
- ESG = at least 50% of the total program cost (dollar for dollar match)

## Miscellaneous Directions

Application Packets will be made available online on or before September 1, 2010. It is **required** that all Lake County CDBG and ESG applicants for public services attend the Consolidated Application Workshop on September 14, 2010 and submit a Letter of Intent by October 1, 2010. Applicants are also strongly encouraged to attend the Program Outcomes Workshop on September 21, 2010; the quality of each applicant's outcomes will affect the overall application score.

Training sessions are intended to provide answers to general questions and to help explain the application. Applicants tend to be much more successful after attending a training session. Please respect RSVP requests for training sessions. **Reservations are required for the mandatory Consolidated Application Workshop.**

**Prior receipt of funding does not ensure or suggest ongoing financial support. Agencies should not become dependent on CDBG or ESG funding to sustain their programs.**

Lake County staff and the Community Development Commission reserve the right to reject from consideration any CDBG or ESG applications that meet any of the following:

- Does not clearly meet a program National Objective;
- Does not clearly meet an approved goal for the 2011 application process;
- Does not comply with the restriction of one (1) CDBG or one (1) ESG request per agency/entity;
- Is deemed incomplete and/or requires significant work to repair the original application submittal;
- Raises questions about an applicant's ability to effectively administer the requested project/program;
- Does not attend the Consolidated Application Workshop (if required);
- Does not submit a Letter of Intent – Checklist on time;
- Does not submit an Application on time.

All complete applications, submitted on time, will be subject to review and evaluation by the Community Development Commission (CDC) and Community Development staff. The screening and review process for the program is designed to ensure that limited CDBG/ESG funds are awarded to applicants who demonstrate the need for financial assistance and have a well-designed project. The actual number and types of awards will be subject to available funding. The CDC and Lake County Board make the final determinations of grant awards and amounts awarded, and reserve the right to modify or to cancel grant awards in part or in their entirety.

Lake County staff are available for one-on-one technical assistance to all applicants, especially new/first-time applicants, until the application deadline. Individual technical assistance appointments with Lake County Staff can be arranged by calling 847.377.2150 Monday through Friday, 8:30 a.m. to 5:00 p.m. Be sure to schedule an appointment early enough to allow sufficient time to complete the application before the deadline.

## Timeline

- *Application Workshops*
  - Public Services/Homeless Assistance..... September 14, 2010 – 9:00am
  - Outcomes Workshop (Optional)..... September 21, 2010 – 9:00am
- *Mandatory Letter of Intent and Checklist due:*
  - October 1, 2010 – 4:00pm
- *Application Due Dates:*
  - October 29, 2010 – 4:00pm
- *Review Panel hearings of proposals*
  - December 2010
- *CDC Executive Committee makes recommendations for funding*
  - December 2010
- *Public Hearings*
  - January 19, 2011
  - February 23, 2011
- *Community Development Commission approves recommendations*
  - February 23, 2011
- *Program Year 2011 begins*
  - May 1, 2011

## North Chicago Specific Instructions

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### Introduction

The Community Development Block Grant (CDBG) Program provides annual grants through the Department of Housing and Urban Development (HUD) on a formula basis to entitled cities and counties to develop viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for low and moderate income persons.

The City of North Chicago entitlement for the 2010-2011 program year is expected to be \$304,000. Funding is concentrated into six broad areas:

Area 1	Housing Activities
Area 2	Economic Development Activities
Area 3	Public Improvement Activities
Area 4	Public Service Activities
Area 5	Administration
Area 6	Urgent Needs

Areas 4 and 5 have funding limits of 15% and 20% caps of the total entitlement for the that program year. **Applications for the North Chicago Public Service activities must be a minimum of \$5,000.**

### Application Requirements

The City of North Chicago's CDBG application process is designed to assist agencies that provide eligible activities that directly contribute to the goals and objectives of the Consolidated Plan.

In order to apply for funding, the applicant must meet the following requirements: 1) meet national objectives, 2) is an eligible activity in accordance with HUD regulations, 3) is a high or medium priority need in the *Consolidated Plan*, 4) has a measurable level of success, 5) has a history of success or the applicant has experience administering the project, and 6) is requesting a reasonable level of funding with the appropriate amount of leverage from other funding sources. Also, the organization must meet the following administrative requirements: 1) document income levels and residency, 2) maintain accurate financial records, and 3) submit accurate reports by the deadlines.

Applicants are required to leverage at least 20% of the total project costs. For the purpose of this CDBG program, leveraging is defined as "any funds or resources, other than CDBG funds, offered the applicant toward the successful completion of the proposed project." CDBG funds, including those awarded in other funding rounds, may not be included in the leveraging funds.

This program is designed to fund particular projects or activities to be undertaken by local organizations. CDBG funds are not intended to be used as the primary source of general operating funds for any organization.

Applicants must demonstrate the financial management and programmatic expertise to successfully administer and maintain eligible activities. This expertise can be demonstrated through previous experience in successfully administering projects.

Each eligible applicant is limited to one application per program year. Only local non-profits and special purpose government units (park districts, etc.) whom have been operating for **at least one year** may



apply for funding. Departments of the City shall be considered individual units of government for application purposes. Only units of general local government may submit “on behalf of” applications for local entities that otherwise may not be able to apply.

Funding applied for must directly benefit North Chicago residents only. Of those participating, 51% or more must meet income eligibility for activities qualifying as benefiting low and moderate-income persons.

Applicants are required to attend a public hearing and make a professional presentation to the Citizens Advisory Committee (CAC) at a date to be established by Community Development staff. **Failure to attend this public hearing will result in automatic disqualification of application eligibility.**

**The attached cover sheet and all parts of the application must be typed.** Prior to submitting your application to CDP, please ensure that all items listed in this application are addressed. Enclose all supporting documents with the application and *do not leave any sections blank or questions unanswered*. If an item does not apply to your agency or project, state such and give supporting reasons. **The CDP staff is unable to complete the review process for incomplete applications and you will forfeit your eligibility by not including all required information.**

### National Objectives

All public service projects funded with North Chicago CDBG funds must meet one of the CDBG National Objectives: 1) benefiting low to moderate income persons, 2) preventing or eliminating slum and blight or 3) meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available to meet such needs.

### Eligible Activities

Under current regulations, projects assisted with CDBG funds may include but are not limited to: acquisition of real property, relocation and demolition, rehabilitation of residential and non-residential structures, construction of public facilities and improvements, such as water and sewer facilities, streets, neighborhood centers and the conversion of school buildings for eligible purposes, public services, within certain limits and for activities relating to energy conservation and renewable energy sources. Entitlement communities may also provide assistance to profit-motivated businesses to carry out economic development activities.

Types of activities that are generally *ineligible* include: buildings for the general conduct of government, political activities, income payments and construction of new housing and other facilities offering 24-hour care. In addition, in accordance with First Amendment Church/State principles, as a general rule, CDBG assistance may not be used for religious activities.

**Applicants are required to submit a letter of intent and attend any and all training and orientation sessions offered.**

The letter of intent helps staff schedule review panels and applicant presentations. Training sessions are intended to provide answers to questions and to help explain the application. Applicants tend to be more successful after attending a training session. Please respect RSVP requests for training sessions. Materials are not guaranteed and may not be available for those not registered.

The Community Development and Planning Department (CDP) retains the right to reject any or all applications received and to negotiate or to cancel, in whole or in part, any application or grant award. Costs incurred in the preparation of applications are not reimbursable under this program nor may they be included as project leveraging.

The CDP staff is available to provide technical assistance to any applicant. If you need assistance, please schedule an appointment by calling 847.596.8670. Be sure to schedule early enough to allow time to complete the application before the deadline. **No applications will be accepted after the stated deadline, regardless of circumstances.**

## City of Waukegan Specific Instructions

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### Application Process

Because CDBG funding is limited, each application is scrutinized carefully and grants are awarded based on the proposal's ability to address the identified priority needs (detailed in the Consolidated Plan and Annual Action Plans), how the proposal fits into the City's overall comprehensive plans, the proposal's logic and merit, qualifications of the applicant, past performance with CDBG grants, compliance with Federal regulations and other appropriate factors. **Funding is not guaranteed to any agency.** Past receipt of a CDBG grant does not guarantee, nor should it be interpreted as a commitment of ongoing financial support. Applicants should seek out as many different funding sources as possible and not become largely dependent upon CDBG dollars. Minimum leverage amount is 25% of the total project costs. Highly leveraged projects are viewed favorably and strongly encouraged. **Applications for Waukegan Public Service activities must be for a minimum of \$5,000.** Applications not meeting the criteria listed above will not be considered for funding.

After the initial approval process has been completed, all applicants will be notified in writing of their status. Once CDBG funds are available (always after May 1 and sometimes as late as September), successful applicants will receive subrecipient agreements that specify special grant conditions and terms. Agreements must be signed prior to initiation of the project or any release of funds. No project costs may be incurred prior to CDBG authorization. Projects may not begin prior to our notification that funds are available. Projects initiated prior to our authorization will not receive allocated funds and may jeopardize future funding opportunities. All funds will be released on a schedule established by CDBG. CDBG staff reserves the right to monitor all subgrantee files related to funded projects. Subgrantees are expected to keep complete, accurate and current records for these projects. Progress reports will be submitted on a schedule established by CDBG but not less than once each quarter.

The Waukegan Community Development Block Grant office reserves the right to reject any or all applications received and to negotiate or to cancel, in whole or in part, any application or grant award. Costs incurred in the preparation of applications are not reimbursable under this program nor may they be included as project leveraging.

**Applications will be accepted from nonprofits and government agencies whose programs have been in operation for at least one year.** Departments of the City of Waukegan shall be considered individual units of government for application purposes and are eligible to apply on their own behalf. This program is designed to fund particular programs or activities that benefit Waukegan residents and will be undertaken by local organizations. CDBG funds are not intended to be used as a source of general operating funds for any organization.

### Eligible Activities

Activities that can be carried out with block grant funds include those items listed in the Consolidated Plan as priority needs for the Community Development Block Grant Office. Types of activities that are generally ineligible include: buildings for the general conduct of government, general government expense, political activities, purchase of construction or fire protection equipment, purchase of furnishings and personal property, operating and maintenance expenses for public facilities, income payments and construction of new housing and other facilities offering 24-hour care (except as allowed by 1990 Housing Act amendments). In addition, in accordance with First Amendment Church/State principles, as a general rule, CDBG assistance may not be used for religious activities. Thusly, funds may

not be used for any activities of a religious nature or activities with religious components. *Waukegan CDBG will not fund an agency's general operating costs or purchase equipment. Expenses must be linked with a particular activity.*

## National Objectives

All public service projects funded with Waukegan CDBG funds must meet the CDBG National Objective of Benefit to Low Income Persons [Extremely Low (0 -30% of median income), Low (31-50%), and Moderate Income (51-80%)]. This benefit can take place either as an Area Benefit Activity or as a Direct Benefit Limited Clientele Activity.

*Area Benefit Activities* serve areas delineated by the applicant where a majority of the residents are low-income persons. Such areas can be documented through either of two methods: 1) Census Block Groups in the delineated area are defined by the most recent U.S. Census as containing more than 51% low income residents (see the CDBG target areas map for areas already documented as income qualified), or 2) An approved income survey in the delineated area finds more than 51% of the residents to be at or below the HUD-defined current low income levels. In determining whether an activity will actually benefit low-income persons, the net effect of the completed activity shall be considered. Mere location of an activity in a low-income area, while generally a primary consideration, does not conclusively demonstrate that the activity benefits low income persons.

*Direct Benefit Limited Clientele Activities* are those that benefit a limited clientele, at least 51% of whom are low-income persons. To qualify under this paragraph, the activity must meet one of the following tests: 1) Benefit a clientele presumed by HUD to be principally low income persons (groups meeting this criterion are: abused children, battered spouses, elderly persons, disabled persons, homeless persons, illiterate persons and migrant farm workers); 2) Require information on family size and income so that it is evident that at least 51% of the clientele are persons whose family income does not exceed the low income limit; 3) Have income eligibility requirements that limit the activity exclusively to low income persons; or 4) Be of such nature and be in such location that it may be concluded that the activity's clientele will primarily be low income persons.

## Funding Philosophy

The CDBG staff and Stakeholder Participation Panel (SPP), its citizen group, have developed the following funding philosophy for Waukegan's CDBG Program:

Certain areas of Waukegan are designated as being CDBG-eligible. This designation is based on 2000 Census data which shows Block Groups within certain Census Tracts to have residents, at least 51% of whom are low-income. Benefit to low-income persons is one of the National Objectives, which each CDBG project must meet. There are 81 Block Groups within Waukegan city limits. A full 38 of those are income-eligible.

There is a pervasive opinion (shared by the U.S. Department of Housing and Urban Development) that the targeting of assistance to certain designated areas can cause drastic improvements within neighborhoods, both to the specific projects and activities being funded, and to other aspects of the neighborhoods. For example, it is often seen that, when housing rehabilitation assistance is provided to one home, the neighbors make an effort to improve the appearance of their properties, as well. It stands to reason then, that if facilities improvements, social services and housing improvements were made to specific areas at the same time, the net effect of the improvements within a neighborhood would be exponentially greater than the individual efforts themselves. It is expected that the targeting and

concentration of activities in designated areas will not only benefit the direct recipients of assistance, but the community as a whole.

Funding priority will be given for eligible projects (meeting all other criteria for funding) that serve residents of the income-eligible areas of Waukegan, particularly those projects that take place within those areas. Projects may be either Area Benefit activities or Direct Benefit Limited Clientele activities, but clientele should be the residents of the designated areas.

All projects will also be required to provide a minimum of 25% of the project costs as leverage or match. This match must be monetary and sources must be identified. In-kind contributions (with monetary value specified) may be included as additional leverage, above and beyond the required 25%. Costs incurred in preparation of applications for funding are not allowable as leverage.

Some factors (in no particular order) that will be considered in selecting projects to be funded include:

- How well does the proposal address the identified priority needs (detailed in the Consolidated Plan and Annual Action Plans)?
- How does the proposal fit into the city's overall comprehensive plans?
- Does the proposal have logic and merit?
- What are the qualifications of the applicant?
- What is the applicant's past performance with this project and with CDBG?
- Is the project in compliance with Federal regulations?
- What is the quality of proposed outcomes? Are they meaningful, reasonable, measurable and attributable to the proposed project?
- Does it address areas of greatest need?
- Does it consider what the clients want in terms of outcomes?
- Is there consultation and collaboration with other agencies?
- Does it include agency investment in working specifically with residents?
- Does it address more than one community need?

### Additional Information

Agencies may only submit one application for funding to Waukegan CDBG each year. Collaboration between agencies is strongly encouraged. The ability of applicants to partner with other applicants (either in one application or each agency submitting their own) helps our resources to go further within our community. We define collaboration as an actual team approach, not just a referral system.

Applicants addressing the identified need areas of youth services, senior services, basic needs services (food, shelter, etc.), and transportation will be considered (based on other criteria and qualifications) before those meeting other need areas. The identified housing rehabilitation needs will be addressed by the CDBG-operated program.

For projects that service clientele from both Waukegan and other communities, the applicant must be able to document the total number of clients served and the number who reside in Waukegan. In addition, the percent of benefit to clients from Waukegan must be equal to or greater than the percent of project cost funded by CDBG.

Any entity or organization with a religious affiliation must provide a statement of the religious influence on the provision of the program/project/activity for which funds are requested. Funds may not be used for any activities of a religious nature or activities with religious components.

All applications must be complete, demonstrate administrative capacity of the applicant to conduct the activity, address a stated priority and meet a National Objective and eligibility requirements as described. Applications not meeting these criteria will not be considered for funding.

Application instructions should be followed exactly. All requested information must be included. If an item does not apply, please make a statement as to why the item is not applicable; otherwise, the application will be considered incomplete. Applications must be typewritten. Be sure to include the section heading and the number of the question with each answer, and answer every question.

Applicants must submit one original (with original signature in ink, preferably blue) and 10 complete copies of the application.

No application revisions or additions will be allowed after the stated deadline. Allow sufficient time to complete the application and have it double checked by another member of your staff prior to submission. **No applications will be accepted after the stated deadline, regardless of circumstances.**

CDBG staff is available during regular business hours to provide technical assistance to any applicant. We are available to answer both general application questions and questions specific to the project for which you are completing an application. If you wish to make an appointment, it is recommended that you schedule early in the process to allow sufficient time to complete the application and not take the chance of running out of time to complete the application. Depending on staff schedules, appointment times may fill quickly. If you make a technical assistance appointment, please be sure you have read the application and have prepared specific questions.

**It is strongly recommended that applicants (especially new applicants) submit a letter of intent and attend any and all training and orientation sessions offered.**

The letter of intent helps staff begin to schedule review panels and applicant presentations. Training sessions are intended to provide answers to general questions and to help explain the application. Applicants tend to be much more successful after attending a training session. Please respect RSVP requests for training sessions. Materials are not guaranteed and may not be available for those not registered.

Waukegan's review panels have decided to award 10 additional points for those agencies attending trainings. An agency will also receive 5 extra points for submitting a letter of intent by 10/1/10. Points are awarded on a per-agency basis, not per-person in attendance.

Individual technical assistance appointments with Waukegan CDBG staff can be made by calling 847.599.2530, Monday through Friday, 8:00 a.m. to 5:00 p.m. (The office may be closed during lunch hour between 12:00 noon until 1:00 p.m.) Technical assistance is not designed to replace application orientation; but rather, for additional clarification and follow-up questions.

## Program Outcomes Specific Instructions

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### Overview

#### 1) PREVIOUS PROGRAM OUTCOMES

- Identify 1-3 client-based outcomes achieved for the 2009 calendar year or 2009 Program Year ending in 2010.
- Provide the total number of recipients served during that year. If you use a program year, explain when it begins and ends.
- State the Outcome, Results, Strategies, method of Measurement, Changes to be made and information for Outcomes with Incomplete Data.
- When reporting Results, state the number served and percentage of achievement, not just whether they have been "achieved" or "not achieved."
- If you did not set outcomes for the current or most recent years, provide some form of program goals and corresponding results.

#### 2) PROPOSED PROGRAM OUTCOMES

- Identify 1-3 client-based outcomes for the coming Program Year 2011.
- State the Outcome, including the related Strategies, method of Measurement, Target Dates, Rationale and the Long-Term Effects for those activities.
- Outcomes must be specific, measurable, client-based, and realistic. They should measure some of the most significant impacts of the program, rather than encompass every aspect.
- The rationale should explain why the goal was set at that level.

### Important Notes:

- The headers at the top of each sheet are labeled, beginning with Past Program Year Outcome #1 (up to #3) and continuing to Projected Outcome #1 (up to #3).
- The Past Program Year Outcomes refer to the 2009 calendar year or 2009 Program Year ending in 2010.
- Please make sure that there is only one outcome on each page.

Outcome measurement is the process of assessing the results of an agency's programs for its participants on a regular basis. By focusing on outcomes, we are seeking information how participants will benefit from the program's activities and outputs.

### Key Definitions:

Outcomes are created as a result of programmatic Inputs, Activities and Outputs. Often Outcomes are confused with these other components of programming, which are quite different.

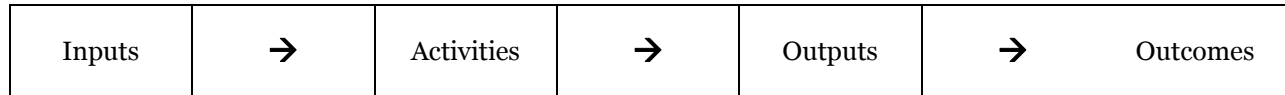
**Inputs** include resources dedicated to or consumed by the program, such as money, staff and staff time, volunteers and volunteer time, facilities, equipment and supplies.

**Activities** are what the program does with the inputs to fulfill its mission, such as sheltering and feeding homeless families or training and counseling homeless adults to help them prepare for jobs.



**Outputs** are the direct products of program activities. They usually are measured in terms of the volume of work accomplished, such as the numbers of participants served and materials distributed.

**Outcomes** are benefits or changes for individuals or populations during or after participating in program activities. Outcomes may relate to knowledge, attitudes, values, skills, behaviors, conditions, or other attributes.



### How To Write Outcomes

An outcome-oriented objective is a problem related, attainable and measurable statement of a program’s intended effect on its client’s knowledge, skills, attitudes, behavior or condition.

Simply put, a client-based outcome is:

- **Focused** on what the *client* will gain from the program
- **Measurable** and defines how it will be measured
- **Specific**
- **Attainable** and can be attributed to that program
- **Understandable** to someone outside of the program

The outcome statement must include specific *targets*, how they will be *measured*, and the *strategies* or steps that the program must accomplish in order to meet the targets. The outcomes must be specific, telling what the client will get out of these services (not just that clients will be served, counseled, etc.). When giving level of achievement, state the number served/percent increase, not just "achieved" or "not achieved." They do not need to encompass every aspect of the program.

### OUTCOMES - Example

<i>State the Outcome</i>	<i>Strategies</i>	<i>Measurement</i>	<i>Target Dates</i>	<i>Rationale</i>	<i>Long Term Effect</i>
X number of clients will accomplish Y for/in Z amount of time.	Describe how the outcome will be achieved.	Describe the methods used to assess the outcome.	What are the target dates for this outcome?	Explain why the outcome, target and strategies were chosen. Discuss how the results are attributable to this program. For previous outcomes, explain why a goal was overachieved, underachieved and any plans to change in the following year.	Explain how this outcome is beneficial to clients and/or the community; explanation can go beyond the term of your funding request.
50 clients, formerly on TANF, will get and keep a job	200 clients will go through a job skill workshop. 100 clients will be placed in a living wage job.	Caseworker and client report.	6 months after completion of job skill workshop	This goal is attainable because follow-up will be done weekly, and support will be given when needed to all working clients to insure the success of the placement...	Statistics show that the success of the community is proportional to the number of residents making a living wage. Children do better in school, are healthier...