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VOL I

A TRAINER'S MANUAL

FOR

COMMUNITY ACTION AGENCY BOARDS

Discussion Draft

**OFFICE OF ECONOMIC OPPORTUNITY
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CAA BOARD TRAINING

AN OVERVIEW OF
OBJECTIVES AND TECHNIQUES

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INTRODUCTION

A. The Need For Board Training

The role envisioned for community action boards is both formidable and ambitious. Legally a board is the OEO grantee, and with that status has certain broad responsibilities which require a wide range of skills and knowledge. A board is responsible for the plans, policy-making decisions, and general direction which ensures that a Community Action Program serves the community and meets OEO's requirements. However, this does not imply that it administers programs for which CAA directors and their staffs are responsible. Since a board has responsibility for hiring the director and overall planning of the program he administers, it should have an effective working knowledge of:

- The best ways to meet the needs and solve the problems of the community;
- The principles of good administration, personnel and financial management; and
- OEO's philosophy, policies, and administrative guidelines

In addition, to these, close relations with the community at large, productive board interaction, and effective working relationships with CAA staffs are all essential ingredients of strong board leadership. Unfortunately, reality often falls far short of the ideal; in actuality few boards fulfill the role expected of them. The reasons are not too difficult to understand. Many boards are large and unwieldy. They often have a fragmented membership since members come from various segments of a community. Moreover, some board members have little experience with the Community Action Program. Few can devote the large amounts of free time that are necessary to make effective and lasting contributions to board activities. The extent to which this holds true, naturally varies from board to board. But, in general, it is a fair observation that many boards are not geared up to exercise the active role expected of them. Power usually gravitates to those who choose to wield it. As often as not, it is the CAA director who, in the absence of an effective board, ends up with it.

The assumption behind this training manual is that boards do need training. Individual board members, given their diverse backgrounds, must develop greater understanding of each other in order to function more effectively as a working group. Each one must learn to understand his constituencies and the political constraints governing the behavior and attitudes of other members. Each board as a whole must become aware of its responsibilities and of the options it has to meet them. Practically every board, and certainly some members of every board, could benefit from training that leads to greater self-awareness and a clearer definition of roles and responsibilities vis-a-vis the community it serves and the community action agency it directs.

B. Training Principles to be Observed

Training is most effective when the participants learn through processes and situations simulated to the real world with which they must deal. Insofar as possible, therefore, training sessions should be structured around problems and issues faced by the particular board being trained. Some exercises are necessarily abstract; but the principles and lessons learned from them should be applied subsequently in an actual discussion and decision-making process. Participants must plan the action they will actually carry out on their board.

C. Role of the Trainer

Given this context, as a trainer you must have prior knowledge about the community, the CAA, and the board itself if you are to include subject matter that reflects problems faced by the board. If possible sit in as an observer on one or two board meetings before the training program begins, this will help you identify the board's basic issues and problems.

Your role in the actual training situation is to serve as guide and facilitator, leaving the participants to draw as many of their own conclusions as is practicable within the overall structure of the program. Your functions are to set the ground rules for each exercise,

select relevant subject matter for discussion (with the help of the Board members), and, when necessary, guide participant discussion toward the appropriate conclusions. You should bear in mind that your role is not to lecture or to preach, but to act as an agent of change -- a catalyst--to help the Board increase its awareness of itself and its functions through a mutually shared learning experience.

II. DEVELOPING OBJECTIVES AND COMMITMENT

A. The Challenge of Developing Objectives and Commitment

In training and developing any group you need first to identify objectives or goals. In other words what problems will the training help alleviate? What changes will it bring about? Besides objectives for the training, you need the commitment of the persons receiving the training. If they are to apply themselves to acquire new knowledge, attitudes, and skills they must have an interest in training. They must believe it will help them solve their problems and accomplish their goals.

The process of developing objectives and commitment is compounded in the case of boards because of their unique feature ; a board is composed of volunteers. As such, its source of income and basic ties are not with the board. A board is culturally heterogeneous; members from business may think they have little in common with low-income representatives and vice versa. Remember, you are faced with a very diverse group of people, some of whom may have no interest whatsoever in the development of the board.

Since each board is unique the process you will follow in developing objectives and commitment will vary. However, there are basic steps which can serve as a yardstick for board development specialists and trainers.

B. Developing Rapport and Acquiring Knowledge

Only in instances when you find a very receptive board will you be able immediately to begin identifying specific training objectives and developing a training plan. In most cases, you need to devote a lengthy period to developing rapport with board members and developing your own knowledge of the board and the community it serves.

Develop a relationship with the board which rests on trust and confidence. You should be one who listens attentively to their views and empathizes with their concerns. Be available to assist any member or group of members on such matters as planning an agenda, developing a resolution, locating a consultant--take an interest in their problems and demonstrate a helping commitment through small acts of assistance.

Developing a group requires a much more indirect approach than the more narrow task of simply serving as a trainer-instructor. Rather than symbolizing an authority figure who is always prepared to give advice or the last word on any problem, you should be more of a confidant who works behind the scenes. Don't tell the board what it needs; be a resource person who helps it arrive at its own conclusions about its needs. For example, rather than simply telling it the type of training programs you feel it needs, work with its training committee to develop a program and have the committee present it to the full board for its approval. An indirect approach is essential when you are seeking to advance both a board's internal unity and its operational effectiveness.

Some of the actions you can take to develop rapport with board members include:

- .Visit with the board chairman. Initially ~~do~~ this to become acquainted and to develop a positive relationship. Later on you will gradually learn the problems he faces and the changes he would like to see in his board's operations.
- .Accompany the board chairman when he meets with the CAA director and when he visits some of the agencies' program sites and delegate agencies.
- .Meet with individual members of the board at their places of work or at lunch. Learn about their jobs and the work of their organization or agencies. Listen to their pet peeves and gripes, their thoughts on the community's major problems and ways the board could better help counteract these problems. Demonstrate your interest in them by offering your assistance on small matters. For example, you might obtain an important piece of information or help them bypass red tape.
- .Attend board meetings as an observer to learn its major concerns, mode of operation, internal difficulties, and likely training needs. Identify its leadership structure and various subgroups. To become acquainted, mix with the members before and after their meeting. Be an attentive listener and friendly discussant. Try to avoid developing a negative image, such as being dogmatic, hypercritical or opinionated.

Initial impressions have a significant part in how effective you will be as a board development specialist or trainer.

.Meet with board members who are heads of neighborhood councils and other community organizations. Attend meetings of these groups and learn about their concerns and their impressions of the CAA board and its members.

Acquiring knowledge about the board, its problems, and the community it serves will be part of your initial contacts. However, once you are acquainted and accepted by a board, you will be able to give more specific direction to acquiring knowledge and identifying problems. The length of time you spend on this task could range from three weeks to three months depending on such factors as the board's receptivity to training and the amount of time it takes you to make these contacts.

You need a thorough understanding of the board's operations, the relationships among its members, and the community it serves. As a development specialist, your goal is to bring about changes which will at least alleviate some of the problems the board faces so it can perform more effectively. This learning phase of your work should center on identifying problems which training will help alleviate.

You should begin to meet with board members, CAA staff members, the field representative, community leaders and others for the specific purpose of identifying problems. Let them know that your work is now centered on data collection in order to develop an adequate understanding of the board and the community. You will also want to encourage the members to reflect on the effectiveness of their board and the changes they would like to see in its operation.

To be competent and responsive, you need a thorough understanding of the community. Visit the local library and read reports on the community, its

people and physical features. Seek out teachers who are knowledgeable about the community. Meet with local officials and leaders. Identify those who support and those who object to community action. Read all local newspapers to learn the current conditions, issues and spokesmen. Attend local hearings and meetings of groups such as community councils, citizen associations, school boards, and community action movements. Visit places (such as restaurants and stores) where people from the community congregate. Learn about their views and problems. Identify the barriers they face in attaining their aspirations.

As you obtain this information, you can also prepare a simple exercise for the board that will determine the extent to which it knows the community it is serving and help it recognize its need for training. Take a few minutes at one board meeting to have the members complete the exercise. Tell them it is only a brief questionnaire which will help identify subject areas to include in their training. Have them answer fundamental questions about such things as their community's size, population, leaders, racial and ethnic groups, income disparities, organizations and conditions of its low income citizens. Have them complete it anonymously. After you have compiled the results, write them on a blackboard or chart and point out the areas where knowledge is most lacking.

C. Working with the Training Committee

A board training committee can serve as an excellent vehicle for involving a board in identifying its training objectives. Unfortunately, not all boards have active training committees, if they have a training committee at all.

In some cases, your first task will be to try and have a training committee established. In your early contacts with board members seek to identify members who would make good training committee members. Look for persons who are interested in training, are

influential on the board and who are easy to work with. Make sure you include low-income representatives in the list of members you would like to serve on a training committee.

In your discussions with board members explain your need for a small group with which you can work on a continuing basis in developing and administering a training program. You might find members who will take the initiative to bring the matter up with the board and push for the establishment of a training committee. In some instances you will want to meet with the board chairman to outline the need for a training committee, to suggest appropriate members and to let him suggest to the board that a training committee be established. If you are unable to get this committee established, have the board appoint one member to work as a liaison man with you. Other members who are willing to help often can gradually be developed into an informal training committee.

Much has already been said about working closely with the training committee. If you're fortunate, you will have a committee interested in training that will work actively to identify the board's training needs, develop a training plan, and sell it to the board.

In your early meetings with the committee (or with a liaison man if a committee has not been created), learn about the work it has done so far and training the board has received. Learn about its current objectives and the training it would like to see take place. Explain the general content of the training available for boards as well as techniques for identifying training needs and developing a training plan.

After you are well acquainted with the committee and are prepared to move ahead with developing a training plan, outline a program for identifying problems the board is facing and developing training for alleviating these problems.

III. IDENTIFYING PROBLEMS AND TRAINING NEEDS

There are a number of techniques you can use for identifying problems and training needs. Many of these are also devices for involving board members themselves in identifying their training requirements. This step includes much more than simply preparing for training. It should also provide significant development experiences for board members and in itself meet a number of training needs. These experiences can help a board develop an awareness of its problems and a commitment to overcome these problems. In particular, these experiences can help improve the working relationships between various groups of board members.

In assessing training needs for a CAA board you should approach as many individuals and groups as possible. Some of the techniques you can employ are:

A. Individual Interviews

By this time most board members will be accustomed to discussing their views on the board's operations. In most instances, you will already have collected much of the data you need through earlier interviews with board members. At this point, you might choose to interview only a representative sampling of board members.

There are a number of other people who can help you identify problems and needs, including:

- The OEO field representative
has knowledge of the CAA's evaluation, i.e., its strengths and weaknesses, including organizational ones, by OEO standards; also knows the problems it shares with other CAAs and its attempts at solving them.
- The CAA executive director
has knowledge of the discrepancies between the board's policy and the implementation of that policy because of limited resources and staff capacity; also knows, at least in part, the board's decision-making problems and what approach, if any, it is using to solve them.
- Representatives from the community
can speak for the population the board serves. They can provide valuable data. For example, are they invited to board meetings, are their views on issues often solicited, have board members visited their community?

-CAA staff

can provide other perspectives, such as the extent the board provides useful directives and to which it interferes with day-to-day administrative operations.

-Heads of delegate agencies

will look at the board in terms of ways it oversees their programs, communicates with them, and provides policy directives.

Before conducting interviews, develop a checklist of questions you will ask so you collect data that can be organized and analyzed in terms of training requirements. The questions below cover the basic questions you need to ask in order to identify specific problems. The questions you ask, of course, will be phrased in a way that is relevant to the particular experiences of the person interviewed.

1. What do you observe that indicates there is a problem?
2. What are people doing incorrectly or not at all? What should they do in this situation?
3. How will you know when the problem is solved?
4. Do most board members know what they should do in this situation?
5. Do some board members know how to do this while others do not?
6. When members don't do what this situation requires, what feedback do they get?

B. Surveys

A survey, either by mail or at a board meeting, will help you identify the general needs of the board and the particular needs of some groups as well as the needs they have as individuals.

It should be a simple checklist (with room for comments), which covers the areas of training offered in this program and the areas in which you feel this board has special requirements. Surveys should be sent out by the training committee rather than directly by the trainer. The attached sample will give you a pattern on which to model a survey.

SURVEY MODEL

Instructions:

1. Read all of the questions listed below.
2. Go through the list again checking all those questions which you see as:
 - a. A subject you need and on which you would like training, or
 - b. A subject on which your CAA board members in general need training.
3. Go back through the list again and check:
 - a. The 15 questions on which your board needs training most.
 - b. Mark these 15 from 1 (the most urgent training need) to 15 (the 15th most urgent training need).

- _____ Why is board training necessary?
- _____ In what activities should a CAA involve itself?
- _____ How can training help a board be more effective?
- _____ What is delivery of services?
- _____ Why are services necessary? Should only low-income people receive them?
- _____ What is the relationship between services and community organization?
- _____ What are the obstacles to improving services?
- _____ How can a board improve services?
- _____ What is community organization?
- _____ What strategies do you employ in community organization?
- _____ What is our staff doing in community organization?

- ___ How can our board improve its work in community organization?
- ___ Why have resident participation?
- ___ How can we identify, interest and recruit the human resources of the community?
- ___ What persons can we involve?
- ___ How can we best utilize community resources?
- ___ What does "mobilization of resources" mean?
- ___ Why is mobilization of resources important?
- ___ What is the role and responsibility of the CAA board in mobilizing resources?
- ___ How can resources be mobilized?
- ___ What specific actions can the board and members take to increase mobilization of resources?
- ___ What is coordination?
- ___ How can a board apply coordination techniques?
- ___ How can a board overcome obstacles to coordination?
- ___ What is advocacy for a CAA Board?
- ___ Why should the CAA Board act as an advocate for the poor? Why should I, an individual board member, do so?
- ___ What skills are required for advocating?
- ___ How and where do we advocate?
- ___ Does advocacy for the poor work?
- ___ What can institutional change accomplish?
- ___ What institutions in our community need to change?
- ___ How can a board bring about institutional change?
- ___ What is a CAA Board?
- ___ What are the board's legal responsibilities and powers? How are these fulfilled?

- _____ What are the functions of a board? How are they performed?
- _____ What is policy making? How is it done?
- _____ What are representation and evaluation? How are they provided?
- _____ What is a group? What kind of group is a board?
- _____ How does representation apply to CAA Boards? Is this board representing its constituents effectively?
- _____ What is required for an individual to be an effective group member? What changes do I want to make in my group performance?
- _____ How is influence exerted on a board? What can an individual do to be an influential board member?
- _____ What is the relationship between formal procedures for meeting and informal strategies for selling proposals? How do you use one in support of the other?
- _____ What is the proper relationship between a board and its staff?
- _____ What is the role of the individual board member, board chairman, or committee chairman?
- _____ What is the authority of the executive director?
- _____ What problems do we face in board-staff relationships?
- _____ How can we solve these problems?
- _____ Why delegate?
- _____ What is the board's responsibility for delegated programs?
- _____ What kind of relationship should exist between the CAA boards and delegate agencies?
- _____ Why should the CAA get involved with neighborhood groups?
- _____ How can a CAA help neighborhood groups?
- _____ What is the board's role in administrative management?

- ___ What is a management information system? How can it be useful to the board?
- ___ What specific personnel operations are crucial to the CAA's effectiveness? What is the board's involvement?
- ___ What are CAA board specific responsibilities in financial management? How can they perform them?
- ___ What kinds of decisions should the board make regarding property and supply management?
- ___ What are the board member's responsibilities for public relations? How can they exercise them?
- ___ What is the board's responsibility for planning?
- ___ Why should low-income citizens be involved in the planning process? How can they be helpful?
- ___ What are the basic elements of the planning process?
- ___ What is the grant application process? How is it related to the planning process?
- ___ What is evaluation?
- ___ Why conduct evaluations?
- ___ Who should conduct evaluations?
- ___ What should be evaluated?
- ___ How should a CAA board do evaluations?
- ___ What parliamentary procedures are necessary to conduct a meeting?
- ___ What is an agenda? What are its uses?
- ___ What are the roles of the participants?
- ___ When and why do we conduct meetings?

C. Board Study Groups

Organizing study groups for board members can be an effective device for obtaining comprehensive data for identifying training requirements and for providing board members with intensive developmental experiences.

Work with the training committee in setting up these study groups. The committee should present the plan to the board and appoint members to study groups. You should work closely with the committee in selecting members for each group. In general:

1. Each group would have four-five members and include representatives from different sections of the community - low-income, business and public.
2. Each group would be chartered to:
 - examine the performance of the board in one area.
 - identify the tasks or operations which need to be improved.
 - recommend actions the board should take to make these improvements (both training and non-training actions).
3. Each group would examine an area of performance which corresponds to a subject area of a chapter in this training program.

During the time that these groups are working on their projects the trainer or board development specialist would function as an assistant and motivator for each group. You will want to sit down with each group to help them map out a plan of action and then follow-up frequently to see how they are progressing.

In some cases, you might suggest that they visit the residents of nearby neighborhoods to learn their problems and concerns. You might sit in on group sessions and help them develop effective group analysis techniques. For example, you could encourage silent members to participate or help them develop brainstorming skills.

D. Observations

You will find it helpful to observe at least one board meeting for the specific purpose of identifying group **process** training needs. These needs involve interaction and communication among members and subgroups. You will want to observe both maintenance and task functions. You could use the attached checklist, which includes the categories described below, to help you in these observations. Maintenance functions describe leadership activity necessary to alter or maintain the way in which members of a group work together, develop loyalty to one another and to the group as a whole.

- Giving encouragement: Being friendly, warm, and responsive to others and to their contributions; showing regard for others by giving them an opportunity for recognition.
- Expressing Group Feelings: Sensing feelings, moods and relationships within the group; sharing feelings with other members.
- Harmonizing: Attempting to reconcile disagreements; reducing tension by "pouring oil on troubled waters," getting people to explore their differences.
- Compromising: Offering to compromise one's own position when your idea or status is involved in a conflict, admitting error; disciplining oneself to maintain group cohesion.
- Gate-Keeping: Attempting to keep communication channels open; facilitating the participation of others; suggesting procedures for sharing the discussion of group problems.
- Setting Standards: Expressing standards for the group to achieve; applying standards in evaluating group functioning and production.

Task functions facilitate group effort in the selection, definition, and solution of a problem.

- Initiating: Proposing tasks or goals; defining a group problem; suggesting a procedure or ideas for solving a problem.

CHECKLIST A **Analyzing Group Maintenance Functions**

Directions: Write the initials of group members being observed in the spaces at the head of each column. As the group discusses, tally in the line opposite the function and in the column under his initial each time a member performs a function that helps build group feeling and attitudes. When the discussion concludes you should be able to report how many times each group member performed the listed functions and the total number of times you observed a function performed.

Group building functions:	Initials of Group Members					TOTALS
1. Harmonizing: compromising; reconciling disagreements; getting others to explore differences.						
2. Gate keeping: inviting others to talk, suggesting time limits or other procedures to permit wide participation, keeping talk flowing.						
3. Encouraging: being friendly, warm, responsive through words or facial expression; agreeing with others.						
4. Following: going along with group; being good listener; showing that words are heard.						
5. Standard setting: testing group attitudes toward its procedures; suggesting procedures; stating values or ethics; supporting standards.						
TOTALS						

Comment: (What was climate: warm, cold, friendly, unfriendly, formal, informal, easy, restrained? Other comment?)

CHECKLIST B

Analysing Group Task Functions

Directions: Write the initials of group members you are observing in the spaces at the head of each column. As the group talks, tabulate each time a group member performs a function which helps the group accomplish its tasks. When the discussion ends, you should be able to report how many times each group member performed the listed functions and the total number of times you observed each function performed.

Task Functions	Initials of Group Members					TOTALS
1. Initiating: suggests a new idea, a new way of looking at problem, or a new activity.						
2. Seeking useful information or opinions: requests facts; asks about feelings; asks for ideas or values.						
3. Giving useful information or opinions: offers facts; states a belief; makes suggestions						
4. Clarifying: probing for meaning; defines terms; restates, enlarges or states issues.						
5. Summarizing: reviews; brings related ideas together; restates suggestions of others						
6. Consensus testing: checks to see if group is ready to decide; sends up trial balloon						
TOTALS						

Comment: (Did the group have clear goals? Did they stick to subject? Did they reach decisions?)

- Seeking Information or Opinions: Requesting facts; seeking relevant information about a group concern; asking for suggestions or ideas.
- Giving Information or Opinions: Offering facts; providing relevant information about group concerns; stating a belief; giving suggestions or ideas.
- Clarifying or elaborating: Interpreting or reflecting ideas and suggestions; clearing up confusion ; indicating alternatives and issues before the group; giving examples.
- Summarizing: Pulling together related ideas; restating suggestions after the group has discussed them; offering a decision or conclusion for the group to accept or reject.
- Consensus Testing: Sending up "trial balloons" to see if the group is nearing a conclusion, checking with the group to see how much agreement has been reached.

Special board meetings can be held to identify training needs. If the meeting is specifically for training, some need assessment can be done. For this purpose the board can be divided into small groups. These groups can be asked to discuss questions such as, What would help you to do your job better? Afterwards the group can report to the entire training group. Your interventions should serve to focus discussion on the most suitable training subjects.

E. Evaluating Needs

The process of assessing needs most often results in a large collection of unorganized comments and notes for the trainer to digest. At this point he must evaluate the expressed needs and accord them training priorities. Before making a training plan, however, he should verify his evaluation with all his sources.

The first step is to decide which of the needs can be met in training and which cannot. Some of the expressed needs might simply be for information: I need a copy of the CAA budget. Others might include a request for the solution of a specific problem, such as how to evaluate the operations of a neighborhood center. The basic criterion for the trainer here is whether the need can be dealt with in one of the following types of training:

- skill training (aimed at improving the board members grasp of the CAA's policy-making procedure)
- attitudinal training (aimed at overcoming social or psychological barriers to the smooth functioning of the board)
- orientation training (aimed at giving those who have the needed skills and attitudes the knowledge of where to apply them)

Having determined which needs can be dealt with best through training, the trainer must distinguish between them on the basis of importance. The evaluation process should take into account the following:

1. Frequency of need:

What are the subjects that appear most in the course of your assessment? What does a list show?

<u>times mentioned</u>	<u>need expressed</u>
13	to know how committees function
12	to know how to evaluate the operations of a neighborhood center.
8	to have a copy of the CAA budget

Agency goals:

In the light of the CAA's goals and programs, what kind of training would be most useful?

Trainer's observations:

Often the training group is so close to its problems they cannot see them as clearly as the trainer. From the trainer's perspective, what kind and how much training is required?

IV. PLANNING BOARD TRAINING

A. Preparing Objectives with Training Committee

All of the information you compile should be organized into a report for the board training committee. This report should:

- describe the major problems and training needs identified in each area of board operations studied.
- separate the needs which have little relation to training from those which appear largely to be a training problem (those that are a lack of knowledge, attitudes or personal skills).
- outline a training program which includes objectives, contents and methods to help meet these training needs.

The board development specialist should then help assist the training committee in developing specific objectives and in preparing a comprehensive training plan which can be submitted to the board for its approval.

The attached chart can be used to help a board link training needs to the various chapters of the board training program. (Master chart)

B. Developing Overall Plan

After completing pre-planning steps, the board trainer must develop an overall, general training plan. Designing this plan is imperative because it will be the blueprint for bringing about the desired change--improved performance, new or sharpened skills, a change of attitudes, an additional body of knowledge or concepts.

Develop the overall training plan with the training committee. This will help maintain the level of commitment reached in the initial phase.

The major steps in preparing the general plan are:

1. Setting training objectives. The trainer and the training committee must translate their catalogue of priority training needs into measurable training objectives or outcomes.

2. Developing a schedule for carrying out the total training. This is particularly important for board members because of time limitations and possible resistance to training. It includes deciding what training can be done at regular board meetings and what needs require special training sessions.
3. Selecting subject matter from the board training package. It should be directly related to the identified needs and objectives. Although this should be done jointly by the trainer and the training committee, your role will be critical since you will be the only one intimately familiar with the content.
4. Obtaining consultant assistance. In developing a general plan, decisions must be made on what sessions will require the expertise of consultants. Besides identifying competent consultants, begin to confer with them--briefing them on what is expected of them; soliciting their advice; and preparing them to serve as trainers by exploring the problems and needs they are being hired to meet.
5. Devising an administrative system that will ensure efficient delivery of the training. Decisions must be made on when and where to train; how participants are to be notified; what are the roles of the trainer and the training committee in administering training.
6. Planning for evaluation of training. You and the training committee must decide how to use the evaluation data collected during the training. Will there be a minimum level of acceptability -- that is, if evaluations demonstrate that a session is quite inadequate, will training be reconducted? Will there be provisions for sending evaluative data to the Region? Will consultants be expected to give and/or receive evaluations?

C. Setting Measureable Objectives

Training needs should be restated by the trainer and training committee as an objective. After the actual training the trainer decides whether or not the training was successful. If it was, the participants will have accomplished the objectives.

Because the objectives have to be a statement of what the participants learn, they should be written in terms of what the participants will do, not what the trainer will do. If the individuals in the training program "think" or "feel" differently after training, that does not mean the objective has been accomplished. Skills and attitudes should be measured as they are evidenced in behavior. The participants may "feel" they can do their job better, but they still must "do" it better. The aim of training is to put feelings and thoughts into action. For this reason an objective should refer to the behavior of the trainees.

Stating the objectives in terms of a minimum does not mean that no improvement above that level is desired or possible. The minimum simply means the participants must learn at least that much for the training to be considered a success. This minimum level is not an absolute standard applicable to all CAA boards; it is relative to the need of the board being trained.

If one of the expressed needs were to "report more effectively on committee activities", the trainer might arrive at the appropriate training objective by answering three basic questions:

1. What should the committee members be able to do?

- "run a committee meeting"
- "complete the committee's record sheet"

2. How well should the committee members be able to do this?

- "successfully run a committee meeting"
- "accurately complete the committee's record sheet"

3. Under what conditions should the committee members be able to do this?

- "in a simulated committee meeting"
- "In a simulated committee meeting the committee members will successfully run a committee meeting and accurately complete the committee's record sheet for reporting to the total board."

In this example the aim is not simply for the board members to "accurately complete the committee's record sheet." If they can do this, however, their skill in running more effective committees will presumably have been up-graded.

A simply and directly stated objective should be prepared for each need and it should be cast in terms of an action that is measurable.

D. Planning for Individual Training Sessions

The previous planning steps refer to the development of an overall or organizational training plan for the board. However, it is equally important to plan the individual sessions that compose the general training plan. Here the focus is finer--more concern for detail is needed--and many decisions have to be made to ensure that the training is successful.

One of the primary jobs of the trainer in devising a training session is to select the appropriate material for the session from the board training package. The package is comprehensive. It is not intended to be used in its totality to train board members. The material is flexible; it can be broken down into modules for use in sections or segments, and can be modified to meet local board needs. If necessary, additions to it can be made if it is felt that fuller treatment of an area is required. The trainer must know the material intimately enough to make judicious decisions about its use. In deciding now to select materials for training, refer to the Master Chart, which describes the learning goals for each chapter.

1. Training Actions For Planning A Session

- a. Developing Objectives. The trainer must develop measurable objectives for each session. Many of these are already done in this manual. You may have to adjust or add to them to fit your board's needs.
- b. Developing Training Activities. The trainer must determine the methods and media best suited for the unit. He should decide on what is the best mix of activities since a typical training session lends itself to a variety and combination of methodologies.
- c. Selecting and Briefing Consultants. The trainer must choose the best available consultant (if needed) for the session. He should work with the consultant to prepare him for effective service. This will help avoid an irrelevant, hit-and-run presentation.
- d. Preparing a Lesson Plan. The lesson plan should include:

-Objectives

-Methods

- Aides
- Lead-in and discussion questions
- Probable responses
- Timing
- Introduction and Summary
- e. Planning Administrative Details. This includes:
 - Selecting the appropriate time and place
 - Notifying participants
 - Obtaining aids, etc. (see checklist)
- f. Preparing for Evaluation-This includes:
 - Development of instruments
 - Use of post-tests when appropriate
 - Giving feedback to the training committee
 - Working with the training committee to make necessary revisions and improvements to plans based on evaluation data, e.g., poor consultants, inadequate case-studies, irrelevant films, etc.
 - Following up by observing effects of training. Did board performance improve? If yes, reinforce it. If no, find out why not.

2. Training Arrangements

Once the planning has been completed, the last stage before training is implemented should be to check final arrangements. Using a checklist, such as the one attached, is often helpful.

TRAINING ARRANGEMENTS CHECKLIST

	BEGUN	COMPLETED
<u>Materials</u> --Prepare or obtain materials you will need, such as information sheets, articles, questionnaires, tapes and movies.	_____	_____
<u>Resource Persons</u> --Contact people you plan to use and make sure they can participate. A confirmation letter should specify date, time, place, transportation, expected contribution to programs and fee.	_____	_____
<u>Place</u> --Choose a place based on convenience for participants. Check availability, prices, eating facilities. If you plan to use movies or slides, make sure the room can be darkened. Make arrangements for seating, tables, film projector and screen, podium, ashtrays, drinking water, ventilation, blackboard, easel and other facilities.	_____	_____
<u>Food</u> --Arrange for meals and coffee breaks, if necessary.	_____	_____
<u>Transportation</u> --Arrange transportation to the training place, if necessary. If participants provide their own transportation, send travel instructions. Prepare instructions carefully or you will start the program with angry participants.	_____	_____
<u>Supplies</u> --Make sure you have name tags, paper markers, pencils, evaluation forms, newsprint, masking tape, tape recorder and tape, etc.	_____	_____
<u>Technical Help</u> --Know how to operate the film projector, tape recorder and other special equipment you will be using, or have an operator handy.	_____	_____
<u>Publicity</u> --Be certain the program has been adequately publicized.	_____	_____
<u>Advance Preparation</u> --Give participants as clear as possible an explanation of what will happen. Advance reading can sometimes be helpful.	_____	_____

V. TECHNIQUES FOR BOARD TRAINING

A question sometimes raised in connection with training is this, "Which is more important to a trainer, knowledge of his subject, or ability to teach it?" Actually, there is nothing to be gained by debating this question. The relative importance of one over the other is beside the point; both are essential and dependent on each other. A trainer must have teaching skills plus more knowledge of his subject than he will ever be expected to use.

Training is a highly specialized field. It is not a matter of merely handing out facts and information. It makes use of certain methods and techniques which must be mastered if teaching is to be effective. In board training it has one purpose--guiding members to learn activities which teach them to function effectively in leading CAA efforts to combat poverty.

All the resources at your command must be used to make your instruction real and vital. As an aid to the development of your personal resources, this section presents various methods and techniques of training. The number and types of methods you use during any particular lesson depend upon many factors: the abilities and experiences of students; the lesson content, the objectives to be achieved; and the materials available. All these will determine to a great extent what method or methods are suitable.

Some of the methods discussed in this section can be used with an individual, others require groups; some are fitted for use during a regular board meeting, others require a special session; some are good for one purpose but not for others; some are practical almost anywhere, others aren't. If you bear in mind that there is no sharp line of demarcation between methods and that no label can completely describe exactly what an instructor is doing, a classification of methods may serve a useful purpose. The various methods are classified on the next page only for purposes of explanation.

A. Overview

In selecting techniques for board training, consider the following criteria:

-Maximum Impact

Board members should learn through personal experiences. Generally you should utilize participant centered techniques, such as role plays and buzz groups, as opposed to lectures, panels, and other techniques in which the members have a more passive impersonal role.

-Trainer's Competence

Use techniques with which you are competent. Poor execution may cause problems that cannot be resolved afterwards.

-Coordination

Techniques should be applied with a general building block approach in mind, i.e., as the group becomes familiar with training techniques, more complex methods can be employed. (After it develops a vocabulary and skill for analyzing its experiences, involve it in more demanding group exercises.

-Time

Allot adequate time for both the use of a technique and group discussion of its results. In role playing, for example, the usual ratio is 1:2 (15 minutes for a role play and 30 minutes to discuss the experience).

-Objectives

Assure that the techniques are the best available for increasing the board's understanding of its problems and developing its abilities for dealing with them.

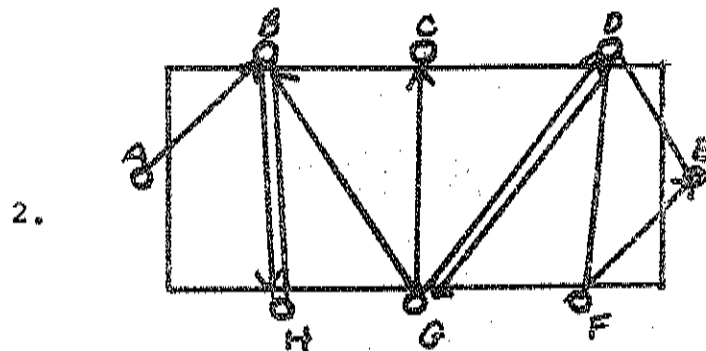
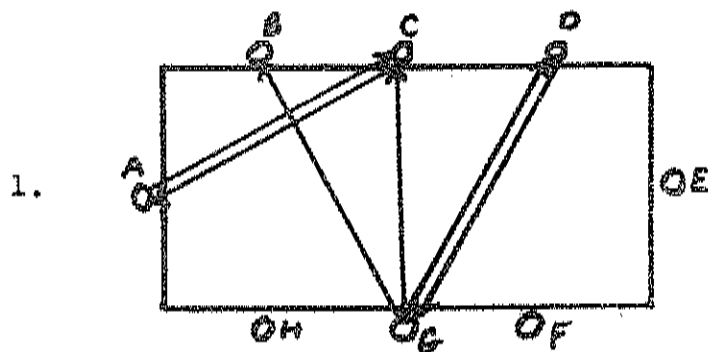
The following discussion briefly outlines the major training techniques:

B. Guided Group Discussion:

In training, guided group discussion and interaction involve providing the participants with group experience and guiding them in analyzing and generalizing of these experiences. For effective discussion, you should use, when appropriate, the following devices:

1. Process Analysis:

When you observe what is being discussed, focus on task. When you observe how it is being discussed, focus on process. Task functions center on decision-making and problem solving by a board. Process or maintenance functions involves the way members work together in decision-making and problem-solving. Whether a situation helps or hinders learning depends on the group process. You should observe the group or subgroups at short regular intervals. One method you can use to record the process for subsequent discussion is to diagram it:



Number 1 indicates that discussion was primarily between a-c and d-g. There was also discussion between g-b and g-c. The chart could be used, for example, to remind yourself and to illustrate to the group that the discussion was dominated by g. The only challenge to g's dominance perhaps came from a. Number 2 indicates that all members were involved. It also could indicate that c was only talked at by g and did not participate actively; that only g, d, and h directed

their discussion to more than one member. In any case, charting like this is not an exact art. It simply serves to remind you of interaction and to enable you to illustrate it for the participants. You can use charts to illustrate "what is happening in the group", and how it affects their learning. Checklist A offers an example of another chart which you can use to list tasks by board members. Checklist B offers a similar example for maintenance functions. (See p.) By analyzing and charting group processes, you will also develop the board members' skill at analyzing their own process.

2. Fishbowl:

One technique used to increase a group's observation skills is called the "fishbowl." In this case, a board is divided into two groups--A and B. Group A is arranged in a circle, surrounded by group B. Group A is then given a topic to discuss while group B observes. Group B charts the process and its effect on content. In charting the process you can assign each member of group B one member of group A to observe. You can have them use checklist A and B to chart the interaction or use a similar checklist which gets at other aspects.

3. Buzz Group:

Often the group is too large or the topic generates discussion which cannot be handled in one group. In these and similar situations, the group should be divided into smaller groups of three to six people. Usually, each buzz group is asked to appoint a leader and recorder. When the topic has been adequately discussed by the buzz groups, they rejoin each other and report their findings. This technique ensures that each individual has an effective opportunity to contribute and learn.

4. Power Game:

A number of arrangements can be employed to provide board members with experiences in the role of power and techniques for exerting influence on a board. This type of game is especially useful for low-income representatives. Don't make it so complex that major points such as developing strategy, bargaining, and forming alliances are lost in the process.

For example, you could divide a board into three groups. Each group is assigned the task of developing ten recommendations for one program and seeking to have these recommendations adopted by the board. They would be given alternating periods of approximately ten minutes to develop strategy and to bargain with the other groups. Each member would have one vote. The group which had most of its recommendations adopted in a trial vote would be the winner. After the exercise you would analyze the experience to identify techniques for influencing board decisions.

C. Lecture

The lecture is an oral presentation of material often used in conjunction with other techniques. By itself, the lecture is advantageous for presenting a great deal of information in a short period of time. A major disadvantage is the lack of group involvement.

Whether the trainer or consultant is delivering the lecture, it should be carefully prepared. Clearly specify your objectives for the lecture before it is prepared. A persuading speech leads the group to action. An entertaining speech gives the group pleasure. An informational speech focuses the group on understanding. The latter is most useful in training.

1. Preparation:

A lecture is not only a presentation of orderly facts. A speaker must have knowledge, confidence and skill. If the lecturer is not knowledgeable, he and the group will usually be limited to the facts he has written down. A lack of confidence creates as much uneasiness in the group as in the speaker. Skill is the ability to "read" the group as well as making a forceful point.

Several factors should be considered in arranging the subject matter. It should be made specific so as not to overburden the group with information. The group's size, age, occupation and interests should be considered in devising examples and illustrations. Slides, charts or graphs can be effectively used with a lecture.

2. Expanding the Lecture Technique

The most common technique is a "question and answer period". The audience asks pertinent questions of the speaker after he has presented the material or at needed points during the session. This will help clarify points, although it is not substitute for group interaction.

A technique for further group involvement is the reaction panel. A selected number of individuals are placed between and to one side of the speaker and the audience. Their tasks are to ask clarification questions during the presentation and to present their reactions as a group afterwards. These groups should be thoroughly briefed on their role beforehand.

A third method is listening groups. Assuming you have four main points to make this technique involves the following steps:

First list and number these points for the group. Then ask the participants to "count off by fours" so that each fourth of the group is responsible for covering one of the four points. Each member writes down the point which corresponds to his number and then listens for information during the lecture which supports this point. After the lecture, the members are divided into four small discussion groups so all those who listened for point 1 are together, and those who listened for point 2 are together and so forth. The groups are asked to discuss their observations and prepare a report outlining how this point applies to the functioning of their board. The total group is then reassembled and the four reports are given and discussed.

Charts, graphs, slides and other materials and techniques can be devised for use during the lecture. However, the time spent in "making a lecture into a training technique" may not justify its use. An effective training activity uses lectures sparingly.

D. Panels

A panel consists of three to six people who discuss or debate a topic. Each panelist should represent a different point of view or specialized knowledge

about the topic to be presented. A major advantage of this technique is that it can provide a stimulating diversity of opinion and knowledge. Some major disadvantages are in the lack of group involvement and, possibly, resources. The trainer should consider the use of other techniques in coordination with a panel.

Selection and preparation of panelists should follow the guidelines noted in the "lecture" section. The presentation can be made in one of the following ways:

- Each panelist presents his points in a limited amount of time. The group can then ask questions or discuss the topic.
- After each panelist has made a presentation, the group has a limited time to ask questions. After all the panelists have made their presentations, a general discussion can be held.
- Listening groups, as described in the section on "lecture," can be used.

E. Brainstorming:

"Brainstorming" inventories a group's ideas about one subject in a short period of time. The trainer's procedure is as follows:

- Write the specific topic on the chalk board or flipchart.
- Determine specific amount of time for the exercise and ask the group to:
 - a. call out any ideas they have on the topic.
 - b. refrain from evaluating the ideas until the time is up.
- Write down the ideas under the topic as fast as they are called out.

Once this process is started, people are stimulated to call out less obvious ideas. Ordinarily, such a range of thoughts is obtained only after long periods of discussion. When the time is reached, the group can evaluate and organize the list. Brainstorming can be used for a number of purposes. These include initiating discussion on a new topic; focusing on a subject in-depth, and developing a list of priorities for group work.

F. Case Study

A case study confronts the participants with work situations similar to ones in which they are involved. In a training group this provides the opportunity to apply knowledge and skills to specific problems. The technique of role play is often used as a vehicle for case studies. This discussion, however, deals only with the written form of case study.

1. Preparation

A case study should be realistic, brief, and simply worded. While describing the complexities of a case study, the trainer should use the following steps:

a. Identify the Problem

What problems do the participants face in their work? These might include committee work, relationships with the staff, by-laws or advocacy. Specific problems are usually evident during the trainer's need assessment process.

b. Collect Specific Information

Noting specific problems and typical situations is helpful in narrowing the subjects to be covered.

c. Determine the Specific Objectives

The trainer should determine the skills he wants the participants to develop.

d. Develop the Case

A case can be developed in two general ways. The trainer can write a hypothetical situation based on the trainees' experience without making obvious reference to them.

2. Use of the Case Study

When introducing the case study, the group should be given definite instructions on using it. Each individual should receive a copy. The problem should be worked on by small groups of five and six people. The participants should identify and evaluate the facts, develop various solutions, select the best solution and the method of applying it.

The trainer can devise various uses for a case study. One use is as a pre-post evaluation survey. As a learning tool, it requires the participants to examine the complex variety of their own work situations. They can better recognize their strengths and weaknesses in problem-solving. It is particularly important to consider the alternative of role playing where participants will not or cannot use written material.

G. Role-Playing:

1. Definitions of terms

- a. Psychodrama - A technique developed originally by J.L. Moreno for therapeutic purposes. It is a spontaneous drama concerning the individual and his inner conflicts in which the individual himself is both playwright and actor.
- b. Sociodrama - A spontaneous drama. The actions are based on the experience of a group rather than an individual. It is more generalized and less personal than psychodrama.
- c. Role-Playing - (Reality practice: Role practice) - An action method including some aspects of both psychodrama and sociodrama, but closer to the latter. The individual may play himself, take a familiar role normally taken by someone else, or try a new or unfamiliar role.
- d. Role - The behavior patterns which an individual learns through the process of being a member of society, the parts he plays in the groups of which he is a member.
- e. Spontaneity - Throughout Moreno's work, one finds the term "spontaneity." Personal choices in studies and in vocational training, for example, must be free from the crust of fixed habit; must spring from genuine fresh needs. Yet this does not mean "impulsiveness," which is all too often a fragmentation of the personality. Spontaneity, as Moreno conceives it, is full participation by one's whole personality in a whole social reality. Few know how to be spontaneous.

2. Some Uses of Role-Playing

- To convey information
- To present a situation for analysis
- To facilitate emotional expression
- For therapy
- For prognosis and testing
- For preparation to meet future situations
- To stimulate participation and involvement
- To provide opportunity catharsis
- To develop better understanding of other's points of view
- To develop specific skills
- To increase spontaneity
- To facilitate evaluation and synthesis
- To evaluate personal motivation
- To present alternative courses of action
- To develop understanding of group situations

3. Steps Involved in the Use of Role-Playing

- a) Assess the appropriateness of role-playing for this board at this time.
 - 1. Role-playing is best used spontaneously.
 - 2. It should be used only if and when it will be useful; not just for the sake of doing it or showing off a new trick.
 - 3. A skilled leader must be willing and able to change his plans in accordance with the needs of the group.
- b) Sensitize the board members to the need to work on a particular problem.

c) Set up the role-playing situation: Some criteria which may be useful in doing this are:

1. The scene should reveal a valid problem in human relations.
2. The problem should be clear and specific, not too complex.
3. The problem should be one which can be solved by the characters in the scene without exaggeration of their abilities.
4. It must also have significance for the persons who are doing the role-playing.
5. It should be approximately equidistant in content from each member of the group.

d) Take stock of your planning: Ask yourself:

1. How can the material which is to be studied be introduced most effectively?
2. How can the board be helped to achieve the greatest possible insight?
3. What can be done to help those who are playing roles and those who are watching to feel most at home in their respective activities?

e) Some suggestions for introducing role-playing:

1. Instead of introducing it as a new method, it may be easier to get the action started naturally, without labelling the techniques as "role playing."
2. It is essential to be sensitive to interpersonal relationships within the group and to avoid uncovering deep-seated problems which require professional help.
3. After the group has been introduced to role-playing, the leader should weigh the values of taking part himself vs. acting only as the discussion leader.
4. Remember that in role-playing spontaneity is important. Underpreparation is therefore usually preferable to overpreparation.

f) Some suggestions for "casting"

1. In assigning roles, any of the following may be used:
 - Asking members to volunteer to take specific roles.
 - Ask the group to suggest which member should take each role.
 - The role might be defined so clearly that only one person can identify with it.

2. If there is an unfavorable role, it may be well to assign it to a person who has enough status in the group to carry this burden successfully. The leader might take this role to protect the feelings of others and get things moving.
 3. It may be desirable to start people in roles in which they feel at home and confident and those which will not put them on the spot. (It may be easier, for example, for a supervisor to play the role of an employer than to play himself.)
 4. After a member has agreed to take a role, the leader might ask the individual to choose the role which would be most helpful to him in solving his own problems.
- g. Some suggestions for "warming up" the cast:
1. A certain amount of warming up may be desirable when presenting a scene in a program before an audience or in a large group. A brief scene whose major action chronologically precedes the action of the major scene is often good for this purpose. In a small group, however, warming up is best done on the spot.
 2. The director and/or the other members of the cast may brief each member on his role.
 3. The soliloquy may be used to permit each member to define his role before the audience as an introduction to role-playing.
- h. Suggestions for helping the audience observe skillfully:
1. Assign one or more to act as observers. Give them something specific to watch for, e.g. what do they think of the handling of the problem? Of the solution proposed? Why do they think the players should behave as they did? How would they feel in this role or that one?
 2. Club-sheets may be distributed for use in the discussion after the scene.
 3. The leader may ask the audience to raise their hands when they have ideas for improvement in the action.

i) Suggestions for "cutting" (i.e. terminating the scene):

1. The common tendency is to let the scene go on too long. If you pass the crisis everybody will get restless.
- The trainer should assume this responsibility at first, but may soon profitably share the responsibility with players and audience.

j) Evaluation and discussion:

1. It is often wise to ask the players how they feel about what happened before asking the question of the audience.
2. If the audience is large, it may be divided into buzz groups for discussion

k) Suggestions for replaying a scene:

1. May be done by the same players, making changes suggested in the evaluation.
2. Same players may try new approach to the problem.
3. Different players may try new approach to the problem.
4. Same or different players may move into a probably following scene.

l) Role Reversal:

In role reversal members of the board switch roles. A representative of the public section may switch roles with a low-income representative. This technique is useful for:

1. Developing empathy for other people's interests, perspectives, and problems.
2. Encouraging the participants to reexamine and modify their relationships with members who fulfill other roles.
3. Demonstrating different perspectives of the same role.

G. Field Trip

The field trip is a planned visit to a place away from the normal training room for specific study. It provides the learner with firsthand experiences and real situations, showing relationships not possible within the confines of a training room. However, a field trip should be planned in great detail before it is implemented.

As a training technique the field trip is divided into three parts; before, during, and after.

Before the group visit, all aspects of the trip should be planned and scheduled. It is advisable to conduct a dry run before the actual visit. Closely coordinate the trip with site personnel and keep them informed of the arrangements. Transportation, finance, and eating arrangements, etc. should be provided in writing to all participants. The specific objectives of the visit should be understood by all of the participants. The next critical task is to design a trip which will provide the members with a very profound and appropriate experience. It must be designed around your objectives. (If you want them to learn about the nutrition problems in the community, make sure they will meet with undernourished children and will be able to talk with their parents. Often a useful trip will require advanced preparation by a small committee of the board.

During the visit you need to serve as a group leader, one who makes introductions and acts as an instructor. Point out conditions to the members and raise appropriate questions which they should be asking themselves (i.e., Why do these conditions exist? Who should have been attending to these problems? What can we do to move the appropriate officials to act?)

VI. USING AUDIO-VISUAL AIDS

A. Purpose

Two fundamental learning tenets are to appeal to as many of the senses as possible, and make the impressions striking the senses as vivid and intense as possible. Without good audio-visual aids these requirements cannot be met. These aids include chalkboards, illustrations, charts, graphs, maps, bulletin boards, slides, and film-strips. To be effective, audio-visual aids should illustrate only one main idea or procedure--they should not be cluttered and complex. The following objectives can be fulfilled by aids which are designed simply and clearly.

1. To show the relationship of one part to the whole or to other parts. Organizational charts or flow charts are excellent ways to illustrate these relationships, as are mock-ups.
2. To simplify complicated processes or materials. Schematic diagrams of circuits or systems can be used to do this. The instructor can use an enlarged drawing or a cutaway to simplify any particular part of the process.
3. To emphasize ideas. An idea will stand out if it is presented vividly with an instructional aid. Color, shading, and enlarging are a few examples of graphic tools that can be used for emphasizing points. Anything that is large, bright, or loud will stand out.
4. To stimulate interest. Instructional aids can be designed to integrate new ideas with old ones, or appeal to basic drives and interests. Probably the most commonly used attention-getter in advertising is a pretty girl. Of course, the aid should direct interest to the teaching objective, not to itself.
5. To represent abstract ideas. Concepts, philosophies, theories, and other abstract ideas can be vitalized with instructional aids. Adding a concrete dimension to an ab-

straction may be a necessary aid for beginning or slow students.

B. Selection

There are no hard and fast rules for using audio-visual aids; when to use them will be determined largely by the training objective. However, before deciding to use aids in a training session, carefully define your objective and outline your presentation. For example, if the objective is to give the participant an appreciation of relationships within a CAA, the aid might be a large organization chart. As you present the relationships verbally, you can point to their counterpart on the chart. In this way the organization chart can be used to clarify an oral presentation. Whether a simple diagram, a mock-up, an instructional film, or an elaborate chart is most effective will depend on several factors: the size and nature of the audience; the instructional aids available; the availability of a graphics section; the complexity of the subject, and the type of training room to be used. Remember to keep the aid simple and direct so it illustrates or emphasizes only one main idea and omits distracting details. Wherever possible, the choice should be in favor of simple and inexpensive instructional aids, such as chalkboards, drawings, filmstrips, and slides. Instructional films are desirable, but they are expensive and sometimes difficult to obtain. You may want to experiment with various combinations, but make sure that each one helps to put across your objective. Instruction should not be built around the aid; the aid must be tailored to meet the demands of the objective.

The art of conceiving instructional aids is called "visualizing." You must use your imagination and resourcefulness to design an aid that conveys your idea. In visualizing:

1. Bring additional senses into action. Can you express the sound visually? Can you add the aural dimension to your picture?
2. Make full use of symbols. A familiar example of a symbol is the flag; it expresses our nation more forcefully than a dozen books or lectures. Try to symbolize abstract ideas by using familiar symbols.



3. Bring in factors of known interest such as people, bright colors, and pleasing designs. These will hold attention and emphasize the main idea. Students may have special interests that can be stimulated by a carefully prepared visual aid.

C. Types

1. Chalkboards, Flipcharts

Chalkboards and flipchart pads are good for purposes of thinking through ideas in discussion or planning sessions. However, these are best for small group situations in or out of the classroom.

Limitations: They are not suitable for duplication or repetitive use

A substitute for chalkboards are overhead projectors equipped with rolls of clear plastic film. As the instructor writes information on the film, the information is projected on a screen or a white smooth surface behind the instructor. The instructor can sit facing the class and have notes or other prepared materials arranged ready for use. Students might have paper exercises and performance tests or mechanical response devices.

2. Printed Paper Materials

Examples of printed paper materials are texts, photographic reproductions, graphic illustrations, sample documents of job forms, and tests or exercise workbooks. They are used to communicate conceptual knowledge, instructions, and to collect learner response data. They are also used with audio-visual or TV instructional programs in group or self-instructional lessons.

Limitations: Learners cannot perform manual operation.

3. Charts and Posters

Charts and posters can be used for lecture discussion purposes and permanent classroom reference

displays during instruction periods. Like all visual materials, charts and posters are used to present conceptual knowledge through diagrams, pictorial illustrations, photographs, or verbal information. Each chart should illustrate a single concept. Two or more concepts are shown on one chart when comparisons or summaries are explained.

Limitations: Most charts are standard size, 30" x 40", requiring special production equipment. The larger the chart the more difficult it is for the instructor to manipulate.

4. Projected Visuals and 35mm Slides

Projected visuals and slides communicate conceptual knowledge and illustrate job skills or procedures using pictorial, diagrammatic and verbal cues in small instructional steps for demonstrating:

- 1) levels of jobs skills when equipment or job behavior cannot be duplicated at a technological facility;
- 2) group programmed instruction systems, and
- 3) individualized programmed instruction systems.

Limitations: Time necessary for course developers to prepare programmed draft materials, collaborate with resource personnel, and final production.

A slide presentation is usually not as dynamic but can serve the same purpose as a film. The trainer can inexpensively develop his own slide presentation with photographs of local situations, scenes, and problems. Several film strips have been developed for specific issues in the War on Poverty; most are accompanied with a script for the trainer's use.

5. Overhead Transparency Kits

Overhead transparency kits are used primarily in

lecture-discussion methods. Like charts and posters, they illustrate concepts and present verbal information. (A kit will contain any number of transparencies.)

6. 35mm Filmstrips

Thirty-five millimeter filmstrips are used primarily for instructional programs having stable content. Other uses are the same as projected visuals.

Limitations: The filmstrip is a series of visual frames attached in a permanent sequence. Each frame has been programmed to present information defined by extensive task analysis. A change of some information can make a part or the entire filmstrip useless.

7. Motion Film, 16mm and 8mm

Numerous film libraries make available films that can be used for a variety of purposes. Films have the ability to bring participants intimately into the heart of a situation that is remote in time and distance. It is important that the trainer previews the film prior to its use in a training session and prepares a brief introduction, a guide for discussion, and a summary. The central objective of showing a film is to stimulate the group to consider its own situation.

Primary Use and Limitations: Some motion films are used to supplement an instructor's lesson. These films are on subjects related to the lesson to provide stimuli for discussion; to present a comprehensive overview of the subject, and to present the opinions or experience of others. Other motion films are designed to explain, in detail, specific instructions or procedures of one particular job operation. In general these films are used with some other format or as part of a programmed lesson.

8. Audio Recordings

Audio recordings have two primary uses:

- 1) as audio and/or audio-visual programmed instruction media systems. (Programmed material might use other aids, such as workbooks or actual job equipment).
- 2) for the representation of natural objects, such as a topographic land form or a geologic cross-section.

9. Tools, Tests, or Measuring Equipment

Tools, tests, or measuring equipment can be used so the learner may perform skills with them for use in the work he will ultimately do.

10. Field Trips

Field trips are used primarily to "go where the action is."

11. Photo Compositions

Photo compositions can be made by selecting photos which you have made or cut from printed materials pertinent to the session and arranging them in a composition.

12. Scrapbooks

Scrapbooks can be compiled for use by collecting newspaper clippings on a particular subject over a period of time.

13. Videotapes on Films

Videotapes which you yourself make are useful audio-visual aids. You could tape some of the training sessions for members who miss them.

14. Brochures

Brochures which you make can also be used as aids.

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VII. EVALUATING BOARD TRAINING

A. Purposes of Evaluation

- To determine the effectiveness of materials and methods in achieving the training objectives;
- To measure whether or to what degree the desired performance (behavior) change has been accomplished.

In both cases, you as a trainer will be evaluating whether the training has worked. You are not evaluating individuals on the board or the board itself for the purpose of "reporting" their adequacy to someone. You are also assessing the deliverers of training--yourself and any consultants you may use. This is a critical point that you must convey to board members who will evaluate the training. The trainer should carefully assure the training group that he is evaluating training, not the participant.

B. Uses of Evaluation

Evaluative data, or "feedback" as it is commonly called, is used to alter or improve training, if deficiencies are uncovered. This information is invaluable to training designers, as well as deliverers like yourself. Frequently evaluations will be positive, showing training to be effective. This, too, is useful information because it represents relatively objective verification that the training is valid--its content is relevant and its methods effective.

In either case feedback must be used or else it should not be obtained. There is little that is more inefficient and counter-productive than to have training groups prepare evaluation that no one will use. As a trainer, you should avoid this kind of inefficiency. Besides being discourteous to board member trainees, it will soon boomerang by causing participants to prepare perfunctory and superficial evaluations, which they know will be filed away unused.

Evaluation is the natural end of the training cycle. It "closes the loop" by providing information on how well all the pieces of the training picture fit together. It is the most effective way to measure results which can be used by you, by the developer of the material, and by the board trainees themselves as a measure of their progress.

C. Role of Training Committee in Evaluation

Since the training committee has had a strong hand in planning for training, they should also play an active role in evaluating it. This will help maintain their commitment to board development by requiring them to measure the outcomes of their training decisions.

Although you the trainer are primarily responsible for obtaining evaluative data, you can involve the committee by:

- Working with them to devise an evaluation system that spells out when evaluations should be conducted; what kinds of instruments or questionnaires could be used; who gets the feedback (other board members? OEO regional and national office training specialists? consultants?); what steps the board, the committee, and the trainer can take to make on-the-spot training improvements.
- Developing with the committee a plan to use evaluative data as an input for determining next year's training needs. (This is an additional and fruitful use of evaluation.)
- Helping the committee become performance conscious so that they engage in on-going evaluations of board activities with an eye to answering the questions, "Is the training working? Have the desired changes and improvements taken place?"

D. Types of Evaluations

There are many evaluation formats that can be used by trainers. In this section, several examples will be offered for your use. Before that, however, it is important that a few points be considered about the nature of evaluation.

To the fullest possible extent, you should strive to obtain objective evaluations. This is a difficult task since evaluations consist largely of human judgment. Nevertheless, trainers can move toward objectivity by using formats that measure whether training objectives have been achieved. Since this text has suggested how measurable objectives can be constructed (See "Planning for Board Training"), you can go a long way by setting measurable objectives for the training sessions. This will allow the board trainees and you to evaluate more readily whether the training has achieved these objectives.

Another means for obtaining objective evaluations is to avoid conducting evaluation sessions or using feedback instruments that put too much stress on the least relevant items in the training situation--site, transportation, lodging, coffee breaks, lighting, etc. The important information you need concerns materials, methods and trainers. Your evaluation format should seek out primarily this information. This is not to say that attitudes and opinions on administrative factors are absolutely unimportant. On the contrary, you should learn about administrative weaknesses and dissatisfactions and take corrective actions. But the most important issue in evaluation is whether learning has occurred to the maximum. If not, what flaws in the content and methods are detectable and how can they be corrected.

E. Sample Formats

1. Training Evaluation Data Collection Sheet

This format concentrates on the adequacy of material and methods by requiring the trainer to spell out in detail how he used, altered, or amended the board training package. The trainer's feedback will be particularly useful to OEO training designers to determine what modifications of the package are appropriate. The data collection sheet should be prepared by the trainer after the completion of each unit of training and submitted to the appropriate OEO office.

2. Surveys

- a. Session Survey: One suggested technique for evaluation is to survey the participants' attitudes and opinions at the end of each segment of the training program. In this way the trainer will be able to get an immediate reaction to himself, a consultant, and any materials he used, and to the relevancy of the methods he used to present his subject. This information is particularly important for a multi-session program, where the trainer has set several objectives. With the results of an immediate survey and his own observations, the trainer can best judge how well the training is being implemented at the various stages of the program. If a problem is noted by the participants after a particular session, it can be dealt with as soon as possible.

Following is a suggested survey sheet which can be implemented at the end of each segment. It will probably be important to the participants if they are requested not to sign their names to these sheets. Using the evaluation survey in this way will reinforce the intent of the trainer to evaluate himself and the content rather than the participants. This sheet can also be used after the program is completed to assist the trainer evaluating consultants and specific materials.

- b. Opinion/Attitude Survey: This approach an example of which is on the following page, is useful to gather opinions and attitudes of board training groups. The trainer should stress the need for narrative backups, for opinions and attitudes expressed. It might be useful for the trainer to synthesize individual comments into a group evaluation. This can serve as a useful basis for a brief discussion of the evaluation--or a group oral evaluation.
- c. Follow-up Survey: To evaluate the long-range effect of the training, one tool the trainer can use is a follow-up survey a month or longer after training completion. This survey may be mailed or completed at a board meeting at the request of the trainer. The actual form may follow the lines of the opinion-attitude survey.

3. Observation

Since the major objective of board training is to improve its effectiveness, the trainer should observe board meetings to see if the desired changes have occurred. It is suggested that the trainer develop a checklist which contains the specific training objectives of previous sessions. He can then view the board's activity from the standpoint of observing and noting how the objectives are showing up (or failing to show up) in board performance. The results of this structured observation can then be discussed with the training committee and/or the whole board. The results also will inform the trainer how well specific sessions, content, and method worked.

TRAINING EVALUATION DATA COLLECTION SHEET

If our future training efforts are to be successful, we must begin now to pinpoint the deficiencies in our present programs. Pinpointing must be specific and accurate. This data collection sheet is designed to help us do just that! It should be completed by the trainer. You should become familiar with the information requested and then record your observations, findings, and actions as they occur. Thus, the data you finally record and submit will be inclusive, real and accurate.

Training No.	_____	Suggested Classroom Hours	_____
Training Title	_____	Actual Classroom Hours	_____
Training Site	_____		

1. Did you use the entire training package?

If not please list the:

Portion Not Used

(Page, Section, etc.)

Reasons for not

using each

Of the portions used, which did you change or supplement? Please list:

Portion Revised

(Page, Section, etc.)

Reason for Revising

(Also please attach a complete copy of your revised training material)

2. How many people took this course?

3. Did all trainers have

YES NO

--copies of the training material in time to prepare for his class?

--enough training materials for his students?

Please explain any "No" answers.

4. A. Did the training package contain specific, measurable objectives?

If so, were they all:

-- job related?

-- achievable?

-- achieved (by better than 90% of the students?)

Please explain specifically any "No" answers.

Did you modify or supplement any of the objectives?

If so, please attach a copy of the revised objectives with an explanation of why these actions were taken.

3. If the training package did not contain measurable objectives, did you develop any?

If so, please attach a copy of them.

5. General Comments:

SESSION SURVEY

Title of Session _____ Date _____

Name of Trainer _____

All questions on this form deal with the trainer and the session.
Your answers will help us build better training programs in the future.
Please add comments wherever possible to explain your check mark.

Please answer all questions on this form.

1) Was the subject related to your needs? Very much ☐ Some ☐ No ☐

COMMENT

2) How do you feel about the amount of lecture and the amount of discussion in this session?

Satisfactory Mix ☐ Not Enough Discussion ☐ Not Enough Lecture ☐

COMMENT

3) The following describe the trainer's performance for this session. Please give a judgment on each factor.

	Excellent	Very Good	Good	Fair	Poor
A. How well did he state objectives	☐	☐	☐	☐	☐
B. How well did he keep the session alive and interesting	☐	☐	☐	☐	☐
C. How well did he use blackboard charts and other aids	☐	☐	☐	☐	☐
D. How well did he maintain a friendly-helpful manner	☐	☐	☐	☐	☐
E. How well did he illustrate and clarify the points	☐	☐	☐	☐	☐
F. How was his summary at the close of the session	☐	☐	☐	☐	☐

COMMENT

(OVER)

4) This is a scale describing the way you might rate the trainer's performance. Please place a checkmark () in the box that is closest to the way you feel about the trainer's performance.

POOR	☐	☐	☐	☐	☐	EXCELLENT
	1	2	3	4	5	

EXPLAIN _____

5) Now please place a check () in the box that is closest to the way you feel about the session (the content and methods used).

POOR	☐	☐	☐	☐	☐	EXCELLENT
	1	2	3	4	5	

EXPLAIN _____

6) Will you do anything differently on your job as a result of this session?

Yes	No	If yes, what?

7) What would have made the session more effective?

OPINION/ATTITUDE SURVEY

These questions represent our request that you assist us in evaluating the training program and its components. Your frank responses will help us improve the design of future programs. All the information received will remain confidential. There is no need to sign your name. Where you need additional space, please write on the back of this sheet.

As a result of this program, what things will you do differently as a board member?

What do you consider to be the most important thing you learned in this program?

The training materials distributed were:

excellent_____ satisfactory_____ poor_____

Comment_____

A certain amount of factual information was given to you in the program, do you think:

- a. there should have been more factual information
- b. there should have been less factual information
- c. the amount of factual information in the program was adequate

Comment_____

The total training program was:

--too long --too short --just right

Comment_____

The individual training sessions were:

--too long --too short --just right

Comment_____

The classroom facilities were:

--good

--fair

--poor

I would like to return for another program which started where this one stopped.

--yes

--no

Comment _____

I liked the training program in general

I would rate the training program

poor 1 2 3 4 5 Excellent

What were the best features of the training program?

What were the worst features of this training program?

Please list below any subjects not included in the program which you feel should have been covered and which you would like to have included in a follow-up program.

4. Pre- and Post-Tests

By administering a pre-training test and substantially the same test after training, the trainer can obtain a very objective measure of training effectiveness. The use of standard short answer pencil-and-paper tests may not be appropriate in board training. Frequently, adults have hostile feelings towards examinations. However, if the concept of testing were more broadly conceived, there may be instances when the trainer can use this means of evaluation. Tests can be of a performance nature, for example. Thus, the trainer can use observation of pre-training performance (e.g. conducting a meeting) as the pre-test. After the training in "How to Conduct a Meeting" is given, members' performance in situations essentially similar to the "pre-test" phase can be used as a post-training test. Pre- and post-test observations can be analyzed by the trainer to note any deficiencies in the unit.

Similarly, role plays and case studies can be designed to serve as pre- and post-test. By avoiding the threatening climate that exists in the standard testing situation, the trainer can overcome barriers to this evaluation approach and still reap its benefits.

5. Other Approaches to Evaluation

The foregoing were merely a few examples of approaches to evaluate training. As trainer, you should feel free to modify them to fit your needs and to innovate other evaluation techniques.

It is important that you cultivate evaluation skills and apply them whenever you can. Since evaluation goes beyond the time span of the training session, you should continue to observe board performance during its regular working meetings. The question you will be asking is, "Is training working where it counts--in the regular functioning of the board?"

F. Final Evaluation Report

A final evaluation report should be written for the files for future use by the trainer and OEO training specialists. This should include:

- a short description of training objectives and plans
- information on the participants
- place, dates and number of hours of training
- methods of evaluation
- results of evaluation
- evaluation of consultants and special materials used
- conclusions (strengths, weaknesses, suggested alterations)
- recommendations for future training

This report will be useful to the board training committee, and to the whole board. In addition, national office and regional OEO training experts may call on you to supply copies of these evaluations so that program developers will have useful data for making training program improvements.

VIII METHODOLOGY FOR MANUAL CHAPTERS

The remaining material on methodology consists of separate guides which follow each chapter of the Board Trainer's Manual. They are guides, not prescribed materials, as such they will not serve as a completed training course that will meet every conceivable training need of a CAA board.

The material describes training objectives appropriate for some boards and training techniques employed to accomplish these objectives. The guides suggest areas where boards might have training requirements and offer samples of specific learning goals for these areas. They also describe typical training sessions with appropriate instructor notes and trainee exercises. You can use this information in a number of ways.

In some cases, you will find that the learning goals and methods of a guide are so close to a board's training requirements that you will be able to follow the guide with only a few modifications. In other cases, you may find that some parts of the guide are close to needs while others are only generally related. In the latter case, you may want to combine some of the material with your own material. You will most likely find that the guides are best suited to suggest training approaches and techniques which are useful for training in the general areas covered by the Board Trainers' Manual.

The problems you encounter in gaining a board's acceptance of even a relatively short training program and meeting the unique training requirements of individual CAA boards will demand tailor-made training programs. For this reason, the guides are primarily designed to serve as a vehicle from which you can develop tailor-made training. They offer designs you can modify to meet the training needs of boards. They give you models of specific learning goals on behavioral objectives from which you can construct objectives to meet the needs of specific boards.

In your work with boards you will encounter special situations which require adjustment in the training. In some instances, board members may be non-readers. You should take special actions to meet these needs. One action might be assigning readings a few weeks in advance so that the non-reader can have someone read the material to him. The action

might also be your serving as a "reader" to the board member in a private, non-embarrassing setting.

You may encounter Spanish-speaking board members whose lack of fluency in English might limit their participation in training. You should be able to locate volunteer translators who can translate the training material into Spanish at no cost or for a modest fee.

Be flexible in your use of the Board Trainers' Guides. They are not equally applicable to all boards. Nor are they meant to stand as rigid, unalterable training plans. Your knowledge of special needs and unique requirements should serve as your criteria for selecting what is relevant, modifying what is useful, and innovating whenever necessary.

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This is an excellent attempt at programmed learning.
It should serve as a valuable model for trainers
who wish to develop programmed material.

INTRODUCTION TO PART I

(Part I, Chapter 1)

INTRODUCTION TO PART I

(Part I, Chapter 1)

I. WHAT IS COMMUNITY ACTION?

- A. The Basic Concept
- B. Specific Purposes and Functions
- C. Benefits

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- A. Definition
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I. WHAT IS COMMUNITY ACTION?

A. The Basic Concept

When several hundred families join a cooperative organization with a housing corporation, a credit union and buying clubs that enable them to save 20-40 per cent on weekly food bills, this is community action.

When an all-Indian school board, some of whom do not speak English, is appointed on a reservation to hire staff and plan curriculum, this is community action.

When elderly poor are organized in a Foster Grandparents program to give personalized care to institutionalized children, this is community action.

In Trenton, N.J., there's a CAA called United Progress, Inc. In Boston, Mass., it's ABCD--Action for Boston Community Development. The Fayette County Economic Development Commission works in a single county in Tennessee, and the West Central Missouri Rural Development Corporation serves six counties in that state.

In short, community action is many things to many people. CAAs across the country have many different names. They are organized in different ways and engage in different activities. What then is community action and what is the role of a CAA?

The concept of community action is an integral part of the Economic Opportunity Act of 1964 and its amendments. According to that Act, a community is simply any

"city, county, multicity, or multicounty unit, an Indian reservation, or a neighborhood or other area ... which provides a suitable organizational base and possesses the commonality of interest needed for a community action program."

As for "action," in the original Economic Opportunity Act, the U.S. Congress defined it broadly as any services, assistance or other activities designed to eliminate poverty itself or one or more causes of poverty. This could mean "developing employment opportunities, improving human performance, motivation, and productivity, or bettering the conditions under which people live, learn, and work."

B. Specific Purposes and Functions

Some four years later the basic purpose of community action has not changed. It has, however, become more specific, namely:

"(to enable) low-income families, and low-income individuals of all ages, in rural and urban areas, to attain the skills, knowledge, and motivations and secure the opportunities needed for them to become fully self-sufficient."

Among the needs that Congress has suggested be met through community action are pre-school health services; voluntary assistance for deserving and needy children; legal services; housing development and services organizations; family-planning services; neighborhood centers; comprehensive health services for adults; adult basic education and job training--especially for those who are chronically unemployed, whether because of their age or other factors; and the encouragement of basic education, health care, vocational training and employment opportunities for the rural poor so as to motivate them to remain in the rural areas and become self-sufficient there rather than migrate to already crowded cities.

In reviewing these concerns, it is obvious that economic self-sufficiency is not the only goal of community action. Poverty is not only an economic condition. It is also a state of mind and body and social and political relationships. Community action is a way of giving people self-respect and dignity. A man who is better fed and better educated, a man who has a good job, stands straighter. He tends to shake hands with a heartier grip and to look other people more directly in the eye. When he needs help, he's more likely to know how to get it and he's not afraid to try. He also becomes more likely and better able to help others.

Community action is a way of making these things possible. It is also a way of enabling people who sometimes never knew of each other's existence to work together for their joint benefit. Finally, community action is a way of giving representation to all people, including the poor, and it is a way to help insure--again for all--government by the people and for the people.

A community action project may be administered by a CAA or by delegate agencies. But regardless of what agencies plan and operate the project, they must do so "with the maximum feasible participation of residents of the areas and members of the groups served." They must also be prepared to provide "reasonable public access to information, including . . . public hearings at the request of appropriate community groups and . . . access to books and records . . ."

Very briefly then--

Community action is antipoverty action.

Community action is "grass-roots" action.

Community action is planning, decision-making and action by poor people themselves.

Community action is one more thing: it is comprehensive action. More than just programming, community action means mobilizing all kinds of resources -- human and material, industrial and cultural, public and private, existing and potential. And it involves the entire community--government, business, labor, educators, private religious and charitable organizations, neighborhood groups, the legal and medical professions and, of course, the average American citizen, rich or poor.

C. Benefits

Through a community-run nonprofit credit corporation that can co-sign loans and sales contracts for merchandise bought on time, a young mother on welfare obtains a typewriter to earn extra money at home.

How can one measure the benefits? There are so many--money and what it can buy for her children and herself in the way of food, clothing and medicine; perhaps through these the energy or incentive for her children to stay in school; increased self-respect; the courage to continue trying to break the poverty syndrome; and then, too, the work itself, which is of use to someone else.

A 38-year-old janitor enrolls in a free writing workshop for ghetto residents and one year later sells an hour-long television script to NBC.

How can one measure the benefits here? Again--badly needed money for the individual, just as badly needed self-confidence, a conviction imparted to his fellow students that they, too, can "make it" in the mainstream of American society, even a new source of material for NBC!

One more example--this one cited by the National Advisory Council on Economic Opportunity. A man lived in a shack with his wife and eight children and for many years subsisted on welfare. As the result of his participation in community action programs, he built a four-bedroom house, is keeping his children in school, is going to school himself, has learned to budget his income, has arranged to pay his debts, has started a savings account, helped to organize a credit union in his neighborhood and campaigned as the first Mexican American to run for the school board in his area.

How can one possibly measure the benefits of community action to this man, to his family, to his community?

How community action materially benefits the poor is fairly obvious. How it benefits them intangibly is less often considered. And what is almost never considered is how community action benefits the entire community.

New York City alone spends upwards of \$ 3 billion on special services for the poor. About half of that is absorbed by welfare costs. Where does the money come from? A hefty portion of it is provided by taxes on business. Some of the money comes from state and Federal sources, and this means state and federal income taxes. Then there's the sales tax New Yorkers pay. And what about the costs to families who send their children to expensive private schools because the local public schools are suffering from the results of poverty?

Contrast those facts with the following:

In Arizona, a community action program enabled 225 adults to complete high school education courses that enabled them to get better jobs for the first time. A high school diploma is currently estimated to be worth \$60,000 in lifetime income, or \$9,000 in Federal income tax payments. The community action program incurred expenses of \$200 per person.

But getting people off the welfare rolls and increasing tax revenues are not the only economic benefits of community action to the entire community. When poor people get good jobs, the economy of an area becomes more productive--first, because of the actual goods and services that the poor contribute to it through their work, and second, because of their increased buying power. They create a need for more goods and services, and the general standard of living rises.

Community action yields more than financial returns. Community action helps reduce the social costs of poverty as well--crime, illegitimacy, dope addiction, wasted man-power and wasted brainpower. The poor have no monopoly on adult or juvenile delinquency, but deprivation is often a source of crime.

II. A BIRD'S-EYE VIEW OF THE COMMUNITY ACTION AGENCY

A. Definition

Nowhere in the original Economic Opportunity Act did Congress ordain the creation of a special institution to be known as a Community Action Agency. Rather, a community action program could be "conducted, administered, or coordinated by (any) public or private nonprofit agency (orther than a political party)" or by any combination of public and private agencies.

As for the organization, strategy and activities of whatever agencies performed these and other related functions (whether they were known as CAA or by some other name), initially there were virtually no formal instructions and only a bare minimum of guidelines. In effect, each CAA devised the programs it thought best suited to the needs of its area, and Congress gave it the money to implement those programs.

In 1967, Congress decided to be more explicit. Believing that an effective Community Action Agency required strong support by local government and that this was the best way to obtain public awareness and the cooperation of public agencies, Congress said:

"A community action agency shall be a State or political subdivision of a State . . . or a combination of such political subdivisions, or a public or private nonprofit agency or organization which has been designated by a State or (political subdivision (s))

If, however, the state or subdivision fails to submit or implement a satisfactory community action program, or if neither the state nor subdivision is willing to become a CAA or to designate another agency, the Director of the Office of Economic Opportunity may designate another agency as the CAA."

A detailed discussion of the structure and kinds of CAAs can be found in Organizing Communities for Action, OEO, February, 1968.

B. Purposes and Functions

At the same time that Congress defined the relationship of local governments to CAAs, it also spelled out certain additional purposes and functions, as well as such specific areas for concern as housing development and services organizations, legal services and neighborhood centers mentioned earlier.

The purposes of community action programs, and hence the CAA include:

- Encouraging state, Federal and other anti-poverty organizations to meaningfully coordinate their efforts.
- Organizing a range of services for the poor which takes into account particular and related problems and the progress that the poor are making in surmounting them.
- Innovating, that is, trying new services and approaches in attacking poverty.
- Continuing maximum feasible participation of residents of the areas and members of the groups served.
- Broadening the resource base--in other words, stimulating greater participation in the War on

Poverty by business, labor, professional and other groups.

- Planning and evaluating the community action program in its area. This includes analyzing the problems and causes of poverty, determining how effectively the community is dealing with these and establishing priorities for the use of resources.
- Working cooperatively with other agencies to improve existing efforts to attack poverty.
- Initiating and sponsoring projects in response to needs of the poor which no other agency is meeting.
- Establishing procedures to enable area residents, including the poor, to exercise greater influence on anti-poverty programs.
- Cooperating with and encouraging business, labor and other private groups to work jointly with public officials and agencies to develop new employment opportunities, stimulating poverty-reducing investment and providing methods whereby area residents can work together with private groups, firms and institutions to solve problems of common concern.

Additional legislation was also enacted regarding administrative standards, funding, reporting and evaluation procedures. But for all the additional legislation, nowhere are the workaday responsibilities, approaches or practices of a CAA fully detailed. The initiative for community action backed up by local initiative funding and the authority to delegate projects to other agencies or resident organizations, still rests with the CAA.

Essentially, each CAA is left to define its specific business for itself-- and for very good reason. Communities vary. They vary in their physical size and in the size of their populations, in their character--urban or rural - in their needs and the resources available to meet those needs, in the number and kinds of existing agencies and programs, and in many other ways. And because communities vary, CAAs must also vary.

A Few Words of Caution

The CAA is not just another service bureaucracy. When it must fill a gap in services to the community, it should plan to do so only for a very specific period of time, at the end of which the program should be taken over by another private or public group. Otherwise the CAA is likely to find that it is dissipating its always limited resources on any number of isolated and unrelated projects.

The CAA should also be conscious that it is not intended to replace established agencies. Its job is to work toward minimizing duplication, overlap and conflict among other agencies--not to usurp their place.

The CAA should be careful to practice what it preaches. It should make its own decisions as democratically as possible.

The CAA should not become one more cog in the wheels of the established machinery but a force to make that machinery more responsive to the needs of the poor and more adaptable to a larger role for the poor in its workings.

As for the individual Board member of the CAA, he should remember always that he is a member of an agency which subscribes to all of the concepts discussed here. Understanding them and then implementing them is his personal obligation as well as that of the CAA.

III. KEY ELEMENTS IN COMMUNITY ACTION

The seven concepts briefly discussed in this section and more fully explained in the subsequent chapters in Part I are key elements of a successful community action program. They must become an integral part of the CAA's activities and be reflected throughout its operations, for they are the building blocks which the CAA uses to construct its activities, as well as the foundation of community action programs. No single activity encompasses all of these elements, but taken together they are the heart of community action and the touchstone of its effectiveness.

Although the elements discussed here are generally referred to as separate entities, such as institutional change, mobilization of resources, community organization, etc., they are more often than not interrelated and interdependent. For example, delivery of services is often used to pave the way for community organization, as in the case of a mobile health unit being used in a rural area not only to dispense health services, but also to inform the community about the community action program. In the same token, mobilization of resources very often results in institutional change. A classic example of this is an industry that initiates its own training program for unemployed, unskilled men after participating as a training resource in a CAA sponsored manpower program and realizing the potential worth of such a program to the industry. Coordination is another element that often leads to institutional change; and participation of the poor is often effected when the CAA assumes a strong advocacy role.

Examples of the relationship between these concepts are innumerable. What is important, however, is to recognize that these are not isolated concepts, but are often used in combination or in a complimentary fashion to achieve the purposes of community action.

A. Delivery of Services

CAAs ordinarily devote considerable effort to developing new programs and services. The Economic Opportunity Act describes this function thus:

"Initiating and sponsoring projects responsive to the needs of the poor which are not otherwise being met, with particular emphasis on providing central or common services that can be drawn upon by a variety of related programs, developing new approaches or new types of services that can be incorporated into other programs, and filling gaps pending the expansion or modification of these programs."

The services involved range from providing health and family-planning services to obtaining emergency loans to insuring garbage disposal or road repairs. CAA services also include providing technical assistance.

The ultimate goal for any services dispensed by a CAA or its delegate agencies should be their spin-off to existing community agencies or other bodies having independent resources. Moreover, services are not a dole. They are a means of enabling individuals to become self-sufficient, and they should not be perpetuated unnecessarily.

Problems in the delivery of services include ignorance on the part of the needy that the services exist, inaccessibility of services, because of their inconvenient location or scheduling, fragmentation of services and programs, duplication, failure to address certain problems at all and humiliating treatment of the needy in obtaining services.

Some of the more obvious solutions to these problems include the use of outreach workers, referral and follow-up techniques, decentralization of the service agencies, coordination of the services, and institutional change.

The strategy of the CAA in the delivery of services must be total and must start at the bottom rather than the top. That is, it must aim at over-all human and economic needs, not just at isolated material problems, and it must start with the local community and an assessment of its needs.

B. Community Organization

Organizing the community is one of the most important steps in eliminating poverty because it is through organization that the poor most effectively gain the skills and knowledge needed to combat their problems. It is also the means by which the entire community learns to work together.

A major obstacle to community organization is apathy--apathy on the part of the poor because of their past experience, and apathy on the part of the rest of the community because people tend not to recognize their broad community of interest as clearly as their geographical community. Once people have accepted the need and the potential benefits of community organization, problems usually center on reluctance to compromise individual goals for a common one or individual and organizational differences of opinion as to how goals are to be achieved.

The CAA should stand as a model for community organization. It should also actively stimulate community organization, encourage leadership and help resolve conflicts. And in these tasks the CAA Board members should be particularly active.

C. Resident Participation

"Maximum feasible participation of residents of the area and members of the groups served" is one of the methods expressly designated by the Economic Opportunity Act to be used in achieving a better focusing of resources on the goal of individual and family self-sufficiency. Moreover, Congress has ordered that the Board of a Community Action Agency be so constituted that at least one third of its members are democratically selected representatives of the poor of the area served.

Resident participation in community action takes many forms--serving on CAA Boards and staff, belonging to tenant associations and block clubs, informing their fellow residents (as outreach workers) of the existence of various community services and helping them get those services, trying (on the part of neighborhood youth) to help "cool" an area during times of civil crises.

The objections most often raised to resident participation include: risk that funds will be misused (actually, only a minute percentage of OEO money has been); alleged manipulation of community action programs to ferment revolution; and attitudes that "the poor don't know what's good for them," are ungrateful to the experts who want to help them and, lacking a proper sense of responsibility, will dissipate their energies by engaging in individual and group struggles for power.

Benefits of resident participation, on the other hand, include developing talents among the poor that can eventually benefit all society. From their personal experience, the poor can provide insights into poverty beyond the competence implied by any government or private programs. Resident participation is absolutely essential if the poor are ever to become self-sufficient.

D. Mobilization of Resources

Mobilization of resources has to do, first of all, with planning. Resources are valuable only insofar as they can fulfill particular needs; so first, a community must identify those needs. Then it can concentrate on identifying every possible means that might be used to meet them.

The resources of a community may be physical--that is, buildings or equipment; natural--such as land and crops; monetary--loans and matching funds together with outright grants and donations; or human--the willingness to learn and do volunteer work, as well as professional skills and job experience. Existing programs and services are also a resource. Here the Community Action Agency can help most by analyzing these to determine whether they are operating as effectively as possible and by specifying alternatives if they are not.

The suppliers of these resources are many. They include Federal, state, county and municipal agencies, public and private organizations, educators, businessmen, labor unions, target-area residents, lawyers, doctors, teenage youth and the aged, farmers, beauticians, bankers, gardeners, etc.

Besides identifying present resources, CAAs should stimulate public support and action to obtain additional resources--more funds, the use of a building during "off" hours, increased employment opportunities and others.

It does this, among other ways, through personal contacts especially on the part of Board members representing the political jurisdiction, public and private services and the business community; technical assistance; organization of the target area; publicity.

A new focus for mobilizing community resources is for the CAA to operate demonstration programs. If the programs are effective, they can usually be spun off to other agencies leaving the resources to continue them on a permanent basis.

Mobilization of resources is one of the most important areas for the concern of the CAA Board. To use idiomatic terms, it is the bread of community action.

E. Coordination

A major problem in fighting poverty is that there are so many agencies conducting programs which have an impact on the disadvantaged and their plight. One of the Community Action Agency's more complicated tasks--and a necessity for maximizing the effectiveness of community action--is to work toward the coordination of Federal, state and local anti-poverty efforts by both public and private organizations.

The over-all purpose of coordination is to provide meaningful assistance to as many people as possible in as economic a way as possible and with a minimum of duplication, overlap and conflict.

Essentially this means inter-agency planning and communicating. Those members of the CAA Board who are officials or members of other agencies or groups can actively encourage and practice these in their daily activities on behalf of these agencies and groups. Formal techniques of coordination include regularly scheduled meetings, check-point procedures and subcontracting; informal techniques include ordinary conversation and informational seminars with an opportunity for informal discussion.

The obstacles to coordination may be the result of people's attitudes--opposition simply to change or specifically to certain concepts, such as resident participation, that are basic to community action; institutional--those that relate either to a complete lack of information as to the existence of the Community Action Agency or to various misconceptions as to its functions; or professional--problems that relate to the professional cadres of antipoverty workers.

The key to solving most of these problems is communication, but the difficulties do not usually disappear overnight. Institutional change must often be effected.

F. Advocacy

In community action, advocacy means acting on behalf of the poor--defending their rights and point of view--until they can effectively do so for themselves. This is implicit in everything that the CAA does. And again, all CAA Board members who are officials or members of other agencies are responsible for advocating the interests of the poor in their individual agencies and offices.

Advocacy includes persuading agencies to give the poor a voice in any decision-making that affects them; encouraging agencies to fill staff positions with individuals who are poor and sometimes poorly educated and poorly trained, and to give them opportunities for additional education and job training that will lead to their career advancement; and negotiating with private institutions and organizations to change job requirements or criteria for union membership.

It also means transmitting the skills and means for advocacy to the poor so that eventually they become their own advocates.

G. Institutional Change

Institutional change denotes revision of certain policies and practices of established elements in society--welfare departments, school boards, labor unions, business firms, the civil service, the

mass media and others. Without basic institutional changes, no amount of programming to improve the lot of the poor can end poverty.

Some examples of institutional change are the changing of civil service laws to allow for new careers for nonprofessionals in the public agencies, the passage of fair housing ordinances, the extension of credit by banks to minority businessmen, the giving of "equal time" to the point of view of poverty groups by the mass media.

Institutional change is accomplished by a combination of polite persuasion and outright pressure, including legal action or the threat thereof:

- CAA Board members may exercise their powers of persuasion on other agencies and groups to which they belong and on other decision-makers in the community.
- Representatives of neighborhood groups may negotiate with a private agency or a branch of the government.
- The CAA may use its program funds to temporarily provide new services on a competitive basis.
- The CAA may publicize an injustice or ineptness and mobilize public opinion to correct the situation. The means of doing this include public meetings as well as public newspapers and community newsletters.
- The poor may organize to act on their own behalf via public demonstrations, sit-ins and rallies, and economic boycotts and rent strikes.

As mentioned before, the Chapters in Part I discuss more fully these seven concepts--delivery of services, community organization, resident participation, mobilization of resources, coordination, advocacy and institutional change.

TRAINING METHODOLOGY

I. Introduction

For your first training session, you may want to use the material in this chapter as an introduction to or overview for other training sessions. You could use this overview chapter:

- to explain to board members the general purposes of training;
- to establish yourself as an accepted trainer and a respected resource person;
- to help board members establish some of their own learning goals for subsequent sessions, and most importantly;
- to gain a commitment from board members to participate in this training and to motivate them to want to learn more about community action.

As stated in the initial chapter of the manual, before conducting the first training session you should have developed rapport with board members and planned a program with the board's training committee. After studying information about the board's organization, programs, budget, and history, you should be able to answer these questions: What is the effectiveness of the CAA's programs? What is the relationship of the board with its director and his staff? Who are the leaders within the board? How do they influence the board? How effective are the low-income representatives in setting board policy and evaluating CAA programs? When, where, and how frequent are board meetings? How are board members chosen and how frequently do they attend board meetings? When you have answered these questions, you will be ready to begin the board's training.

In organizing and conducting training sessions, it is imperative to keep in mind the different interests and experiences of the participants. Therefore, you must be sure the sessions are meaningful to all participants.

II. Overall Objectives

The introduction session should achieve several goals. Most importantly, it should cause the participants to consider their responsibilities and decide that they need training to help meet them. It should cause the participants to be aware of the variety of actions open to their board and CAA, and the members to look to you to help increase their knowledge.

To help you prepare for the important task of developing positive attitudes to training, read Robert Mager's excellent but short book, Developing Attitudes Toward Learning, Fearon Publishers; Palo Alto, California, 1969.

III. Specific Learning Goals

1. WHY IS BOARD TRAINING NECESSARY?

When presented with several hypothetical problems concerned with in-house and program operations, the board members will be able to suggest ways training could reduce or solve them.

2. IN WHAT ACTIVITIES SHOULD A CAA INVOLVE ITSELF?

The board members will be able to describe the seven key elements of community action and ways their board performs for each one.

3. HOW CAN TRAINING HELP A BOARD BE MORE EFFECTIVE?

The board members will be able to describe actions their board could take to be more effective and identify knowledge and skills they need to perform these actions. They will also be able to describe how training could help them acquire knowledge and skills.

IV. Methodology

LEARNING GOAL #1: Why is CAA board training necessary?

1. Determine the effectiveness of the board and its CAA well before the start of this session.

2. Learn about the internal problems board members have in dealing with each other or with the director and his staff.
3. Try also to identify problems that the CAA is having with delegate agencies or other organizations in the community. Look for areas where the CAA has not yet sponsored extensive community action activity.
4. Examine the problems. Ask yourself which one can best be reduced by some additional training for board members.
5. Design a dialogue for two or three of the problems when you have isolated them.
6. Select two or three people (you may participate) who will carry on a well-rehearsed discussion about the problems facing CAA board members. Have the conclusion evolve around the idea that CAA board members could use some training to help solve the particular problem under discussion.
 - a. For example, one external problem you may discover is that a particular board does very little in terms of encouraging residents participation. Possibly, the board should help form tenant associations or block clubs or sponsor a campaign to involve low-income residents extensively in established community activities. You might trace the cause of their lack of activity in encouraging resident participation to the fact that board members simply were not aware of their charter responsibility to encourage resident participation. If this were the case, you might want to arrange a demonstration dialogue between an OEO representative and the CAA board chairman, an example of a dialogue which would be acted out in front of the group for this case is given below:

Board Chairman: "I read in the paper yesterday that some people in a neighborhood in Detroit formed a tenant association."

OEO Representative: "What do the people in the tenant association do?"

Board Chairman: "Oh, they do lots of things. They try to get the landlords to maintain the apartments. They help people in the neighborhood to become acquainted. If there is something that the government ought to do, for example, enforce a housing law or clean up the street, the tenant association tries to get the government to do it. It's like a union for all the people who live in a neighborhood."

OEO Representative: "How do you feel about a tenant association like that?"

Board Chairman: "Oh, it seems like a good thing to me. I wish we had some in our community."

OEO Representative: "Why do you think you don't have them?"

Board Chairman: "Well, I guess no one has ever gotten around to organizing them."

OEO Representative: "I wonder why the CAA hasn't organized them?"

Board Chairman: "Do you think that organizing a tenant group is something our agency should get involved in?"

OEO Representative: "Oh, certainly. One of the most important things a CAA could do is to encourage community participation of all kinds."

Board Chairman: "You know, I think that the people on our CAA board might like to help set up a tenant association. Except, I don't think many of us really are aware that our CAA can do that kind of thing."

OEO Representative: "Do you think there's some way we could let board members know about tenant associations?"

Board Chairman: "Well, we're having a board meeting next week. Can you come over and talk with us about different ways that we could encourage more community participation?"

OEO Representative: "I'll be glad to come over. Thank you."

7. After you conduct each conversation, ask for comments from board members. Ask the board members if they felt the dialogue was built around a real problem. Ask them if training for board members might help them.

LEARNING GOAL #2: In what activities should a community action agency involve itself?

1. Work on building the board's self concept. Try to enable board members to see all of the major aspects of their jobs.
2. Give a very brief explanation for each element of community action. Illustrate your explanation with examples of what other CAA boards have been able to do in this particular aspect of community action.
3. Ask board members to describe activities that the CAA has already undertaken in each aspect of community action. Ask them to describe activities that the board might do in each aspect. You may want to break the group into smaller clusters to conduct this exercise, depending on the size of the group you're working with and the amount of time you have.

LEARNING GOAL #3: How can training help a board be more effective?

1. Explain to the board that you are available to help conduct or arrange training sessions for them on practically anything they might want to have training. Explain that you are especially interested in structuring training around the key interests and needs of their board.

2. Break the group into clusters of from five to nine people. Give each group a handout on which you list the aspects of community action and board responsibilities. See the Master Chart in the "Introduction to Methodology" for a model to follow.
3. Ask each group to identify three or four areas of board operations about which they want to learn more, and to describe what changes they would like to realize through the training. Have them explain to you the information they need to learn for each area selected.
4. Reconvene the board members, if you have the time, and have a representative from each group make a brief report on his group's recommendations.
5. If you are pressed for time, you can obtain information on each group's interests simply by going from group to group and inquiring subjects discussed and decisions made.
6. Use the information you've gathered from this session to help you structure future training sessions.

V. Evaluation

Your evaluation of this will be acquired largely through informal discussions with board members, since your basic goal is to develop their commitments to the training program you and their training committee developed. The specific learning goals you develop for this session are not as critical as those you will develop for future sessions. An opening session usually is largely a process of moving board members to see themselves as a training group and you as a trainer.

One obvious measure of your success will be the attendance of members at the next training session. But this measure would indicate problems in board acceptance much too late. To avoid this situation work with the training committee. Conduct a short survey of the members reactions to their first training session, either at the end of the first session or during the week which follows. This feedback, along with that you acquire in discussions with board members, will give you a good base for making improvements in your training program and style.

DELIVERY OF SERVICES

(Part I, Chapter 2)

DELIVERY OF SERVICES

(Part I, Chapter 2)

- I. INTRODUCTION
 - A. Delivery of Services in Action
 - B. The Ultimate Goal of Services
- II. PHILOSOPHY OF SERVICE DELIVERY
 - A. What Kind of Services?
 - B. By What Strategy?
 - C. All Services are Worthwhile
- III. PROBLEMS AND SOLUTIONS
 - A. Getting the Needy to the Services
 - B. Getting the Services to the Needy
 - C. Getting the Services to Work Together - Coordination
 - D. Modifying Old Services and Starting New Ones
 - E. Gaining Respect and Self-Respect
- IV. SUMMARY

I. INTRODUCTION

A. Delivery of Services in Action

When the Memphis Area Project-South was funded by the local CAA for a program emphasizing delivery of services, few people anticipated how service would be translated by the residents into "self-service". Because money was limited, MAP-South relied more on existing agencies than on providing services itself. However, it did provide job counseling and placement, and achieved a higher placement rate than the Tennessee Employment Security Office did. That success, along with the general upturn in service delivery, enabled MAP-South to win the confidence of the residents and get across the idea of community action. Within two years of the start of the project neighborhood aides had organized 75 block clubs having a total membership of more than 3,000. The community spirit had been stirred and given direction. Out of this came an effective campaign against the substandard housing in South Memphis, the creation of mini-parks out of vacant lots, the running of a bus line through a housing project inhabited mainly by the elderly, a non-funded family planning center that religious authorities had formerly blocked, a volunteer legal services program, emergency "closets" of donated food and clothing for whomever might need them, and a T.V. program about the problems of Black people in Memphis. The activity of the residents was what made all these things possible. But without the original delivery of needed services, few residents would have felt it was worthwhile to become active.

Delivery of services -- in this case job counseling and placement services--was the activating ingredient in this story of a successful CAA. Services were the keystone of the program's success, the necessary first step on the road to social progress. That is quite often the case. Orators who make the anti-poverty circuit are fond of saying that hungry people can't go on employment interviews, that women with small children can't participate in job-training programs, and that children who lack adequate clothing can't go to school or to youth centers. These observations are as true as they are common; and they form the basic rationale for the delivery of services.

Often these very basic needs must be attended to before any kind of progress can be made, or organization begun. Dr. Abraham Maslow, a renowned psychologist, has described the very same phenomenon in his famous theory of the Hierarchy of Needs. We needn't go into the whole theory here, but generally, Maslow says that there is an ascending order of human needs, beginning with the very basic needs for food, clothing, and shelter, and ranging all the way up to the need for self-expression, as in painting or writing poetry. But the essential point for our purposes is, according to Maslow, that a man cannot adequately seek to fill one need until he has attended to the lower ones. Thus a man who lacks adequate housing must take care of that first, and then he can turn his attention to other (higher order) needs.

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For another example, in Otero County, Colorado, the Mobilization Against Poverty (MAP) provided a Head Start Program and improved service delivery through mobile outreach and referral. But MAP groups, created with a membership 98% below the poverty line, were soon able to get 50% participation of the poor on Title I ESEA (Elementary and Secondary Education Assistance Act) boards, management and vocational training programs administered by Otero Junior College, and wide cooperation for the first time between poor Latin, white and black Americans in grappling with common problems.

B. The Ultimate Goal of Service

The aim of community action is to eliminate poverty by creating opportunities for the poor to help themselves. Delivery of services is an essential step in creating such opportunities. For the poor to act on their own behalf - the real starting point of the War on Poverty - their circumstances and morale must first be brought to the point where their needs are no longer paralyzing. Provision of the standard social services, and of special services aimed at conditions peculiar to poverty, can do this. It can free the poor of their most pressing day-to-day burdens so they can look at their problems in perspective. And it can give them enough confidence in the CAA to become active in the community for the sake of solving their problems.

In the process, the CAA must be prepared to overcome these obstacles -

1. ignorance of existing services on the part of the poor
2. the inaccessibility of those services
3. their fragmented structure
4. their inadequacy because of gaps or failure even to address themselves to the needs of the poor
5. the impersonal and humiliating treatment entailed in getting them.

Already a body of techniques for overcoming these obstacles has come into existence. They range from the relatively simple method of outreach, referral and follow-up to the complexities of coordination and institutional change. In the latter cases the goal is not to deliver services directly, but to stimulate the agencies that are delivering services (or are supposed to be) to do it better.

The establishment of service centers, in which the residents play a significant role both in policy-making and in staff work, has proved to be one of the most effective means both of delivery services and of creating an improved model for other service agencies to follow.

II. PHILOSOPHY OF SERVICE DELIVERY

A. What Kind of Services?

To be poor means to be deprived, if only in degree, of the standard social services provided to the community at large. Neglect is often the standard -- as little as possible is done. Health and family planning facilities, garbage collection, road repair, traffic control, enforcement of housing codes and fire regulations, the protection of the law, all are generally at a minimum. The services that are needed across the nation are reflected in the titles of major OEO programs: Comprehensive Health, Legal Services, etc.

Poverty breeds among other things malnutrition, mental illness and retardation, drug addiction, alcoholism, illiteracy or semi-literacy and only the most meager vocational training. All these conditions require special treatment or services. If the problem were merely low income due to unemployment, it could be more easily solved. But years, especially childhood years, spent in poverty conditions often have a long-term crippling effect. And some remedy has to be provided for that, or no amount of money or organizing will work.

B. By What Strategy?

The War on Poverty differs from previous movements -- movements conducted by private charities on the one hand and the Federal Government itself on the other -- aimed at relieving the distress of the poor. The differences are really two.

The first is that the full scope of the problem has been recognized. Poverty is a cycle of individuals defeated by social circumstances and then making those circumstances still more defeating by becoming part of them, a cycle that can't be broken unless attacked at every turn.

The second is the strategy of community action. Instead of services being offered passively or from a distance, on a take it or leave it basis, they should be offered actively on the spot. Instead of programs originating at the top they should originate at the bottom. While help from the top is an important weapon in the attack on the poverty cycle, local initiative is the decisive weapon. Communities are not more alike than individuals. Consequently, programs tailored to their needs can only be developed from an intimate knowledge of those needs, in effect by the community residents themselves. The residents themselves know best what new services and what kind of self-service they need.

C. Services are Worthwhile

Ironically, the current emphasis on the human or psychological as against the economic or physical aspects of poverty is proving to be economical after all. Welfare departments have reported substantial savings due to the training and encouragement given to recipients, many of them ADC mothers, enabling them to become partly or fully self-supporting. An early cost benefit study of the Job Corps showed that merely on the basis of the graduates' increased earning and taxpaying power the program had a return of \$1.18 for every dollar invested. And other service programs, whether benefiting Indian reservations, migrant farm workers or prisoners of the ghettos, have shown the same -- the treasury also benefits.

The statistics show that when social services are geared to make the individual whole, they pay off materially. And if they aim at a community's human needs as well as its material ones, they will have a better chance of making the community more productive. Even the aged can and will contribute if their human needs are taken care of.

From outreach projects and Senior Citizens Centers offering medicare, hot meals, recreational activities--not to mention just plain company--has come the Foster Grandparents program. Older persons have enthusiastically returned to work as librarians, teachers, hospital and home health aides, caretakers of roadside parks (in the Labor Department's Project Green Thumb) and participants in community action programs. One well-known account tells how in Vermont an 80 year-old Foster Grandmother taught a 13-year-old blind girl to read.

But services need not always pay off in added productivity. Most elderly people don't return to work, and probably most ADC mothers don't either. But if the quality of their lives and children's lives can be improved, the services they use are worthwhile. The human value alone pays off -- the spirit of the community has been changed enough to make the future there look better.

III. PROBLEMS AND SOLUTIONS

A. Getting the Needy to the Services

Frequently people aren't even aware that the services they need are available. Some families with little income might not realize they are eligible for public assistance. Many unemployed or underemployed might be ignorant of manpower programs offering new skills. The sick might not know about free health facilities, or those with legal problems about free legal aid. The information poor people have about social agencies tends to be incomplete, distorted and disheartening. This is the most elementary problem of better service delivery. To solve it requires little more than energy in the form of outreach, referral and follow-up.

Outreach means what it says -- to reach out into the community and discover those who need services. While announcements in the mass media and the distribution of posters, may help, personal contact is far more effective. Even setting up a neighborhood center is no substitute for personal contact, at least not in the beginning stages of community action. Before the residents will come to a center, the center must go to them. And the best way to seek people out in their city apartments or farmhouses, the places where they shop, their bars, their churches or wherever they spend their time, is to hire and train local residents for the job. Local residents know where to find those who need the services. They speak the same language, figuratively as well as literally.

There are further benefits of outreach. It can be used to survey the neighborhood and discover what the most serious problems are. In addition, it can locate the residents who are most anxious to work on community problems either as CAA or neighborhood center staff or, possibly, as Board members. Outreach usually ends up as intake. It carries information and encouragement about the use of services out to the residents and brings the interest of the residents in community action back in. Where Board members are residents, they might be able to suggest the best outreach technique for the area.

Once personal contact is made, the residents have to be put into physical touch with the needed services. Unless the CAA itself provides these services, referrals must be made to the proper public or private agencies. Workers making referrals should know the regulations of different agencies well enough to be sure the resident isn't sent on a wild goose chase. Welfare eligibility standards, housing codes, Farmers Home Administration loan procedures, the range of public health facilities and the like should all be considered.

Referral, though, isn't enough. The poor are sometimes reluctant to go to an office somewhere downtown or in the county seat. There might not be any convenient transportation. They might have children and no one to look after them. Or they might be treated abruptly by the agency and lost in the shuffle of many applications for help. All these possibilities have to be considered. If necessary, transportation and child care, and someone to accompany them to the office, should be provided to make the services truly accessible.

Moreover, every referral has to be followed up. CAA or center workers should remain in touch with both the applicant and the agency until the needed service is given. And if the applicant is denied the service he is entitled to, the agency must be persuaded to right the wrong. Without follow-up, there is very little value in referral.

It is also important that a record be kept of every referral. It should include the resident's problem, the agency he is sent to and the agency's follow-up contacts and results. Such records will aid the workers in more than the individual cases. These reports can serve as a basis for determining what modifications in the existing services and what new services the poor community needs as a whole.

B. Getting the Services to the Needy

In the long run referring residents to agency offices in the downtown business districts of cities or the county seats of rural areas is ineffective. This is especially true in rural areas, where the distance to be travelled can be long and discouraging. Since a secondary aim of community action is to keep the rural poor from adding to urban congestion by migrating, the CAA has all the more reason to find a way to extend the service lines. Of course, this same task is posed in the cities, where the distance to be travelled is perhaps more psychological than physical, but in its own way just as long.

The way to reduce distance of either kind is to decentralize the services, to offer them close to where the people who need them live. In addition, they should be offered at hours, perhaps in the evening or weekend, when more people can make use of them. In rural areas this frequently means putting the services on wheels, for example, making a mobile health care or food distribution station. Such units, operating from one or more administrative outposts, can also make referrals to permanent stations. In the cities decentralization and extension of hours are best served by a neighborhood center, which houses a wide variety of services and service agencies. Often agencies are willing to outstation personnel to the center because it is there to provide facilities. The center has the obvious advantage of making the representatives of various agencies readily available in one place and at times more suitable to the residents.

The difficulty, however, has been to convince the agencies that they should decentralize and extend their hours. Even with OEO funds there to absorb the costs, agencies sometimes hold stubbornly to traditional routines and attitudes. In these cases the CAA must bring pressure to bear -- a question of effecting institutional change against the will of the institution. Where persuasion fails, appeals to public opinion and legal demonstrations are in order.

There are varying degrees of decentralization. Sometimes a service such as an adult education class or legal aid program will be entirely located in the poverty area. At other times just part of a service, for example, the intake section of the city or county welfare department, will be located there. At still others a service will have only a token presence -- perhaps one State Employment staff member who gives information and makes referrals to the agency's offices elsewhere. However, when an agency has taken the first step toward decentralization, it is likely to find that further steps are not only possible but desirable.

The first neighborhood center opened by LEAP, the CAA of Phoenix, Arizona, became the focal point for a far-flung decentralization campaign. Eventually it housed extensions of 19 federal, state, municipal and private agencies, including the Social Security Administration, FHA, Arizona Employment Service, County Health Department, City Manager's Office, Salvation Army, Catholic Social Service, Legal Aid Society, Planned Parenthood and Family Debt Counseling Service. Within two years of decentralizing, the County Health Department had made 45,000 additional contacts and the Legal Aid Society increased its caseload tenfold.

C. Getting the Services to Work Together - Coordination

More difficult than getting agencies into the target area and together in a center is getting them to make their services into a meaningful whole. If vocational training and job placement are divided between a U.S. Department of Labor program and the State Employment Service -- without much effort on the part of either to work together -- it is no wonder that the trainees and available positions don't match. Or if a child has fallen behind at school for a variety of reasons, including poor nutrition and the demoralizing effect of substandard housing, it is no wonder that tutoring doesn't help him catch up. The question is how to fit the pieces of the service jigsaw puzzle together. And the answer is coordination.

Services can be coordinated to a certain degree merely by persuading the agencies of the benefits of coordination. Past that point, though, there are complications - conflicting philosophies, institutional jealousy, lack of money, legal barriers. Institutional change becomes necessary; the pieces of the jigsaw won't fit together without some redesigning. Agency regulations can often forbid as basic an element of coordination as information sharing, and almost as often pressure is required to alter such regulations. Nevertheless, thorough outreach, intake, referral and follow-up techniques will keep services from being too fragmented, especially if some of them have been decentralized to neighborhood centers.

Outreach workers should emphasize to the residents the range of facilities and programs available. And intake workers at a neighborhood center should explore all the needs of the residents who come in. The center staff should be trained to see beneath the surface of the problems the residents themselves mention. Seeing beneath the surface of an individual's stated needs usually leads to other needs, including some shared by the whole family and by other families.

Even if no center has been set up, the service agencies should be encouraged to probe for other needs and make referrals accordingly. Through personal contact with the residents, community workers can keep track of these referrals and follow them up.

Generally speaking, there has been a shift recently toward decentralization and coordination on the part of public and private agencies, no doubt partly due to the role of agency officials on CAA Boards. And chances have improved for organizing teams, at least in a center, to deal with the more complex situations that come to light. For this there must be a mutual orientation of the team members, and close working relationships.

Similarly, a system for sharing information should be worked out. Waivers signed by the applicants might be a way around agency regulations that forbid divulging of information given in confidence. And if a single registration form were used for many services, the applicant would be more inclined to make use of all the services he is entitled to. Information sharing is often enough to get the services working together. So, too, is a study of the records in a neighborhood center--where before there were only individual problems, a community pattern emerges.

In Battle Creek, Michigan, for example, a review of the neighborhood center records revealed that families on welfare not infrequently had their troubles compounded by the city-owned water company. In one case, a family with several children went the entire winter without water. When the matter was brought to the attention of the Mayor of Battle Creek, who was also the chairman of the CAA Board, he got the city water service to coordinate more with the community's anti-poverty program. The moral can also be drawn from this that the presence on CAA and neighborhood center boards of local government and agency officials offers one important opportunity for getting agencies to cooperate.

D. Modifying Old Services and Starting New Ones

Existing services are frequently inadequate for the purposes of the anti-poverty program. They cover certain needs just partly and others not at all. They are rarely backed up with enough resources to reach more than a fraction of the target area residents. And they waste some of the resources they do have by duplicating or overlapping each other, if not by working at cross-purposes.

Urban renewal might be doing more harm than good, dislocating the poor rather than relocating them. The Welfare Department might be discouraging recipients from working by a policy of reducing benefits a dollar for every dollar earned. The Employment Service might be offering vocational training only to those who pass an aptitude test unsuitable for many of the poor because of language and other cultural barriers. In a largely Spanish-speaking neighborhood there might not be any English classes for adults. In a rural area there might not even be a school bus or a good enough road on which to run one for the children.

All types of service inadequacies plague low income communities, a situation that calls for modifying the services already there and creating others. Modifying is a form of institutional change. Even agencies that decentralize and coordinate easily don't modify easily. Unless suitable means of persuasion can be found - perhaps Board members with ties to the agencies in question - pressure must be applied. In Nassau County, N.Y., the residents of Long Beach applied pressure to modify the housing program. The Nassau Urban Renewal Authority refused to heed requests from the residents for changes in the relocation process. So the residents, taught by CAA consultants what their rights were under urban renewal legislation, requested the Department of Housing and Urban Development (HUD) to investigate the Authority's activities. HUD's subsequent investigation caused the Authority to set up an urban renewal office with a full-time relocation officer in the renewal area. And when the investigation aired charges of collusion and excess fees, the Authority employees involved were fired and new arrangements were made for surveying and determining the needs of the residents. The result was that 60% more residents than previously were identified, leading the city to request 300 instead of 100 housing units.

To make an agency modify its service the CAA must sometimes provide the modified service on a competitive basis. In effect this creates a new service. And to create new services, whether modifications or wholly original the CAA must have adequate resources to draw on. Local initiative might win a specific program grant from OEO, HUD, HEW, Labor or another Federal Department. However, local government and private resources can usually be tapped also, especially if Board members representing these segments of the community use their influence. Often local initiative itself like volunteer workers from the ranks of the poor will prove enough to get a program going -- no money will be necessary. The important thing is for the new service to meet the needs of the recipients. If possible, it should be one they have made clear they want and that they also helped to plan.

Actually, all new services are run on a competitive basis. No matter how successful even an original program is, the CAA or delegate agency can't afford to run it on a continuing basis. One aim might be to spin it off, have it become part of a regular service agency's operation. And often the residents can be trained to run it themselves independently.

In the three Minnesota counties of Mahanomen, Hubbard and Becker there were no home health care services or public health nurses before the Mahube Community Council, the local CAA, was formed. The CAA received \$43,000 from OEO for a Multi-County Health Service consisting of three nurses, one Home Health Aide Supervisor and 26 part-time Home Health Aides. Operating on referrals from doctors, welfare departments, schools and the CAA's own outreach workers, the staff made thousands of home visits, ran illness preventive classes and immunization clinics in the schools, provided maternal and infant care and a variety of other services. The program made a major impact on the community and the State

Department of Health, its multi-county approach being new to Minnesota and rural America generally. The result was that the Health Service became a non-profit corporation (maintaining poor persons on its governing board) and was certified by the Social Security Administration as a Home Care Agency. And Medicare, Medicaid, State Department of Health, Veterans Administration, insurance companies and the three counties contributed to its costs. Moreover, most of its costs were met by fees paid by those patients who could afford them. Within three years of its inception the service was an independent force in the anti-poverty struggle.

E. Gaining Respect and Self-Respect

Even if services weren't cut off by ignorance and inaccessibility, and weren't limited by their fragmented structure and other planning inadequacies, they might still fail to meet the needs of the poor. They might fail to meet the psychological needs, namely to be treated in a courteous, considerate way, in a manner that pays the recipients due respect instead of asking them to pay the price of self-respect. Service agencies are often guilty of this failure because of bureaucratic procedures, which place administrative needs above any other, and because of the more or less mass character of the service operation, which puts pressure on the agency staff to be impersonal. Another common factor is that the attitudes of the personnel toward the poor have been conditioned by class or ethnic prejudices. The poor or organizations working on their behalf have no reason to tolerate second-class treatment resulting from these procedures, pressures or prejudices.

Institutional change is, again, what the CAA must bring about. More precisely, a "sensitizing" of the agency. This can sometimes be accomplished by persuading the agency to implement a program training its personnel to be more aware of the residents' problems, or by merely simplifying the forms and procedures the agency uses. But in the long run the solution lies in changing the relationship between the agency, or for that matter the rest of the community, and the poor. The poor must come to share in or at least influence the decision-making process of the agency and of all the other bodies which play a role in their lives. Once the poor begin to do this, the attitude of those bodies will change. In Milwaukee the work of the United Welfare Recipients, originally just 20 ADC mothers, caused the welfare director to write to the CAA delegate agency that UWR was "very eloquent in citing situations that need changing" and was "performing real service in helping the welfare administration understand more completely the human side of being a recipient."

IV. SUMMARY

To deliver services is, by definition, to do something good. Services are needed, and usually they are needed immediately. To respond to human need in that way is both necessary and proper. We have said this in order to lay to rest the enduring myth that delivery of services is somehow bad, or not the function of the CAA. While it is true that the CAA has many functions besides delivering services, we have demonstrated through Dr. Maslow's theory of the hierarchy of needs and through repeated CAA experiences that basic services must be provided before other CAA programs can be advanced.

Services are the foundation on which activities like mobilization of resources or community organization must be based. With respect to community organization, for example, the two are more likely to overlap or even occur simultaneously than in sequence. They lead into each other. From improved service delivery comes greater interest and energy in community organization, and from other interested and energetic organizations comes still better service delivery. The residents see how to do as well, if not better, for themselves what the CAA has been doing for them. They believe that they can, and they do, bring about change in the service agencies.

One natural place of improved services and community organization, of course, is the neighborhood or rural area center. There residents can most easily become involved in the operation of the center itself and start developing the confidence and sophistication needed to hold their own with other community groups. Planning programs, setting priorities, soliciting funds and other resources, negotiating with agencies in the community to decentralize into the center, recruiting staff, learning parliamentary techniques, evaluating what is being done, etc., all carry the residents further from being forever dependent on the services, and closer to genuine independence.

TRAINING METHODOLOGY

I. Introduction

The group has had a broad exposure to community action in the first chapter, Introduction to Part I. You are now ready to focus on the seven key elements of community action: delivery of services, community organization, resident participation, mobilization of resources, coordination, advocacy, and institutional change. A separate methodology chapter has been prepared for each element; this chapter is devoted to delivery of services.

You will encounter a variety of attitudes on delivery of services among board members. Some may view as self evident the concept that low-income people need expanded and improved services. In this context, they'll list a number of standard services (welfare, health, job placement, special education, etc.), and cite their growing expansion. They will know, in a general way, about many Federal, State, and local government and private programs that supply services to communities. Some may even state, or quietly harbour, concern over the rising cost in taxes to support the programs and agencies supplying these services. Other members may view receiving services as "getting hand-outs" or "being on the dole." Even the most enlightened board members may covertly or unconsciously hold these views. Board members from the ranks of the low income may feel guilt for having received services.

You can do much to eliminate these negative attitudes by first of all pointing out that all segments of our society receive institutionalized aid. Airlines, farmers, and railroads receive subsidies. Colleges and universities receive grants. Individuals, businesses, and corporations benefit from Small Business Administration Loans, tax policies, (such as the oil depletion allowance) dividend inclusions, the Federal Investment Credit, accelerated depreciation guidelines, inducements to locate plants in certain areas, to name just a few. Organized union members receive financial assistance in the form of strike funds, and medical and retirement plans. You should discuss these services fully so that the analogy of these vast expenses, subsidies and assistance programs to the delivery of ser-

vices to low-income people becomes obvious. Stress that the myriad forms of institutional aids are means to get organizations and individuals on their feet so they may become self-sufficient.

The aim of this chapter, and your task as trainer, is to show that despite the apparent increase in social services, low-income people still receive substantially less than they need. You must develop in board members a sensitivity for the need to expand these services and a will to make plans and take actions that will result in expanded services and better delivery of them. By training the board to develop insights into the fact that service, combined with community organization, leads to self-service, self-help, independence, and pride, you will help overcome the apathy to improving the delivery of services. Furthermore, you will stir the board to act vigorously to bring more services to the community and to maximize their efficient delivery.

II. Overall Objectives

This chapter is designed to enable the board:

- to understand the importance of expanding services in the community.
- to look upon delivery of services as a necessary step in freeing people from the paralyzing social disease of poverty so they can begin to master their own lives.
- to be aware of the various obstacles to improving services and how they can be removed.
- to develop positive, effective strategies and approaches to expanding services and making them more efficient, as well as effective, for the recipients.

The immediate goal of these objectives is to improve the delivery of services. However, the ultimate goal is to eliminate, through institutional change, the need for delivery of services.

An important sub-objective involves enabling

board members to describe orally, or in short paragraphs and specify at least one example of the terms outreach, referral, and follow-up.

III. Specific Learning Goals

1. WHAT IS "DELIVERY OF SERVICES?"

Members will be able to explain orally "delivery of services". They will be able to explain and illustrate with examples that the delivery of services is a characteristic of all aspects of an industrial society. They will also be able to specify the services available to their community and the services that are unmet.

2. WHY ARE SERVICES NECESSARY? SHOULD ONLY LOW-INCOME PEOPLE RECEIVE THEM?

Members will be able to defend successfully, in a debate or simulated adversary interview, the distinction between providing services and giving out a dole.

3. WHAT IS THE RELATIONSHIP BETWEEN SERVICES AND COMMUNITY ORGANIZATION?

Members, after participating in a field visit, will be able to describe ways in which community action improves delivery of services.

4. WHAT ARE THE OBSTACLES TO IMPROVING SERVICES?

Members will be able to list five obstacles to improving service, giving at least one example for each obstacle.

5. HOW CAN OUR BOARD IMPROVE SERVICES?

Members will be able to describe at least one solution their CAA can develop for each obstacle to improving service.

IV. Methodology

LEARNING GOAL #1: What is delivery of services?

1. Open this unit by conducting a guided discussion on delivery of services in the community. Begin by asking board members to list the services the community requires (e.g., welfare, job training and placement, medical and dental services, early childhood and adult education, etc.). List the member's responses on one side of a flip chart or chalkboard.
2. Have the board identify the services the community is actually getting. Guide their response so they are given in amount of dollars or numbers of people served. List these responses on the other half of the flip chart or chalkboard next to the appropriate service. Be prepared to verify the accuracy of responses or supply some of the responses. You can do this by doing pre-training research on the level of services being delivered.
3. Guide the participants into a discussion on the adequacy of the services listed. In some instances, the required services suggested in the discussion may not be available. In other cases, the level of services may be blatantly inadequate. In still other cases, you can lead board members to infer inadequacy by comparing in abstracts and studies the variety and degree of services available on state or national levels.
4. Discuss ways they can work through the CAA to increase and improve service delivery. Note these on a flip chart. Keep the responses for use as a continuing reference throughout this segment of training. They will serve as a useful review and reminder for board members on the services the community needs. Also, the suggestions for improving delivery of services will be useful

as the beginning of an action plan for the board.

LEARNING GOAL #2: Why are services necessary?
Should only low-income people
receive them?

1. Use the guided discussion training method to discuss negative attitudes regarding basic human services that some participants may harbour and help correct them. Call upon their experiences by pointing out that each of them is receiving, or has received, some form of assistance (aid, subsidy, loan, grant, etc.) from a governmental, quasi-governmental agency, or private organization. Guide your discussion so the members articulate the form of assistance they have received. Refer to the introduction of this chapter for a discussion of aid received by all segments of our society. Incorporate this into your discussion at this point.
2. Consider devoting part of the sessions to "testimonials" on how services can work successfully. This will help impress on the board that services are needed. Have articulate community residents who have received services describe how services have helped them overcome difficulties. Examples of these people are:
 - a. A young person who has received job training and has been placed in a job that is helping him live a meaningful life.
 - b. A welfare mother receiving aid to keep her family together.
 - c. An elderly person benefitting from medical or nursery assistance.
 - d. An ex-addict saved by participating in a public or private anti-addiction program.

Let these invited guests speak for themselves.

Stimulate exchanges between them and the board. You can keep the exchanges going by asking questions of the visitors. For example, you could ask them how they got into the program; what services they have received and are currently receiving; what administrative difficulties they've encountered, etc.

LEARNING GOALS #3: What is the relationship between services and community organization?

Use participatory training methods to convey this goal. The major learning goal here is to have the participants understand the relationship between improved services, community organization, and action. To do this, show them how a lack of knowledge of existing services thwarts improvement. Help them understand that improvement follows active participation by those requiring the services. Learning the meanings of "outreach", "referral", and "follow-up" should facilitate achieving these objectives. Two suggested approaches may be useful.

1. Arrange a field trip for your board to a neighborhood center where decentralized services exist. Before the trip, prepare them by briefly describing the services the center offers, or have the center itself describe the services. Prepare an observation chart for the participants - something they can use to structure their experience on the field trip.
2. Arrange for individual board members to accompany neighborhood workers on one of their rounds. This will allow the board member to experience directly the way outreach, referral, and follow-up function. It will also give the member a first-hand opportunity to see the effects of poverty. After each of these approaches, have participants exchange experiences. Summarize the discussions by pointing out the ways community organization improves the quantity and quality of service.

LEARNING GOAL #4: What are the obstacles to improving services?

1. Invite local authorities who are familiar with the problems to describe the frustrations of low-income people and the obstacles to improving services. One of the obstacles, the treatment of low income people trying to obtain services, needs special handling. Board members will acquire empathy for the humiliating and often degrading experiences low-income people receive from "The System."

Consider two approaches here. In the first approach, develop a role play in which board members act out the procedure of applying for assistance (welfare would be the best example). The role play should be realistic - containing all the frustrating forms and all the humiliating questions. If acceptable, the rule should be established that the role play participant must give true, personal information, even though it is a mock interview. This will enable him to empathize with the applicant in a variety of real life situations.

2. Have participants actually go to public or private agencies and seek assistance (again, welfare might be the most revealing experience). Special arrangements may have to be made with heads of service agencies. This method might be difficult to apply if board members do not cooperate. However, despite the difficulties, the learning experience will be acute. (If you are unable to use this method, you might modify it by having board members seek assistance by telephone from a number of agencies. Although this will be less dramatic, the experience should prove useful because they will likely receive a cold, impersonal or hostile reception.

LEARNING GOAL #5: How can our board improve services?

1. Use the substantive discussion method and invite various authorities, as in the fourth goal, to lead the discussion. You should also be prepared to present solutions applied by other communities to remove these obstacles.
2. Consider developing a case study that centers around a hypothetical, but representative, poverty family. The case could show family members in need of a wide range of services. It could describe a host of disparate but uncoordinated services available in the community. One objective of the case would be for the board to develop (through a CAA described in the case study) a plan for delivering services to the poverty family in the most efficient, economical, and humane way.
3. A number of films are available which will be useful in this aspect of training. "Uptown, A Part of the South Bronx" and "Store Front" are a "before and after" series that show the need for social services and how a community organized neighborhood centers to supply the services. "The Welfare" is an excellent bright film about how welfare mothers organize and act to improve a major social service. These two films are listed in OEO Film Guide. "Working With People" demonstrates bad and good techniques for service workers in dealing with the people they service. This film is produced by Community Action Institute, 240 Cedar Street, New Haven, Connecticut, 06519.

V. Evaluation

Evaluation of the participant's learnings on delivery of services can be accomplished at two levels: Level I is the evaluation on the participant's learnings at the end of a training session; Level II is the evaluation of his performance on the job after he returns from training.

To accomplish a Level I evaluation, for each learning goal have the members write or state four learnings that helped them accomplish this goal as well as describe the extent they didn't accomplish the goal. You could do this by passing out a paper which states these goals and leaves room for the responses.

To accomplish a Level II evaluation, prepare a similar sheet for each learning goal. In this case ask the members to describe four actions they have taken as individuals or as a board as a result of this learning. In your discussions with board members, ask them questions keyed to the learning goals to identify that they have actually acquired new knowledge.

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COMMUNITY ORGANIZING
AND CAA BOARDS

(Part I, Chapter 3)

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I. INTRODUCTION

Organizing a community to act on its own behalf is basic to fighting the causes and problems of poverty. This chapter will define community organization; suggest some ways to do it; and show the value of an organized community.

Community organization, it will surprise no one to learn, is the result of organizing. Initially it simply means getting people to relate to each other; to come together; to talk together; to interact together. Hopefully from this interaction people from the same environment will become aware of their common needs, common problems, and common attitudes. This new awareness of shared problems and aspirations can then act as a stimulus for those people to act collectively as a cohesive force. People acting together in a group make a community organization. Community organizations can be angry tenants joining together to impose certain rules or requirements on reluctant landlords, or they can be unemployed men demanding employment, or welfare mothers tired of humiliating indifference from welfare officials. Whenever a CAA staff member can create an awareness among his constituents of their common needs or problems, he is beginning to organize, which hopefully will result in a community organization willing to focus on an issue and act.

How does this relate to CAA Boards and their members? Simply stated, the Board must have within the poverty community and the community at large a base of support, a base of committed citizens, if its policies and programs are going to move from blueprint into reality. A community organization or group of community organizations provides that base. At best the base will be organizations of peoples from both the poverty and the total community complimenting each other as a base of power which can support organizing for change in the poverty community.

It is vital that Board members understand (1) the process of organizing; (2) the definition of community organization; (3) various approaches to community organizing; (4) the types of power available to community organizations; and (5) roles and function of the CAA Boards and its members and CAA staffs in community organizing. The reason this knowledge is important to Board members is that CAA Boards and their members must play a supportive role in community organizing.

A. Supportive--The CAA Board should give direction and support to CAA staff efforts in organizing a poverty community. The CAA Board should solicit support for community organizations from the total community. If there exists a group of angry tenants, the Board should support the CAA staff efforts to organize these tenants by soliciting the sympathy, understanding and support from other segments of the community, especially relevant organizations such as (in this case), real estate companies, local officials, bankers, mass media, etc.

B. Resource-- CAA Boards should act as resource people in assisting the CAA staffs' efforts to organize. If a CAA staff plans a social event to help residents of an area become better acquainted in an effort to stimulate community organizing, CAA Boards can help by the solicitation of equipment, funding, buses, free soda, special park facilities, etc. This fundamental sort of resource support is vital to opening doors for employment programs, gaining supplies for day care centers, or getting bank loans for neighborhood coops. And as fundamental as this kind of support may be, it permits things to happen, and it makes a good early impression.

C. Technical Assistance--CAA Board members can contribute their own expertise and experience to CAA staffs, community organizers and members of community organizations.

D. Finally, the CAA Board is designed to act as an impetus for change in both the total and poverty communities. Change in the community, based on organizing, can be constructive and productive, or nonproductive and destructive. CAA Boards must guide their actions so that organizing people proves to be constructive to their lives, and potentially productive to their community. Organizing just to organize, or to ferment change that is not given constructive direction, can lead to riotous explosions of frustration in the poverty community and reinforces those who wish to ignore the needs of poor.

II. CONCEPTS AND DEFINITIONS IN COMMUNITY ORGANIZATIONS

A. Concepts

1. Total Community. The success of any poverty program depends on organizing the total community. The total community is the ultimate source of resources in the war against poverty. Resources can be moral force of financial force, political power or influence. A total community organized to assist its members who are in poverty will ensure the success of programs and policies designed for the poverty community. In the end, the total community will prosper or flounder in direct proportion to the progress or failure in eradicating poverty in one section of the community; for poverty drains the resources of the total community.

2. Board Roles. Board members, acting individually and collectively, will greatly determine how a community can be organized. The CAA Board should be willing to act as a stimulus for community organizing.

B. Definitions

1. Community Organizing. The act or process of getting people together into a group (an organization) that has a life of its own. It is the joining together of individuals who share (1) common goals; (2) common issues; (3) common needs; (4) common problems; (5) common roles or (6) special identities. The catalyst for organizing might prove to be one or any combination of these six areas of commonality.
2. Policies for Community Organizing. This means, generally, the attitude the Board officially adopts toward community organizing. The Board sets goals and stipulates the boundaries or limits on obtaining the goals. As an example, a Board may choose as its policy to organize unemployed men into a group, but limit the recruitment to a geographic area.
3. Strategies for Community Organizing. Strategy refers to the way a Board policy is carried out. There are several ways to achieve any goal. The Board helps the CAA select the best way. That's strategy.
4. Board Tactics are the day-to-day techniques used to appeal to those the Board wishes to organize and to motivate them towards acting as a group in their own behalf. This is fundamentally an area of CAA staff concern but Boards should help CAA staffs devise and review their tactics, and evaluate their usefulness.
5. Community Development is the positive or successful result of community organizing. It is the end result of all successful programs based on the efforts of CAA Boards, staffs and community organizations. That is why we say that the foundation of community development or change, is community organization.

6. Apathy emits from the poverty community as a result of perpetual defeat coupled with the deadening impact of a totally decadent environment devoid of any form of relief. The day after day, all consuming effort to accumulate enough money for food, shelter, and clothing; the lack of education and other tools required by society for gainful employment; the lack of self-respect and respect from others; the sensations of perpetual and total rejection; the systems that don't respond or humiliate in their response; the inability to give to the young; the hallways that smell; the plumbing that doesn't exist or won't function; the landlords who scrimp on heat; the rats that gnaw in the walls all night and threaten children in their alley playgrounds and beds; the total inability to change any of this environment meaningfully, causes the human mind and spirit to retreat into a sanctuary of numbness, where hope is slim, promises remote, and affecting one's destiny seems beyond the realm of reality. That is apathy, and that is what the CAA is up against in organizing a community...apathy must be overcome first, and it will take a strong CAA staff backed by a strong Board to do it.

III. BASIC KNOWLEDGE NECESSARY FOR COMMUNITY ORGANIZING

To design policies and programs for organizing members of a community, Board members must first gain a basic knowledge of both the total community and the poverty community.

CAA Boards must be able to identify the natural leaders of both communities, as well as those who are publicly or otherwise appointed. They must be able to analyze the power structure of the total community and the power structure of the poverty community. Leadership is fundamental to organizing. A CAA staff might have better luck in organizing a community if the CAA delegates the responsibility of organizing to natural or recognized leaders indigenous to the community. This will often enable the CAA to draw on "nonprofessional" people to supplement staff organizing efforts. The CAA Board should consider employing such natural or recognized leaders in a full-time capacity as CAA staff organizers. To assist these recruits, a training workshop could be designed by the Board and staff. Hopefully, too, a natural or recognized leader in the poverty community will serve on the CAA Board to advise other Board members who are not familiar with the culture of poverty, or who don't know as much as they should about the people whom the CAA seeks to organize.

Natural or recognized community leaders are often jealous about their power and, therefore, knowledge of the community power structure is fundamental to the recruitment of leaders and any designs for organizing. Finally, Boards - should define those problems indigenous to the poverty community and then analyze how these problems relate to the total community.

Having once established this base of information, CAA Board members should be able to articulate the identified problems and needs to fellow Board members, to constituencies, and to both the total and poverty communities. This ability to articulate helps CAA Boards fulfill their obligation as a public relation support staff for community organizing.

IV. STRATEGIES FOR BEGINNING TO ORGANIZE

1. Boards should be careful not to overextend the CAA in its commitments, or make plans with a high risk of failure. Poverty communities meet failure daily, and the CAA often meets apathy as it is. It is the duty of CAA Boards to make certain they do not add to that apathy by being another failure in the community. Therefore, they must be realistic, so that success is relatively more certain. To fail might mean future negative responses to new efforts for community organizations. Policies must be relevant and realistic.
2. A Board may organize a community by electing to focus on an issue. It can be a political, social or public service issue, a controversial issue, or an issue that has not been publically aired but smolders under the surface of the community. Community control of schools might provide the issue, as might police relations, or recreation facilities, or any number of issues about which a large number of people feel strongly.
3. A Board may aim at community organizing by challenging the policies or availability of public services and/or public institutions. For example, a Board may help the CAA challenge the Sanitation Department for its incompetent service in poverty areas.
4. A Board may elect to act solely as a catalyst for creating a community awareness or cohesiveness, which, hopefully, will lead to community organizing. The Board may then elect either to let the organized community act as its own momentum for change, or may at that point of community cohesiveness, move to provide leadership. In these endeavors, the Board directs the staff to promote social programs, block parties, etc., to help pull people together.

There are other options, but once the decision has been made on the best plan for organizing a community, the Board must leave the implementation of this decision to the CAA staff and act in the supportive capacities listed in the Introduction.

In effect, CAA Boards can help create community organizing by "drawing the fire" towards issues, institutions or common problems. All of the above strategies give energy, momentum and focus to community organizing--the drawing together of citizens.

The following is a case study which illustrate how the CAA Board functions in community organizing:

Following the establishment of a CAA Board, those Board members representing the poor informed the rest of the Board that one of the most serious problems in the poverty community was unemployment. Board members asked that a Board committee, be established to study the problem, evaluate its seriousness, consider a variety of remedies, and evaluate the usable resources within the poverty and total communities. The committee reported back to the Board that indeed, there was a serious shortage of job opportunities. The committee suggested that two possible remedies were (1) to establish manpower training programs and (2) to canvass the total community in a campaign to get employers to establish on-the-job training programs with guaranteed employment following training.

The Board decided as its policy to focus on the problem of unemployment. It called in the Executive Director to inform him of the policy and to ask the Executive Director to participate with the Board in considering strategy - the evaluation of resources which could be tapped throughout the entire community. The Executive Director suggested that one of the most important resources was the support of respected poverty community leaders, who could (1) help other Board members solicit help from the total community and (2) provide leadership in encouraging the unemployed to participate.

The most important need at this junction was to organize private enterprise, labor unions, and public officials into a cohesive working force to create jobs and training. The next most important step was to organize the poverty community to provide impetus to CAA efforts in the total community as well as to identify the unemployed who would participate once programs were established.

To organize the "resource" segment of the community, CAA Board members went to the mayor, the Chamber of Commerce, the Lions, the Elks and other civic clubs and made concise presentations of the problems caused by unemployment, and the Board's proposed solution. Leaders in private enterprise and the public sector were asked to help. Those willing were organized into a Community Employment Task Force sponsored by the Chamber of Commerce. By these means training resources, job opportunities, and available funding were made known. The resources and the leaders were organized to act.

In the poverty community, indigenous leaders on the blocks, in clubs, churches or pool halls, were asked by CAA organizers to spread the word that those unemployed men and women seeking work should meet at specific times and locations with CAA organizers. At these meetings the unemployed would make known their past employment experience, type of training desired, job preferences and availability. In addition, they would be asked to sign a petition demanding training and job. This petition would be presented to the mayor.

To support this petition for training and jobs, public concern would be demonstrated in a peaceful show of need, and those businesses and industries not responding to the call for training and jobs would be peacefully petitioned through demonstrations. CAA Board and staff members would move behind the scenes to bring attention to the problem through the mass media.

This is organizing. Organizing is making people aware of their problem to the point of soliciting their support for change through action. Organizing a community means organizing people, informing them of common needs or problems, informing them of constructive ways to remedy their problems. Organizing means providing leadership, technical assistance, mobilizing resources, changing institutions. Organizing is the basis for all those components of an overall community action program. The CAA Board functions as a support team for the Executive Director in giving "power" support to the policy they have adopted and which the Director and his staff must execute.

V. THE POWERS OF COMMUNITY ORGANIZATIONS

- A. Power Strategies of Community Organizations. The power strategies that community organization may apply to make their presence known and felt are: (1) vote power; (2) numbers power; (3) dollar power; and (4) threat power.

Limitations have been placed by Congress and OEO on certain types of CAA political activity. But this does not mean that collective activity cannot be directed to affect issues. The U.S. Constitution, the highest law of the land, guarantees certain inalienable rights to each and every citizen. It assigns to them the ultimate authority for controlling and directing the American political system. As elementary as this may seem, neither Congress nor OEO can abridge the provisions of the U.S. Constitution. Therefore, it is the right and duty of all U.S. citizens to exercise certain political privileges or obligations in the American democratic process, and full protection is accorded by the Bill of Rights to any citizen who acts either to educate his fellow citizens to the duties and privileges of that citizenship or solicits the exercise of that right. Therefore, vote power, the encouragement of the exercise of that privilege, should be a valid concern of each and every citizen. Vote power can mean educating fellow citizens as to the value of the vote. It can mean reviewing the various issues at stake and the positions of elected officials. It can mean showing the weight of the vote in directing and controlling the acts of governments and officials toward the needs of the constituency. Vote power is indeed a power for community organizations.

Numbers power is simply the public display of the numbers in support or opposition to some community decision, activity, or situation. Numbers power implies the position of citizens through: (a) petitions; (b) peaceful demonstration; (c) parades; (d) picketing; (e) rallies; (f) fund-raising; and (g) letters to officials, or any other activity which makes public a point of view. Therefore, people are resources for community organization. It is trite but still true to say that in unity there is strength.

Dollar power is the tapping of public and/or private funds to make possible certain programs or actions. This is another category of both the total and the poverty communities' resources. Even volunteered technical or social expertise can ultimately be expressed in dollars and cents. Therefore, donations of expertise, merchandise, or actual dollars, as well as the sponsorship of leading citizens, aids community organizations and are all manifestations of dollar power. But beyond that, dollar power has a reverse power. It can be significant in the very ability to withdraw dollars; therefore, boycotts and strikes can both act as dollar leverages for the application of power by a community organization. A store which sells cheap goods at high prices can be forced to improve its operation with the pressures from boycotting.

Threat power--the ultimate threat power is the riot. This is clearly against the public law, the national standards of conduct and the rules of OEO; and it is most destructive to the citizens most in need. But it is important that Board members recognize the threat power of rioting as a very real power and possibility. The Board's ability to act effectively and meaningfully in behalf of the poverty constituency will, to a very real extent, determine whether or not their constituency applies threat power (a decision over which the Board has little or no control). Certain Board members because of their own sentiments, may try to negate the application of vote, numbers or dollar power, but to do so makes more possible the community application of riot power.

- B. Program Strategies. Program strategies simply mean strategies which challenge existing programs directed by public and/or private institutions, such as, schools, welfare centers, medical centers, recreation programs, legal services. A CAA Board can be a catalyst for community organizing by moving to institutionally change existing programs or establish new programs in place of existing programs.

Low-income people are often the last considered in the administration of programs because they are the least powerful in the total community. But strategies can be applied to reverse this trend. Common needs and problems of a poverty constituency can act as a catalyst for moving against established programs. Therefore, Board programs which recognize the needs of welfare clients, school children, unwed mothers, tenants, etc., and are designed relevantly and

realistically can challenge existing programs and service institutions which then becomes an issue on which citizens can focus and then group to demand change.

Interaction Strategies--Before a Board moves to organize people in order to apply power strategies, it may wish to start on a smaller level by developing social interaction just to fight apathy. This may be done by simply bringing the community together on repeated occasions in social events. This might also help to determine the community's mood and needs. A more conservative Board may wish to let this programmed interaction act as a seedbed for self-starting organizing. Some types of interaction strategies are street cleanups, recreation contests, social programs such as picnics, teen dances, educational entertainment for children, public lectures or homemaker programs.

These three categories of strategies can be twofold--they can either be CAA instigated strategies providing a catalyst for grouping and organizing citizens or they can be strategies which already existing community organizations can be encouraged to use to effect change in the existing systems.

But the Board must always keep in mind that no matter how committed the efforts of CAA Boards and staff, they may well meet with apathy from the poverty community and with indifference or even fierce opposition from the other segment of the total community.

VI. INVOLVING THE TOTAL COMMUNITY IN COMMUNITY ORGANIZATION

Why are other community segments opposed to change in the poverty community? The opposition to community organization activities principally stems from the belief that "every time the ghetto gains suburbia loses." Community action agencies are often viewed as a threat to the status quo. CAA Boards can meet a vital need in poverty programs by acting as educators in the total community in an effort to resolve antagonism. Primarily, the total community must be made aware of the detrimental effects poverty can have on that total community. Poverty means to the total community: (1) higher crime rates; (2) high costs due to crime; (3) higher taxes due to crime, welfare, medicare, public housing; (4) urban blight; (5) disease; (6) loss of consumer dollars; (7) unemployable manpower; (8) social upheavals; and (9) the possible inability to attract new industry. Due to riots, which were due to poverty, Washington, D.C., lost untold millions of dollars in tourist trade in 1968.

These are the points and questions the CAA Board needs to make to the total community when soliciting their support for community organizing.

VII. THE CHOICES FOR BOARD MEMBERS
IN SUPPORTING COMMUNITY ORGANIZING

- A. Representatives of the Public. A Board member representing the elected public sector can elect one of two options. He can either move to sabotage all programs or actions which he interprets as challenging his interest; or he can use his position for leadership among his peers to explain the benefits to all if the poverty community prospers. He can lead his peers to recognize the needs of the poverty community and how community organizing is essential for change. He can initiate generous reactions of support (moral, financial and participatory) from his peers to meet the needs of community organization. In effect, public officials may well be the resource component of the Board for organizing a community.
- B. Representatives of the Private Sector. The Board member representing a special community interest, business, institution or group, also has two options. He can hold his Board membership as a professional laurel, putting his personal career, and his relationships with his peers as first for consideration; or he can act as mediator and educator in an effort to reorganize his institution or group to better meet the demands of the poor. He can supply his special knowledge in helping to design community organizations which will have realistic procedures while meeting the needs of the poor. He can advise in such a manner that the new projects drafted by community organizations avoid the pitfalls inherent in the already operating institutions relating to similar needs. He can act as educator to his special interest groups, articulating the problems of poverty and the special needs of organizing the poor. In the final analysis, the special interest representative can play the multi-roles of educator, mediator and expert in helping to reinforce the growth and direction of community organizations.
- C. Representatives of the Poor. The Board member representing the poor has several options. He can "do his own thing" by venting his frustration on other Board members who in his eyes represent the cause of his frustrations. However natural that approach might be (and however justifiable) it is not a useful way to deal with people who are on the Board for the same reason he is; to end the conditions which give rise to poverty. He can "run a game" by advancing his own self-interest, or he can act as the prime motivator and interpreter between the poor and the non-poor. He can be the ultimate judge of what will or will not organize the poor. He can best articulate their needs and suggest possible solutions. He can motivate other leaders of the poor to cooperate. This representative of the poor can function as the primary catalyst, challenger, motivator and evaluator in the Board's efforts to organize the community.

VIII. THE INTERACTION OF CAA BOARDS

In the final analysis, the CAA Board is the funnel or focal point in the war against poverty. The President declares the war, the Congress designs and funds the forces, but it is left to the CAA Board to plot the battles and engage in action. Too many wars have been lost because the generals couldn't agree. Unfortunately, the same could be said of some CAA Boards. And as already pointed out when poverty wins, everybody loses. Unfortunately the price of the loss has sometimes been measurable in terms of riots.

- A. Boards as Bridge Between Mandate and Action. It is quite possible that the CAA Board might fail in its efforts to organize a community due to tensions and misunderstandings among Board members. Indeed, the Board will be a diverse and mixed group of values, cultures and standards. Before the CAA Board can reach out to organize a community, it must mold itself into an effective administrative unit.

If the CAA Board does not have a constructive working relationship, it will cease to be that vital bridge between mandate and action, resource and need, suburban and rural, and between the poor and the non-poor. Instead, it will become another barrier or roadblock at the most vital junction for effecting community organization.

Through Board interaction, members can learn the positions of their colleagues, thereby becoming aware of official positions on issues heretofore held beyond public scrutiny. Interaction can make available important information for planning strategies. Board members can function as program agents by challenging through Board interaction the rigidity of both public and private service institutions.

- B. Interaction Helps Define Roles. Through the interaction of Board members, members can better determine the various capacities in which a Board member might serve on committees as well as within the poverty community and other segments of the community. In addition, the interaction of Board members can demonstrate the expertise of various individuals, their capacity for leadership, their concepts, and points of view. All of this revelation can be helpful in assigning the roles most productive for individual Board members in supporting the activities of community organizing. Finally, of course, the expressed ideas and opinions of Board members can contribute towards the formulation of policies and strategies for CAA staffs.

Positive Board interaction can result in an enriched discussion of diverse points of view. Negative interaction means that a Board has reached a communications impasse and, therefore, is unable to relate constructively to the poverty and total communities. Each Board member owes it to his position to give his best efforts to a constructive Board dialogue in a committed effort to reduce the causes and effects of poverty.

IX. BOARD-STAFF RELATIONS AND COMMUNITY ORGANIZATION

To effect community organizing, CAA Boards and their staffs must have a good working relationship. The policies and programs prescribed by the Board have no value without a committed staff that can effectively implement them. Therefore, both CAA Boards and their staffs must relate to each others as evaluators, advisors, sounding boards, supporters and implementors.

It is the obligation of the Board to know staff talents, expertise, and potential so that programs for community organizing can be designed realistically to fit the staff abilities. One of the best sources of this knowledge is the CAA executive director. Not only can the executive director inform the Board as to the CAA staff's ability to implement community organization policies, but he can also advise the Board as to the potential problems confronting the CAA in the poverty community. The executive director should be in day-to-day contact with the poverty community. As a result of this contact, the executive director can help to itemize for the CAA Board resources required to accomplish community organization.

The entire CAA staff can act as a vital communication link between the Board and the poverty community. They can advise Board members on the poverty community's response to Board policies and designs. And the CAA staff can best enhance the CAA Board's image in the poverty community, which makes community organizing one step easier. The staff is a very articulate grapevine back into the poverty community.

The CAA Board should help advise the executive director as to any repercussions which poverty community organizing might be having in other segments of the total community. In addition, the Board is expected to reinforce the community organizing efforts of the executive director by: (1) making publically-known their support for community organizing; (2) helping to open new doors of support and resources available in the total community; (3) help the executive director identify and mobilize resources in the poverty community. (In the last item the Board representatives of the poor could best fulfill this assignment.)

As a result of more involvement, the executive director or the staff may well conceive new ideas for community organizing. Board members should encourage their executive director to submit all possible leads or strategies to the Board for consideration.

In addition, Board members should encourage the executive director to bring forth any problems he might face in community organizing, so that the Board has the opportunity to draw from the experiences of its membership in assisting the executive director.

To effectively organize in the community, CAA Boards should be aware, the CAA staff might require new or specialized manpower, in addition to retraining present employees.

How a CAA Board relates to its staff will often be the final determinant in making real the commitment of community action agencies to community organizing.

X. SUMMARY

CAA Board members must unite with their colleagues and staff as an initial step in creating community organizations. A Board must then evaluate the total and poverty community in terms of (1) resources; (2) leadership; and (3) the power structure.

Based on this evaluation, strategies and programs must be relevantly and realistically devised so that they will become a catalyst for community organizing. Once a nucleus of citizens is formed or an issue exposed, support and resources must be directed to help the nucleus gain strength and momentum for drawing more community members into the organization or at least in support of the organization.

Once a community has a base organization, new programs can be added which will promote more community organizing. As new strength is gained, the diversity of CAA programs can be widened. The total effects of organizing to program and programming to organize will act as ripples in a pond leading to even wider community development.

TRAINING METHODOLOGY

I. Introduction

The term "community organization" suggest a number of social activities. Some see it as violent, uncontrolled demonstrations aimed at causing destruction. Others see it as a peaceful committee of residents presenting a petition to local agencies. In actuality community organization has a much broader implication. It is the bringing together of people with the primary goal of communicating and relating to one another. From this interaction people can identify common problems and needs. This awareness can serve as a stimulus for them to plan and act together as an organized community representing itself and acting on its own behalf.

It is the responsibility of the CAA board members to create an effective community organization program. The board must analyze the entire community. It must be familiar with community resources and the total community leadership and power structure. Based on its evaluation of the total community it should proceed to develop and implement programs that realistically approach the task of community organization.

II. Overall Objective

The overall objective of this unit is to familiarize board members with the process and definition of community organization. The board should recognize and be able to relate to both the poverty community and the total community. Low-income residents alone do not comprise a total community, nevertheless, the total community must be organized to combat the problems of the low-income residents and satisfy their needs. Boards should be able to utilize various approaches to community organization and identify types of power that can be developed in these organizations. Also, they should be able to identify and define roles and functions in community organization for themselves and their CAA staff.

III. Specific Learning Goals

1. WHAT IS COMMUNITY ORGANIZATION?

Board members will be able to describe the concept of community organization as well as the main features and requirements of community organization.

2. WHAT STRATEGIES DO YOU EMPLOY IN COMMUNITY ORGANIZATION?

Board members will be able to describe three alternative strategies for initiating organization.

3. WHAT IS OUR STAFF DOING IN COMMUNITY ORGANIZATION?

Board members will be able to identify community organization efforts in their community and describe problems staff members face in community organization.

4. HOW CAN A BOARD IMPROVE ITS WORK IN COMMUNITY ORGANIZATION?

Board members will be able to evaluate both their own and other board members views on community organization. They will also be able to examine a typical community organization effort and develop plans to expand and improve their work in community organization.

IV. Methodology

LEARNING GOAL #1: What is community organization?

Have board members read the section of the text that describes concepts and definitions of community organization. Ask them to discuss their ideas of community organization and list its main features and requirements on a flipchart. These lists could be referred to later, on in the unit to compare the relevancy of their views to what is really happening in community organization. In addition to the members's viewpoints, these lists should include all ideas identified in the text. Be sure to list all ideas suggested by the members, even if they are duplications. It is important that all members feel they are involved and are making a contribution to the session.

LEARNING GOAL #2: What strategies do you use in community organization?

Give the board a concrete example of community organization to evaluate. Since films focus attention on a specific topic, you may wish to use films or other audio-visual aids. To assure maximum audience participation, be sure to give notice beforehand that audio-visuals will be shown. Prior to showing the film, explain the purpose and objectives of the session and the reasons a particular film has been selected. The following films might be useful for this session:

"Cities and the Poor" (Two parts)
"Getting Things Done"
"The Promise of the City"

Source: NET Film Service
Indiana University
Bloomington, Indiana 47401

"Knowing Your Neighborhood"
Community Action Institute
240 Cedar Street
New Haven, Connecticut 06519

"The Neighborhood"
SPUR
126 Post Street
San Francisco, California 94108

Review the film before showing it to the board. This serves two purposes: (1) to enable you to identify important features of the film for discussion;

(2) to enable you to be able to relate concepts in the film to those in the text. The discussion afterwards should cover the specific objectives on strategy stated in Learning Goal #2.

LEARNING GOAL #3: What is our staff doing in community organization?

Arrange a field trip to take advantage of the insights gained from the film and to relate it effectively to the members' CAA. The field trip will give board members an opportunity to make a direct comparison of the ideal to the actual. Arrange a trip to a CAA neighborhood center and conferences with some neighborhood workers. The tour should be realistic with the CAA staff explaining problems in implementing some of the board's policies. A committee of board members could also function as an evaluation team to identify other community organization efforts in addition to those of the CAA, in the total community.

LEARNING GOAL # 4: How can a board improve its work in community organization?

Use a variety of techniques to illustrate this goal. First, familiarize the board with the concept in the section on board interaction and board-staff relations in Chapter 4. Second, hand out a short case study (two or three pages) on community organization for the board members to read. (See attached example of a case study) Ask them to prepare for an in-depth discussion based on the following questions?

- a. What are some of the problems faced by the CAA in the case study?
- b. How do these problems relate to the problems faced by their own CAA?
- c. Can the board identify other organizations engaged in community organization and the methods they are using?
- d. Can they list specific reasons for the need for productive community organizations which the case study may bring to mind?
- e. How did the CAA in the case study approach and meet some of its community organization needs?

- f. Can members describe community organization taking place by their own CAA staff?
- g. What is the responsibility of the board in accomplishing community programs like the case study describes?
- h. What are the responsibilities of the CAA staff for these type of programs?
- i. What are some of the strategies the board may engage in to implement effective community organization which the case study supports?

You might also show photos of the community to board members to make them aware of issues and projects around which they could organize the residents.

Evaluation:

The specialist could give a short ten-minute quiz at the end of the session to measure the conceptual information transferred during the session. To further determine whether the learning objectives have been accomplished, the specialist could have the board outline a proposed community organization program. It should include type of resources to be used, the names of leaders in the poverty area, power structure involved, and specific issues and objectives of this program. The board could be divided into three or four groups with each group evaluating the proposed plan of the other group.

COMMUNITY ORGANIZATION CASE STUDY

OPERATION BREAKTHROUGH - DURHAM, NORTH CAROLINA

Background

Community leaders in Durham became involved in solving local poverty problems before the Economic Opportunity Act was signed in 1964. Early in 1963, these leaders organized a committee called the "Action for Durham Development Committee" (ADD). The committee set out to define the needs of the poor in Durham, and to suggest ways of meeting these needs.

Assisting the ADD Committee was an agency advisory committee composed of the heads of the various Health, Education and Welfare agencies both public and volunteer, in the Durham community. It was through the work of this group that the basic data collection took place. This data pointed to several significant facts: twenty-five percent of all families living in Durham County had an annual income of less than \$3,000 and 14 percent were earning less than \$2,000. Sixty-two percent of the unemployed were unskilled or semi-skilled. In urban renewal areas, 85 percent of the housing units were found to be totally dilapidated. In certain impoverished areas, major health defects among school children ran as high as 78 percent. School dropouts were a major problem in both the city and county. This information indicated a need for a major program in Durham to eradicate poverty, and the ADD Committee submitted its program to the Office of Economic Opportunity shortly after its establishment in 1964. Durham became one of the first communities in the nation to receive funds through OEO for the establishment of its community action program, Operation Breakthrough, Inc. (OBT)

Stage I

When Operation Breakthrough was first organized in Durham, three areas in the community were singled out as having the highest concentration of poverty. These areas were designated target area A, B, and C. Within each area, a neighborhood center, staffed with specialists in community organization, health, social work, and home management was opened. The neighborhood centers provided not only a base for staff activities, but also a place for neighborhood residents to come for help and to hold meetings and classes. The community organization specialists within each target area organized and gave assistance to the neighborhood council, which had an average membership of 50 residents.

At first the councils dealt with tangible and immediate problems ranging from street signs and street lights to the paving of roads. During this period the councils developed a degree of autonomy; the leadership was transferred from OBT community organizers to the residents themselves.

The residents determined specific problems to work with and the OBT staff helped them with technical matters. People served by the council increased from 825 to 12,578. During the year 1967-1968 there were 21 neighborhood councils which held 761 meetings during the year. Through experience it was acknowledged that in order to negotiate and accomplish some of their objectives, the neighborhood councils needed a source of power. The power base sought was through politics. Voter education classes were begun and political rallies were held. An incident involving use of GSA vehicles by Operation Breakthrough's staff to take target area residents to a political rally resulted in bad publicity in the newspapers and a reprimand from OEO followed. (This was prior to OEO guidelines on the use of government vehicles for use in political rallies and demonstrations). It was then apparent to the various neighborhood councils and to the Operation Breakthrough staff that limitations were placed upon the extent and nature of community organizations. The poor became vocal; they learned to use the democratic processes and go through the proper channels to get solutions to their problems. As a result, gained paved streets, housing improvements, new street lights, recreational facilities, and better education and they have accomplished these things for themselves.

Stage II

The limitations heralded the birth of the United Organization for Community Improvement (UOCI). UOCI is basically a confederation of the black neighborhood councils with 29 members on its board, all low-income. It has a credit union, provides counsellor services on the purchase of 100 new low-income homes. An action orientated organization that feels it has accomplished "dignity" for poor blacks, it is strengthened with the support of a grant (\$60,000) from the North Carolina Fund.

UOCI engaged in community organization and moved into the area of economic development. It began to pressure Black leadership in the community, namely members of the Durham Committee of Negro Affairs, who were shocked at the political awareness of the poor. Pressure and activities on the part of the neighborhood councils through UOCI was intensified; the pressure and activity worked in a catalytic manner and was indirectly responsible for the development of the Black Solidarity Committee, a coalition of UOCI, the Foundation for Community Development, and other interested black groups. The Black Solidarity Committee drew up an extensive and essential list of grievances. This list (attached) was delivered in the form of a memorandum to the Durham Chamber of Commerce and the Merchants Association. Grievances ranged from a request for recreational facilities in all city-owned housing projects to the request that the city of Durham hire more blacks at all levels of employment.

When the list of grievances was turned down by the Merchants Association and the Chamber of Commerce, the Black Solidarity Committee called for a selective boycott against retail establishments engaging in discriminating practices and also businesses owned by city and county commissioners. There have been no concessions yet. However, OBT is now a member of the Chamber of Commerce and was invited to attend a seminar, in Myrtle Beach, South Carolina, "...to do something about at least part of the problems facing Durham..."

Stage III

The main thrust of OBT organizational effort was mainly in the area of support and technical assistance for each of the neighborhood councils. In 1967 a consumer education program was instituted and directed to educating the poor on the efficient use of the dollar. A large buyers club owned and operated by the residents of the neighborhood councils, organized to provide goods at reduced prices. In addition, a consumer information center was set up to provide up-to-date information concerning prices and qualities of consumable goods.

These organized buying clubs are presently working to open their own food store. The Durham Cooperative Store has been incorporated and a site for the store in one of the low-income neighborhoods has been secured. The Consumer Education Staff, in cooperation with UOCI and the Foundation for Community Development (FCD), are now in the process of selling shares in the store and raising cash for operating the store. Low-income people have purchased 2,000 "Class A" shares of stock, one share per person. Anyone can purchase "Class B" stock, 800 individuals have purchased \$30,000 in shares. Class A stockholders will elect two-thirds of the board, Class B, one third. Only one vote will be allowed per person, regardless of number shares owned. The group plans three supermarkets and subsidiary light industries to evolve from this (plans to manufacture jam and jellies, casket manufacturing, etc.), along with a research and development grant from OEO. Operation Breakthrough is making progress in other program areas such as their Head Start, Tutorial, New Careers, On-the-Job Training and Experiment in Parallel Organization programs. The board of directors consist of 36 members of which 12 are low-income residents.

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- 66, Policy Guidance on Lobbying Activities.

Instructions:

- 6005-1, Participation of the Poor in the Planning, Conduct and Evaluation of Community Action Programs.
- 6907-1, Restrictions on Political Activities.
- 6907-2, Restrictions on Unlawful Activities.
- 6907-3, Employee Participation In Direct Action.
- 7041-1, Public Access to Grantee Information.
- 7042-2, Grantee Public Meetings.

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- 6015-1, Mobilization of Non-Poor Volunteers In Community Action.

Pamphlets:

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RESIDENT PARTICIPATION

(Part I, Chapter 4)

RESIDENT PARTICIPATION

(Part I, Chapter 4)

- I. INTRODUCTION
- II. THE PARTICIPANTS
 - A. Who Are the Poor?
 - B. Who Represents the Poor?
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I. INTRODUCTION

"to promote...the development and implementation of all programs and projects designed to serve the poor or low-income areas with the maximum possible participation of residents of the areas and members of the groups served."

The Economic Opportunity Act

"Especially at the level of implementation, the people of the ghetto should be heavily involved...This factor has been critical for a wide variety of programs. The ones that showed exciting promise and effectiveness tend to have been developed...among people who live, work, and spend their time in the ghettos."

George P. Shultz
Secretary of Labor

In Washington, D.C., a group of young students establish "Freedom Annex," the first accredited student-run school in the country.

In Arizona, after a fire, a Navajo chapter house is converted overnight into a usable Head Start Center.

In West Virginia, a community owned and run grocery store puts an end to the system of "owing your soul to the company store."

Throughout the country, in big cities and rural counties, among young people and old people, Black and White, Poor People, it's "what's happening."

It's called resident participation.

A great deal of resident participation is stimulated and funded by the Government. Poor people participate actively, for example, in Community action agencies and Community Development Agencies (Model Cities). They participate as Board members, staff members, non-professional outreach workers and assistants, and in a variety of other ways.

But citizen participation is taking place outside of governmental structures, as well, and sometimes in direct opposition to these structures. Citizen groups have sprung up with a whole range of objectives ranging from training and jobs in local business and industry to stopping freeway construction through a ghetto neighborhood.

100-100000-100000

These widely differing forms of resident participation, however, all have one thing in common - a new and significant part in community affairs for those (e.g. low-income and ethnic minority groups) who traditionally have been excluded from such a role.

II. PARTICIPANTS

A. Who Are The Poor?

When we talk about involving poor people in the programs which affect them a natural question comes to mind, "Who are the Poor?" At first glance, the answer seems obvious. There are economic criteria (income level, etc.) which are generally accepted by Federal, state, local, and private agencies. Nevertheless, these but scratch the surface of a profound problem. Poverty transcends the pocketbook. It includes such symptoms of disadvantage as disease, illiteracy, unemployment, slum housing, crime, and general social alienation. Poverty takes on many appearances, yet, for that reason it is hard to see.

The poor were described by Michael Harrington as inhabitants of the "invisible land." Despite national concern, much rhetoric and some action, the poor still remain unseen. To be sure, there is now a national consciousness of "the poor." To some they are a threat, representing welfare and riots. To others they are a cause - the War on Poverty - that provides an opportunity for idealistic commitment in a generally materialistic society. To still others, they are a growing political force that must be accommodated. But to most Americans they are an abstraction and the faces behind the term remain unseen.

B. Who Represents the Poor?

The question becomes still more complex when we try to determine, "Who represents the poor?" The poor are young, middle-aged, and elderly; militant and conservative; black, white, brown, and yellow. Obviously, their leadership must be representative of this spectrum. But, because a man is black or old he is not necessarily representative of Negroes or of the elderly.

There are means, however, to go about determining who represents the poor. Some examples:

- Identify neighborhood residents who are seen as community leaders by polling some of the residents.
- Find out where poor people go for advice and to whom they turn for solutions to problems.

- Identify the groups or organizations in the neighborhood which together speak for a large part of the community. For example, young adults, particularly unmarried young adults, are more likely to participate in organizations that involve large memberships in which there is a good deal of membership change. Churches are a particularly valuable source of leadership within the Negro community. In general, it can be said that it should be the policy of the CAA Board to strengthen indigenous groups, particularly those unknown to the established community agencies. It should be pointed out, however, that while any and all kinds of neighborhood based organizations can and should be claimants for CAA support, their entitlement to financial assistance should rest on their capacity to carry out needed programs or services. This capacity, of course, can be developed or improved through CAA sponsored programs of technical assistance.
- The use of democratic selection processes is required by OEO for selecting representatives of the poor to CAA Boards and to the various advisory committees, neighborhood councils, etc. These processes will be dealt with more fully in a later section.

III. THE EXTENT OF RESIDENT PARTICIPATION

The community action agency's responsibility to foster the "maximum feasible participation" of poor people is not confined to its own activities and programs. It extends, as well, to the programs and activities of other agencies and, ultimately, to the entire community. It begins with an OEO requirement for a minimum level of representation of the poor on CAA Boards, advisory committees, etc., and ends with an implied charge to attain the full and legitimate participation of poor people in all the community activities which affect them. The extent of this responsibility is outlined in OEO Instruction 6005-1, l.b. The following sections (CAA Boards, CAA Staff, and The Wider Community) supplement 6005-1 with materials from other sources and summarize the sections of that instruction of particular interest to CAA Boards, advisory committees, neighborhood councils, and similar groups.

A. CAA Boards

OEO regulations require certain minimum levels of representation of the poor on all CAA Boards, advisory committees, delegate agency boards, etc. The chart on the next page indicates these minimum levels of participation. CA Memo 81 has this to say on selection procedures:

PARTICIPATION OF THE POOR

CAA Board	Area Policy Boards and Councils		Project or Program Advisory Committees & Neighborhood or Target Area Councils		Delegate Agency Boards			Limited Purpose Agency Boards		STOC Advisory Committees
	At least 1/3	Entire Political Subdivision (including county Boards of Multi-County CAAs)	At least 1/3	Project or Program Advisory Committees	At least 50%	Primary Responsibility For CAA Programs (Governing Boards)	Entire Political Sub-division	At least 1/3	Governing Body	
Private Non-Profit Organization (Governing Board)	At least 1/3	Entire Political Subdivision (including county Boards of Multi-County CAAs)	At least 1/3	Project or Program Advisory Committees	At least 50%	Primary Responsibility For CAA Programs (Governing Boards)	Entire Political Sub-division	At least 1/3	Governing Body	One for each CAA Board in the State
Political Jurisdiction (Administering Board)	At least 1/3	Less than Entire Political subdivision	At least a majority	Neighborhood or target Area Councils	predominately if not entirely	Primary Responsibility For non-CAA Programs (Advisory Boards)	At least a majority	At least a majority	Policy Advisory Committee	At least 50%

"In the selection process, whether for area or non-area representatives of the poor, there should be maximum possible involvement of the low-income groups and individuals to be represented. Among the selection processes that may be utilized, either alone or in combination, are:

- (i) Nominations and elections, either within neighborhoods, or within the community as a whole.
- (ii) Selection at a meeting or conference to which all neighborhood residents, and especially those who are poor, are invited.
- (iii) Selection of representatives to a community-wide board by members of neighborhood or sub-area boards who are themselves selected by neighborhood or area residents.
- (iv) Selection, on a small area basis (such as a city block), of representatives who in turn select members for a community-wide board.
- (v) Selection of representatives, either directly or for membership on a neighborhood board, by existing organizations whose membership is predominately composed of poor persons.

This list is not intended to limit the variety of selection processes that may be used. Any democratic selection process which insures maximum feasible participation of the poor is potentially acceptable. In all cases attention should be given to the fair representation of significant minority groups within the community."

It's easy, of course, to oversimplify the matter of selecting representatives of the poor, particularly with regard to elections. Elections are meaningless unless they are preceded or accompanied by an organizing effort to interest the poor in the issues of the War on Poverty. When elections are not preceded by such an effort the results can be most frustrating. In some cases, the turnout has been less than 1% of the eligible electorate. In short, there is a need for more than good electoral mechanics to achieve true representation of the poor on CAA Boards.

Community organization and education must rely heavily on publicity. This means posters, banners, leaflets, radio and television announcements, newspaper ads, sound tracks, door to door canvassing, public meetings; whatever means feasible for publicizing the agency and its mission, and (later) the candidates for its Board. This implies strong support from the mass media (including publication of candidates' photographs). Enthusiasm for the program cannot be assumed, it must be developed.

Next, there must be a convenience factor. If the election is held by ballot, polls should be in several accessible places, e.g.

- the local neighborhood center or outreach office
- neighborhood stores and churches
- mobile voting buses to supplement standard polling places

Polls should be open for at least one full day and probably for two or three days.

The CAA's responsibility for resident participation on governing boards, administering boards, advisory councils, etc. does not end, however, with the selection of minimum numbers of representatives of the poor to these groups. "Maximum feasible participation" means that the poor must play a full and active role in the Board's affairs once elected. They must:

- be represented on all executive and policy making committees in proportion to their numbers on the Board itself
- be given adequate information and training about Board functions, duties, and responsibilities and the issues which will come before the Board
- be given advance notice of and the agenda for any Board or committee meetings
- be given funds for transportation, babysitting, and other legitimate expenses, as well as an allowance, to enable them to participate regularly in Board, committee, advisory council, or neighborhood council meetings (OEO Instruction 6803-1, Allowances and Reimbursements for Members of Policy Making Bodies)

In addition, Boards are required to conduct public meetings throughout their grant period, including one at which CAP Form 81, "Community Action Agency Plans and Priorities" is considered and approved by the Board.

Finally, representatives of the poor on CAA Boards and similar groups must fully participate in all of the activities and responsibilities of the total Board. For example, representatives of the poor on a Head Start Policy Advisory Group should

- assist in the development of the grant application and give approval before submission
- participate in the selection of the program director and have a voice in establishing criteria for the selection of staff personnel
- participate in the development and evaluation of the Head Start Career Development Plan

- initiate suggestions and ideas for program improvements
- serve as a channel for hearing complaints about the program
- help organize activities for parents and assume some degree of responsibility for communicating with them and encouraging their participation
- help in recruiting volunteers and assist in mobilizing resources.

Those who represent the poor on CAA Boards, all other Boards, councils, and advisory groups have a responsibility to their constituency. They must:

- discuss with their constituencies the issues which will come before the next meeting
- fairly and accurately represent the views of the people of their neighborhoods
- report back to their neighborhoods about the outcome of Board meetings, committee meetings, etc.

Some means of maintaining accountability are: specifying when the next regular election will be held, requiring that meetings of key deliberative bodies be open to the public, having representatives report back to their constituencies at specified times and places, holding periodic neighborhood or town meetings to report on progress and specifying conditions under which dissatisfied neighborhood groups could recall their representatives for failure to advocate the group's interests.

Target area representatives on a CAA governing board or similar body must always remember that they do not have a monopoly on this function. Other groups and individuals can and will claim to speak for the poor. Board members should regularly ask themselves the question "How have other neighborhood groups been involved in the planning and decision making processes of the community action program?"

Earlier we mentioned the requirement that CAP Form 81 be considered and approved at a public Board meeting. It must also be cleared with administering, county, and area Boards and major advisory committees. This is, perhaps, the most critical step in the entire CAA grant application process. The goals, strategy, priorities, and program proposals agreed upon at this time lay the foundation for the CAA's entire program structure.

It is vital that area residents participate in this decision making process, not just through their elected representatives, but at an open, well-publicized meeting with procedures which insure the right of any participant to be heard.

B. CAA Staff

We've discussed "maximum feasible participation" with regard to CAA Boards and similar groups. When applied to the CAA staff the concept means, primarily, two things:

1. employment opportunities for residents of the area served, with priority given to the poor
2. an affirmative program to encourage employment of the poor and their career development through appropriate personnel policies and practices

Priority should be given to the poor for the obvious reason that their employment, training, and advancement by the CAA and its delegate agencies is one means of attacking the problem of poverty. This, however, is not the most important consideration. What should be stressed is the bridge of understanding neighborhood residents can provide between the agency and the community. Their employment by the CAA will have an impact, not only on the values of professional staff members, but on their own values as well. In short, the professional and non-professional* can enrich each other and contribute to the effectiveness and credibility of the CAA in the community.

An affirmative program will include the following major features:

- The establishment wherever possible of positions which may be filled by non-professionals.
- A stress on ability to do the job rather than formal educational qualifications in filling positions within the CAA.
- Recruitment and selection procedures designed to increase the hiring and advancement of the poor (e.g. ample advertising of vacant jobs in the target area, appropriate screening and selection techniques for non-professional positions, preference of target area residents or poor people over other qualified applicants, etc.).
- Training and career development opportunities for members of the CAA staff who are deficient in formal education or job experience. Career development, including training, is important for all employees, but a community action grantee or delegate agency has a special obligation to give particular attention and priority to such programs for its non-professional employees. The agency has, in fact, a positive obligation not to permit an entry level non-professional position to become a dead-end job for anyone who wishes to develop and has the potential for advancement either within the agency or elsewhere in the community.

*A non-professional is defined as an employee who lacks the traditional education and/or experience requirements for the position which he occupies.

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The CAA Board, neighborhood councils, etc. should be involved in the preparation of an agency career development program which, along with an overall affirmative program for employment of the poor, should be both in the agency's published personnel policies and on the CAP Form 7 "Program Account Work Program" which is a part of the grant application.

A career development plan should include, as a minimum, the following features:

- objectives and strategies
- assignment of responsibilities for career development including designation of a career development officer (agencies may also wish to study the Head Start requirement for the establishment of a Career Development Committee contained in OEO Instruction 6902-1)
- clearly defined career ladders with provisions for vertical (from one job to a higher job in the same occupational field), horizontal (from one type of occupation to another), and diagonal, (from one occupational field to a higher level in another occupation) mobility
- training and educational programs clearly related to defined career ladders
- individual career development plans which spell out for the employee career opportunities in terms of job advancement, training, education, and counseling
- career development records which document the training, education, and certification achieved by the employee

C. The Wider Community

As pointed out earlier the community action agency's responsibility for achieving "maximum feasible participation" of the poor extends well beyond the agency itself and takes in the entire community. Accordingly, the CAA should not confine its efforts to develop "new careers" for non-professionals to its own agency. It must work for the placement of poor people trained by the CAA and others, as yet untrained, in promising jobs in other agencies or businesses in the community. To accomplish this it must use its influence to persuade other employers to institute programs for the hiring, training and career development of non-professionals. In some cases exchange programs with other agencies may be established and other methods planned for increasing horizontal and diagonal mobility among agencies. The agency should also make certain that the job skills being learned by its non-professionals are those relevant to jobs elsewhere. The non-professional should not only learn specific duties within the scope of the community action program but should also learn basic career skills which will make him permanently more fully employable.

"Maximum feasible participation," however, means much more than "maximum feasible employment." It means the increased involvement of poor people in programs affecting their interests, including not only the Community action program, but also other Federal, state, local, public, and private programs in the community at large and in specific target areas. To bring this about there is a need for better mechanisms to insure participation. Some of the following ideas may be helpful in this regard.

1. Some communities have had success with the establishment of the position of Ombudsman. This position is created for the purpose of hearing and evaluating grievances and complaints against established procedures and policies or, in some cases, specific decisions and, when necessary, to bring about appropriate changes.
2. Service-type agencies should provide for the establishment of grievance procedures so that individuals and groups in the community can make their grievances known, have them adjudicated, and bring about necessary changes in policy in the process.
3. There should be an increased role in the community for advisory groups which can contribute knowledge about the conditions a program is trying to correct and, thereby, help to create more effective programs and services.
4. Finally, there is an increased call for involving poor people and their representatives in the actual management and administration of programs which affect them.

In its widest sense, "maximum feasible participation" means that poor people must be involved in the decision making of the wider community and of specific target areas. This includes participation in:

- the determination of needs and priorities and the allocation of resources by public and private organizations and agencies dealing with poor people
- the planning by the community which affects poverty target areas, and
- the democratic processes of the community

Since CAA Board members are drawn from and representative of the entire spectrum of the community, they are in a unique position to bring about this total involvement. Representatives of the political jurisdiction and of the private sector should encourage their respective agencies to adopt policies consistent with the "maximum feasible participation" of the poor. Representatives of the poor should encourage their constituents to play the fullest possible role in all of the activities of the community: civic, social, political, and economic.

IV. THE FORMS OF RESIDENT PARTICIPATION

Resident participation is varied both in the scope of its activities, and in the many forms it takes. Parent socials at a Head Start Center and organized protests at City Hall are both forms of resident participation, although of a different nature and degree of intensity. Basically, however, most forms of resident participation can be grouped into two major categories, though there will often be some overlap. These two categories are A. Services Oriented and B. Action Oriented.

A. Services Oriented

Services oriented resident participation can take the form of either 1. Self help or 2. New careers.

1. Self help programs are, to the average American, the most inspiring and, therefore, the most popular. The image of the self-made man, the untutored immigrant who rose to the top is still strong in America and represents an unspoken ideal. Unfortunately, this same attitude has contributed to the misunderstanding of other forms of participation which may, in some instances, be necessary to bring about the attitude changes that must come before self-help. Self-help programs, nevertheless, are an important part of community action and resident participation

The idea of self-help often leads to the formation of cooperatives, where poor people band together in a corporate body to improve their economic condition. Cooperatives can be credit unions, consumer cooperatives, agricultural cooperatives, etc. A good example of a cooperative is the West Virginia community grocery store cited in the Introduction. The following is an account of their experience:

"Feeling the pinch of rising prices, and with many of the family heads unemployed, the folks of Gilbert Creek became the 30th action group organized by the OEO-funded Mingo County West Virginia; Economic Opportunity Commission. Without Federal funds, they formed a corporation and sold 543 shares of stock at \$10 a share to set up a grocery store. They had to use capital to buy the initial stock for the store, and pay cash on the line to the truckers for delivery. But, despite the obstacles, the store was established and business is thriving. The first month's receipts were \$2,700; within four months, volume rose to an average of \$8,000 a month. The business operates on a 10 percent mark-up, and employs two full-time and one part-time person. Seventeen wholesalers now do business with the store. The folks at Gilbert Creek are happy to have their own grocery store, and their food bills substantially reduced. 'Nobody's getting rich, but the people aren't being taken either,' was the way Coop President Charles Cline summed up his operation."

Another significant example of self-help occurred in Watts (Los Angeles) where a Neighborhood Health Council won for itself a significantly greater role and responsibility in the administration of the local Health Services Program.

Other self-help efforts are oriented more to specific and immediate pay-off types of projects. Some examples are:

- vest pocket parks built by residents of East Harlem on the sites of former neighborhood garbage dumps
- a Community Center built and furnished by the people of Guadalupe, Arizona, which houses, among other services, a credit union
- Head Start Centers in many parts of the country with furniture constructed and clothes contributed by the parents
- policing-services performed by neighborhood youths to "cool things off" during the "long hot summer"

2. New Careers means the hiring and career advancement of persons who lack the experience and/or education traditionally required for certain occupations. These programs are based on three assumptions:
1. There are many tasks performed at present by professionals that can be performed by non-professionals (i.e. poor people) with less training and experience. Furthermore, the increasing shortage of trained professionals makes the employment of non-professionals a virtual economic necessity.
 2. Non-professional type jobs for neighborhood residents can be the first "break" in the circle of poverty for many poor people and can provide a stepping stone to better jobs and full participation in the community.
 3. Certain jobs can be carried out more efficiently and effectively by neighborhood residents. In other words, "the message can be most effectively carried to the poor by the poor."

"Non-professionals are particularly valuable as outreach workers, who can canvass their neighborhoods and refer other residents or poor people to existing services such as Head Start, Legal Services, health centers, welfare, etc. Non-professionals can also be useful in the school system as clerical assistants, welfare assistants, or in many other roles.

Some examples:

- One aide provided a bridge between parent and teacher. An angry mother, indignant that the teacher had called her child lazy, insisted that he just had 'tired blood', and that there was nothing that could be done about it. Her belligerence began to disappear as the aide told her how she had a son who was lazy, but who had improved in school when she and his father began giving him some attention and help with his school work. Later, the mother admitted to the aide that her son threw his homework in the trash can, and the mother began to encourage her son to do his work.
- In New York, the City Health Department found it advantageous to employ Spanish speaking Health Assistants in East Harlem to bridge the communications gap.

In whatever capacity non-professionals serve, however, it should be remembered that "new careers" jobs must be stepping stones and not dead ends and should, accordingly, be supplemented by training and realistic screening and qualification requirements.

B. Action Oriented

Action oriented resident participation is keyed to organizing residents in the War Against Poverty rather than the provision of necessary services. It's important to note, however, that many programs with an action orientation develop that orientation from an initial program of service delivery. Many Head Start Programs illustrate this evolution. Frequently, too, an action oriented program will reach the point where it is necessary to begin providing some needed services.

Action Oriented resident participation programs must, at the outset, establish a clear objective for organizing. It's important not to fall into the trap of organizing for the sake of organizing.

Action oriented resident participation generally falls into one of the two following categories:

1. Neighborhood Corporations and other similar neighborhood based groups are increasingly prevalent. Some are sponsored and funded by Government agencies while others are strictly "grass roots" operations. Government, for its part, (particularly OEO), has been actively encouraging such organizations as a road to decentralization and increased citizen participation. The grass roots operations are a reflection of the times and, to some degree, of success by community action agencies and Community Development Agencies in stimulating resident concern and participation.
2. Client Organizations such as welfare rights groups, tenant associations, block clubs, etc. are directed towards improvements in services. The methods employed by these organizations sometimes include:
 - negotiations for specific improvements in delivery of services (to make them more responsive to the needs of the client or target groups of poor people) or to bring about legal or administrative reforms
 - rent strikes and boycotts (for a further treatment of these tactics see Part I, Chapter 3 "Community Organizing and CAA Boards" which includes a discussion of dollar power
 - participation in the management of a low income housing development, etc.

The CAA itself and its delegate agencies can sometimes fall into the trap of treating poor people as clients in the administration of its programs. To guard against this possibility the CAA must actively encourage responsible criticism of its programs and remain constantly open to suggestions. Occasionally, this can result in painful pressures on the Agency. A Legal Services Advisory Group has, on occasion, been known to sue the local CAA or city government to obtain improvements in services. Nevertheless, these kinds of pressures are healthy and should be encouraged, not impeded.

C. Other Forms of Resident Participation

Before concluding this section it should be stressed that the above categories of resident participation (services oriented, action oriented, etc.) are simply an artificial device for presenting these materials. They are not meant to be an all inclusive listing of the forms of resident participation or to suggest that other forms are not permissible. On the contrary, CAA's are encouraged to seek new and innovative ways to insure the "maximum feasible participation" of poor people in their War Against Poverty.

V. THE DANGERS AND BENEFITS OF RESIDENT PARTICIPATION

A. The Dangers

Newspaper headlines and Congressional declamations provide ample documentation that citizen participation - participation of the poor - has its risks. Entrusting management control and decision-making power to the poor has led to accusations--some exaggerated, some not--of fiscal shortages, "Hate Whitey" campaigns underwritten by Federal dollars, and alleged "revolutionary" and "Para-military" activity.

In all the controversies which have surrounded the War on Poverty in general, and the "maximum feasible participation" of the poor in particular, one characteristic has stood out - the tendency of the poor "to bite the hand that feeds them." Politicians looking for gratitude, teachers looking for appreciation, welfare workers looking for understanding, racial moderates risking community acceptance--all have found themselves the object of attack by the poor.

Neither the local nor the Federal poverty agency has been immune from criticism and attack. Almost from the program's inception CAAs have been the object of bitter attacks by the poor. And with the poor becoming more sophisticated, the day rarely passes in Washington, D.C. or in the regional offices of OEO when some delegation does not descend - with or without pickets, before or after press conferences, before or following visits to members of Congress--to demand that some aspect of the program be modified in accordance with their wishes.

Such controversy appears in retrospect to be predictable, perhaps the inevitable cost of insisting that the poor be given a voice in the management and design of programs operated for their benefit. If the poor speak, they become their own advocates. If they are provided with trained advocates and technicians, they are likely to begin operating as a quasi-political or sometimes explicitly political force in their own communities. Their sense of pace and direction is likely to offend those who are nearest at hand, or who view things differently, e.g., those working for progress at a more gradual pace and moderating between the zealous and the recalcitrant. Those whose side with the poor are bound to be caught in the middle.

It is important to remember the terrible injustices, the squalor, the demeaning and dehumanizing conditions in which the poor have been forced to live for generations. No one should be surprised when a welfare mother demands that she be afforded today all the advantages that other mothers in the country have for themselves and their children. And no one should be surprised when a poor community doesn't trust the CAA, just because the CAA says it is more responsive than other social agencies have been. As the poor get closer to actually participating in the benefits American has to offer--as it begins to look like they might be able to line a dignified life, the poor naturally become less patient with anything--even a CAA, that seems to stand in their way.

The fact is not without political implications. For it undercuts on both the local and national levels the feasibility of coalition politics, where unions, professionals, civil rights organizations, charitable groups, etc., unite with the poor to press for social reform. Such coalitions are frequently torn asunder by the poor, who view the coalition as inextricably linked with "the enemy" and who are unwilling to tolerate a "trickle down" approach to social change.

Thus what starts off as community action may swiftly degenerate into a war between the poor and the professional poverty warriors who, for better or worse, possess the political power necessary to launch and sustain the effort.

Such are the risks of genuine citizen participation. It is of small wonder that politicians of all persuasions and parties find themselves asking whether they can afford the price of democracy, particularly in their own backyards. Their reservations and their objectives are usually phrased in the following terms:

1. The government cannot subsidize revolution. This objection assumes that the goals of community action are revolution rather than social change. The assumption, of course, is false.
2. The poor do not know what is good for them. Generally, the argument runs something like this. "Poor people, by the very fact of their poverty, are incapable of providing answers or assisting in any meaningful way in the solution of such a complex problem. At best, they can perceive only immediate needs and not longer range goals. At worst, their lack of education and expertise can seriously hamper the efficient operation of programs designed to help them."

While it's true that the poor don't have all the solutions, the rest of the community has amply proved that it doesn't either. More importantly, the poor know better than anyone else the kind of response they expect from a CAA if it is to achieve credibility in their eyes. To build confidence in the community, the CAA, and any other social agency for that matter, must listen to the poor in a way that satisfies them that the agency has a genuine concern for the welfare of the community.

3. Professionals have all the answers. This line of reasoning fails to take into consideration the fact that the problem has, in the past, been left to the professionals with no notable success. It also fails to take account of the many instances around the country where poor people have clearly demonstrated that their answers are better than the ones provided by the professionals. The professionals in Durango, Colorado were skeptical when the residents of the slum community of Santa Rita placed first priority among their needs on the installation of expensive arc street lights. The experts, noting the high rate of breakage, even in the so-called better neighborhoods, predicted the lights wouldn't last a week. Nevertheless, the neighborhood had its way and, to everyone's (the expert's) surprise, not one light was broken. As one resident said later, "our lights serve a purpose to every man, woman, and child in Santa Rita, and they are not about to tear down something they all worked hard to get."

4. The poor need jobs, not organization. The first part of this objection assumes that community action and resident participation are not designed to provide employment opportunities. Aside from the many training and employment programs sponsored by CAA's and often run through Neighborhood Centers, the New Careers emphasis of resident participation alone proves this assumption to be false. The argument that, "all the poor need is jobs" is superficial. It fails to take into account the many other factors related to poverty such as disease, illiteracy, slum housing, exploitation, and alienation. These problems cannot be attacked through employment and many require an organized fight.
5. Participation stirs controversy, causes delay, and polarizes the differences between races and classes. Citizen participation can, of course, cause some delay, but the delay can often be time well spent if the result is a more effective and acceptable anti-poverty program. Participation also breeds controversy, but so does any form of social or political activity. The only societies without "controversy" are totalitarian dictatorships. As for "polarization," this is brought about not by participation but by lack of participation. Real and meaningful resident participation breaks down barriers and decreases the isolation of groups from each other.

B. The Benefits

All of the above objections fail to note the positive values of resident participation: (1) self-esteem, (2) more effective utilization of resources, (3) unique insights, (4) better understanding, and (5) "cooling things off."

1. Self-esteem is the psychological benefit derived from resident participation. It's widely recognized today that one of the principal hurdles to surmount in bringing people out of poverty is the sense of apathy and hopelessness on the part of so many of the poor themselves. It's difficult to talk about "self-help" or "bootstrap" operations to a man who may be the third generation of his family on relief checks. Psychologists are in general agreement, however, that a feeling of contributing, or participating, can provide the recognition of dignity and self-respect which is the only antidote for this social sickness.
2. The More Effective Utilization of Resources is another distinct benefit of resident participation. Only recently have social scientists and others come to recognize that poor people possess talents and resources essential to reducing the problems of poverty. They often have unique insight into their own problems and valuable knowledge about the effect on their own lives of the programs designed for their benefit. The development and use of leadership and other talents of poor people in the wide spectrum of CAP programs and activities offers an excellent opportunity to tap this natural but neglected resource, at a time when the shortage of trained professionals on the labor market makes the development of a sub-professional work force an urgent necessity.
3. The Unique Insights that poor people bring to the War Against Poverty can play an important part in the selection of programs and priorities as well as in assuring that programs and services reach the people they are intended to reach and solve the problems they are intended to solve.

4. Better Understanding rather than polarization and alienation is the anticipated result of resident participation. It is the actual result whenever there is openness and dialogue, no matter how heated. A word of caution should be inserted here, however, about the practice of group "caucuses" before Board meetings, committee meetings, etc. While such caucuses have their place and offer definite advantages in terms of group effectiveness and solidarity, they can also result in "tuning-out" and lack of discussion at meetings, if a "set" position is adopted leaving no room for dialogue. This is not true resident participation. It is "anti-participation."
5. "Cooling Things Off" is both a limited and negative value of resident participation. Nevertheless, it is a factor to be considered. It's been observed that the beneficiaries of social programs live with a contract which gives them less than they want. Their willingness to abide by the terms of that contract will depend to a great extent on their faith in the persons who negotiated the contract for them. If they are confident that they did their best and got all they could under the circumstances, they are likely to accept the terms even though they may be less than they originally sought. If, on the other hand, they feel that their representatives "sold out" or were "non-representative" they may very well precipitate a "long hot summer."

"Cooling things off", however, shouldn't be thought of as insurance against disorder. Disorders will take place and events will develop that get beyond the control of the CAA or other agencies. Furthermore, a quick pouring of funds into the ghetto is not likely to permanently cool it off. It's important to realize this fact so that occasional disturbances are not allowed to disrupt the steady progress toward increased communication among all groups in the community.

Up to now, we have been discussing the practical, the program rationale for participation of the poor in community action programs. There is still a more forceful reason. The poor should participate fully because it is right! Their lives and future are most intimately bound up with the success (or failure) of these programs. If democracy is to have any meaning to them, or to us, they must play a meaningful part in shaping and implementing the policies which affect them.

VI. SOME KEY ISSUES IN RESIDENT PARTICIPATION

A. Partnership

The key to understanding resident participation is the concept of partnership. Resident participation, in other words, is not the dominance of one group or clique over a community action program. Rather it is an equal partnership of all segments of the community in seeking solutions to the problems of poverty. It's crucial that neighborhood residents understand and believe in their role in this partnership. It's equally important that they understand the need for the community action agency to evolve, over time, into a true consensus organization.

One challenge to this concept of partnership can come from militant groups whose demands for control, or an exclusive turf, or a special privileged position, create difficult problems. Quite obviously, these demands cannot be met. Nevertheless, militant groups should be encouraged to participate. The door should remain open even if they fail to participate initially because of fear, or suspicion, or refusal of the CAA to agree to their special terms. Refusal to participate in the overall program should not be a reason for failure to involve them in specific projects or activities.

CAA Board members must recognize that militants represent an important and volatile segment of neighborhood opinion and should be negotiated with along with other groups in the community. Often, an initial position of "no control, no participation" will be found to be negotiable once they understand the rules. Where possible, they should be included in the CAA "partnership." Willingness to talk on the part of the CAA, however, in no way condones irresponsible or illegal activities.

B. Technical Assistance

A partnership in which one partner is ill-informed or lacks the knowledge to negotiate with the other partner is likely to contain within it the seeds of its own dissolution. The weaker partner will see nothing to be gained from remaining in the partnership if he lacks the capacity and, for all practical purposes, the opportunity to contribute to and participate in partnership decisions. If the partnership is to function constructively, it must guide existing tension and conflict into channels which are designed to deal with the underlying causes.

A promising means of insuring that CAA resident participation achieves these objectives is the provision of technical assistance. Technical assistance can include training for local residents on issues, roles, options, and attitudes appropriate to the community action program.

There can be problems in providing technical assistance, however. Complaints are sometimes heard that hired consultants "talk down" to neighborhood residents or "don't know how to listen." It may be found that special training is required to prepare consultants to work with residents in a non-pedantic and non-paternalistic way. Then, too, it may be found that the best way of insuring resident trust in consultants is through sub-contracts with neighborhood groups which make it possible for citizens to hire (or at least approve the hiring) of their own consultants.

Technical assistance can have a particularly high pay-off in planning, decision-making, and program evaluation. It is primarily in these areas that it is unrealistic to expect a high level of constructive resident participation without a generous amount of assistance and technical support.

C. Resident Participation and Model Cities

In some areas the Community action agency exists alongside a Community Development Agency which also encourages a large degree of resident participation. There must be a maximum amount of dialogue and cooperation between the CAA and the CDA. Both the Community Action Program of OEO and the Model Cities Administration of the Department of Housing and Urban Development are encouraging communities to look into the possibilities for a consolidated, general purpose citizens' structure in the model neighborhood. If separate structures are to exist, they must have clearly defined and mutually complementary objectives.

D. The Proliferation of Citizens' Structures

CAA's, as a result of their evolution, have developed many formal and informal resident participation structures. In addition to governing boards, neighborhood councils, a advisory committees, etc. the CAA itself may exist alongside a CDA, an Urban Renewal Program, and other citizens' bodies.

Many residents, participants in a program, report that they spend almost every night of the week at meetings of one organization or another. Under these conditions it is often difficult to assemble boards and task forces because of competing meetings.

This proliferation of advisory and decision-making groups, and the creation of a segment of the poor or marginal population whose life is a whirlwind of public meetings, does not necessarily ensure a more sophisticated planning process. Citizens are often so absorbed in their organizational responsibilities that they ignore issues of importance to themselves and the constituencies they represent.

CAA's must be cautious of a tendency to have meetings for meeting's sake. Where this occurs, it can ultimately dissipate the influence of poor people in the CAA and spell an end to meaningful resident participation.

TRAINING METHODOLOGY

I. Introduction

In approaching this chapter, keep in mind that the CAA board's ability to effectively involve the residents of communities in setting and accomplishing their CAA's objectives, is one of the most fundamental aspects of the Community Action Program. A community's commitment will depend in great part on who from the community is involved, how they are involved, and what kind of impressions they carry with them to the residents being served.

The Economic Opportunity Act requires the "maximum feasible participation of residents of the areas and members of the groups served"; nevertheless, there is a great deal of difference between mere participation and effective participation.

It is clear to those who have worked closely with CAA boards that if they try to effect a change in a community without the ever-increasing involvement of the people they serve, the program's usefulness and life will be limited. It is also clear that even if many people participate, but their efforts create artificial and ineffectual results, their frustration and disillusionment will diminish the board's acceptance as an effective change agent by the community.

Development of the board's ability to use its human relations skills to involve effectively the residents of the community and gain maximum participation will depend, in great part, on your skill as a trainer. This is as great a challenge as you will ever face in working with the board.

II. Overall Objectives

This chapter has four specific learning goals for board members. Two are instructional; they give information and knowledge to the group and ask them to develop effective procedures and methods for using this knowledge. Two are cognitive; they are aimed at an increased understanding of the concepts of resident participation and total community involvement.

III. Specific Learning Goals

1. WHY HAVE RESIDENT PARTICIPATION?

Board members will be able to list and discuss the major social, economic, and tangible benefits of resident participation. They will also be able to discuss and give reasons for objections to resident participation. They will be able to develop an action plan for overcoming these objections.

2. HOW CAN WE IDENTIFY, INTEREST AND RECRUIT THE HUMAN RESOURCES OF THE COMMUNITY?

Board members will be able to discuss and explain the make-up of the target communities of their CAA. By responding specifically to three questions: (1) Who are the low-income; (2) What are their backgrounds and interests, and (3) Who leads them? They also will be able to develop and discuss specific plans for attracting and expanding resident participation.

An important by-product of this learning goal is the development by the group of an interview and biographical reference document. This document can be used to provide a permanent record of the skills and interest of community residents interested in participating.

3. WHAT PERSONS CAN WE INVOLVE?

Board members will be able to list the various people and organizations with which they will be working and discuss the motivating factors which bring people to the CAA. They also will be able to prepare a plan of formal recognition for outstanding contributions to the community.

4. HOW CAN WE BEST UTILIZE COMMUNITY RESOURCES?

Board members will be able to diagram the diverse activities in which they are involved and match the "human resources" that can be channeled into these activities.

It should be commented upon here that one of the first learning goals stated in the unit is selling all board members on the idea that full and reasonable participation of the residents is a valid and defensible approach to the solution of many community problems. You should realize that just because a person takes a position against resident participation does not mean he is insensitive or insincere in his desire for effective community action. This attitude may stem from lack of knowledge and understanding of the total CAA program. It may be founded on valid experiences of frustrating, ineffective group action. Therefore, as a trainer, your first task will be to convince diverse elements of the value of full and effective resident participation as the only real lasting method of improving the community as a whole.

You will form many small discussion groups during training. Care should be taken to duplicate, as nearly as possible, a cross-section of an operating board in each small discussion group throughout the training. This team-building technique strides toward one of the important overall training objectives: to demonstrate to participants the necessity of working as a team, and sharing personal resources while working toward total community involvement.

In a training effort directed toward resident participation one of the most effective techniques is the involvement of the community residents. However, the ability to accomplish resident participation in training and the extent to which it is feasible will vary greatly. The involvement of community residents and the use of outside consultants for specific training areas is primarily a decision for the trainer to make. For this reason, the methodology applied to the specific learning goals is structured so the participants can accomplish training without necessarily using community residents or outside consultants.

At the end of each section are some guidelines and suggestions for the involvement of people outside the training group. It should also be noted that these training sections are broken into specific learning goals. These are structured so that each one can be conducted as a separate training effort.

A review of the total concept and commitment to resident participation is part of this learning goal. Members will provide information to this review and will be asked to demonstrate individually and as a group their understanding of resident participation and total community involvement.

III. Methodology

LEARNING GOAL #1: Why have resident participation?

Become intimately familiar with the information contained in this chapter of the basic manual before beginning this training. An understanding of the information and examples in Chapter 4 is necessary to lead the board members to a clear understanding of this concept. Advance preparation of flipcharts or handout material showing the legal requirements of resident participation would be helpful, but not absolutely essential.

1. Begin this training by making a short formal presentation of the legal requirements of participation by low-income groups. Lead the group in a discussion of the composition of CAA board, staffs, area policy boards, project and advisory committees, delegate agency boards and advisory committees. List the information for each heading on a flipchart or chalk board. NOTE: as the incoming information begins to slow down, complete the lists from your information. The information they are developing is important if they are to be effective board members. However, the primary objective of this exercise is to demonstrate the intent of the Economic Opportunity Act and the commitment of Congress and OEO to resident participation.

At the same time, however, an important secondary objective here is to begin building a non-threatening safe atmosphere for discussion. By doing this, board members can bring out later in their discussion some of the real "hang-ups" or objections they personally have about resident participation. Throughout this training,

ask board members to identify objections that other people may have about resident participation. The trainer must be careful to record the objections and make sure the group gets a chance to respond to them.

2. Ask the group to define what resident participation means to them after your formal presentation. Record their answers on a chalk board. The responses should range all the way from token representation as required by law to total community involvement in all aspects of community action. One key factor should be brought out -- resident participation means involving everyone in the community, but more specifically low-income groups.

Let the group develop some of the positive benefits of resident participation. Discuss some of the reservations they may feel about real resident participation with a very open non-judgmental attitude.

3. Break the group into either two or four small discussion groups and charge them with four working objectives as follows:

- a. Develop reasons for resident participation.
- b. Develop arguments against resident participation.
- c. Develop benefits of resident participation.
- d. Develop handicaps of resident participation.

If two groups are used, assign each group a positive and negative task, such as objectives 1 and 2 for Group I and objectives 3 and 4 for Group II. It will be helpful, but not necessary, to have a resource person assigned each group. Structure the groups so you have a good cross-section of the people in the main group in each discussion group. Use the information in Part II and Part V of this chapter as primary material for the resource members and for leading the discussion after the groups return.

4. Have the discussion groups appoint a spokesman to report to the whole group after it reassembles. List their findings on a chalk board or flipchart. Do not add knowledge to their reports at this time.

5. Lead a discussion after all groups have reported. Add knowledge to the report if you feel they are not complete. Bring up reasons for opposition to resident participation. Use the diagram below as a discussion tool, either through advance preparation or by developing it on a chalk board.

Example:

<u>Reason for Opposition</u>	<u>Supportable by Evidence</u>	<u>Emotional</u>
1. Local residents are not capable of deciding their own affairs.	1. No	2. Yes
2. Local residents lack the education and training required for full participation.	2. Yes (maybe)	2. No (maybe)

<u>Belief and Ideas</u>	<u>Cultural-Social Factors</u>
1. People in low-income areas are inferior.	1. Could be caused by culture environment, region, family, religion, education. It could be my own inferiority complex.
2. I need education to do my job, therefore all people need education. Those who don't have it cannot function.	2. Could stem from ego structure, or my own narrow view of community living.

End the discussion on a positive note, review the group's reasons for increased resident participation and total community involvement.

Several good films and slide presentations are available from the OEO film library that deal with resident participation. "Up From Under" a superb, dramatic movie depicting resident participation in the strip mining area of West Virginia would be excellent for initiating or terminating this section of training. "The Owl Who Gave a Hoot" and "Store

Front" are particularly good films for board training. "Crisis in the Night" (a slide presentation) would also be effective here. "The Owl Who Gave a Hoot" is a very light, colorful cartoon story about the way local residents, all animals, get together and organize to resist unfair selling practices by the local merchants.

If they are available, brochures or other "happy pieces," describing local success stories will be effective at this point.

6. Conclude the training session with a general review of the area covered. Prepare group findings in an orderly narrative fashion and have copies for each group member.

Suggested resident involvement in Learning Goal #1:

1. Lectures or Informal Talks -- A talk by a local leader, such as a minister or local community organizer, who has a broad knowledge of the whole community. He can give a short talk on the dynamics or inter-relationships of the community, stressing the positive role of local participation.
2. Group Talks -- By local residents who have a genuine concern and interest in the welfare and progress of the neighborhood. These people could very well be representatives from religious, social, or professional organizations that are active in the community. In order to make this a productive session as opposed to just another gripe meeting, announce the theme and design of the session as "What Local Residents can Contribute to Community Progress," or some other title which defines the purpose of the meeting.
3. A Talk by a Member of the Official or Private Sector -- undoubtedly there will be some members of the official and private sectors who will endorse the ideas of full resident participation. These people will know and understand the problems of their group (in terms of resistance to resident participation) far better than anyone else.

If one of these people can be called upon to give his views on the benefits of full resident participation, it would go a long way towards convincing other board members. For program continuity and control, provide a suggestive outline.

LEARNING GOAL #2: How can we identify, interest, and and recruit the human resources of the community?

1. Begin by posing three questions to the group: (1) Who are the low-income groups; (2) Who represents them, and (3) What are their backgrounds and interests?

Use the information contained in Parts II and III of this chapter for your discussion guide. As you list the answers to the first question leave room for a counterpart response to the second and third. However, complete answers and discussion on the first question before moving to the second and third.

2. Test the group's understanding of the communities in which they work by going back over the responses to the third question. Ask the groups to explain how each of these individuals or organizations influences or exercises control within the community. The purpose of this exercise is to show the difference between formal and informal organization in the community; it is also to show the numerous informal channels of communication and leadership in the community that parallel the formal, established organization.

It will be helpful during this discussion to ask board members to comment on the specific dynamics and social environments of their respective communities. However, care should be taken not to let the discussion digress into an evaluation of individual personalities. Leading questions, such as: Who spreads the word on emergency situations? or What organizations and individuals seem to get action from government officials?, will be helpful.

At the conclusion of the discussion, sum up the group's findings on the second question in the four categories of formal, informal, direct, and indirect leadership and representation.

3. Conduct a discussion aimed at getting local residents interested in participation, active recruitment of necessary people and skills, and maintaining permanent records of community residents who may want to participate in the community's activities. Start the discussion by asking participants: What is the desirability of quick and accurate information about community residents and organizations who demonstrate interest in the board's activities?
4. Break the group into several small discussion groups and ask each group to perform the following tasks:
 - a. Identify and list the information they want on interested local residents and organizations.
 - b. Describe the permanent records they would keep and the form in which they would keep them.
 - c. Discuss the techniques the board should use to attract and expand resident participation.
5. Have each group appoint a spokesman to report to the full group. Tell the spokesmen to respond first to tasks one and two, and hold their comments on three until a later time. After you have received responses to tasks one and two, work with the group to put the information from task one into a form that follows its general suggestions on task two. Make sure that the group's suggestions on task two are simple and workable. Question or challenge areas that you feel are cumbersome. However, it is important that the end product be their work and satisfy group needs.
6. Return to task three and list the groups' responses on a chalk board or flipchart. The list should include:
 - Each member who is working through his respective professional, civic, or religious organization.
 - Public endorsement by the board of exemplary programs in the community which seek to expand resident participation.

- The formal affiliation of the CAA board with other organizations sharing this same interest.
- A review of all operating policies within the CAA to determine whether policy changes will facilitate greater resident participation.
- Discussions with local agencies and institutions to determine which employment policies, especially those of the local civil service, could be changed to facilitate resident participation.
- The undertaking of special programs to train local people for new employment or upgrading on their old jobs.
- The publishing in local papers of articles in support of resident participation written by board members.
- The establishment of a speaker's bureau to carry the message to local universities, church groups, civic organizations, etc.
- Meetings with local businessmen, ministers, and other civic leaders to discuss ways and means of increasing resident participation.

These and others should be listed and written up for later incorporation into program statements, board resolutions, and policy directives.

Suggested resident involvement in Learning Goal #2:

Leaders of local community organizations oriented toward creating new jobs, skill training, and placing people in vocational training programs will be helpful here both as resource people to the board and formal presentations of their program successes.

Suggested Consultant uses:

This training area is primarily one of management analysis and evaluation of maximum utilization of existing human resources. A number of competent firms have done effective training in this area and their resumes and evaluations are available from OEO. Also check with universities in your area for liaison experts in these areas.

LEARNING GOAL #3: What persons can we involve?

This learning goal is closely tied to Learning Goal #2 and does not have a text reference in this chapter. Nevertheless, this area of instruction is important enough to merit a separate, although brief, block of instructions. The objectives here are to examine the motivating factors that bring organizations and individuals into contact with the CAA board, and to develop realistic trust in resident participants.

1. Begin with a short lecture on effective listening. An excellent programmed course is available free from most telephone companies and a specific reference listed in the bibliography at the end of this training section. The objective here is to show participants that people who are intensely interested or "hung-up" on a specific goal or purpose tune out most information that is unrelated to their own desires.
2. Ask the group to list some of the organizations and kinds of people who have participated in community action programs. Now go back over the list and ask board members to list their ideas on what these groups and individuals hoped to gain from their involvement. Make them be very specific by defining broad general terms in a very specific terms. Responses should vary from broad altruistic ones, such as better schools or a more pleasant community environment to personal recognition, political power, a job or money.
3. Review the board's activities and resources and decide which needs and desires can be satisfied. Ask the board to develop specific plans for recognition, greater responsibility, and in some cases, funding of organizations that are actively participating in community activities. Personal recognition through public media is a valuable device. The purpose of this discussion is to inform board members of the following points:
 - a. Residents who participate in community affairs, either in groups or as individuals, have the same human needs as anyone in more affluent communities. In many cases they have more needs, and theirs are much more genuine.

- b. Their needs very often are consistent with the needs of the CAA board, especially the need for personal recognition and self importance. This can be satisfied very often with a little common sense and courtesy.
- c. There should be an agreement on common goals. Before the board and a community group or individual enter into an implied commitment.
- d. CAA boards should not view resident participants with suspicion. However, in their dealings with people they should not be naive to the extent that they appear to be ineffectual or wishy-washy.
- e. An honest aboveboard relationship with organizations and individuals in the community will go a long way toward gaining real confidence and commitment.

Suggested resident involvement in Learning Goal #3:

Talks by leaders and spokesmen of various special interest groups which have specific goals for change in the community are valuable. These speakers also bring information to board members about available resources in local community organizations.

Suggested Consultant use:

Articulate psychologists who have worked with community action programs can provide good insights into human motivation factors and effective communication skills.

In selecting a consultant for this type of program, be sure he understands the training group's composition and the specific learning goals. A consultant in this area must be able to communicate effectively to all members of the group and have knowledge of the board and its programs.

LEARNING GOAL #4: How can we best utilize community resources?

This block of training uses the material found primarily in sections III, IV, and VI of Part I of

this chapter. You should be intimately familiar with all of Part I before beginning. This goal requires more specific advance preparation than the other learning goals in this section.

1. Prepare about twenty-five hypothetical biographical sketches of fictitious people representative of the people living in the participant's communities or working with them. Take care to obtain a real cross section of a typical community.
2. Begin with a group discussion of the diverse activities in which a CAA board may participate. Ask board members to list activities with which they will be involved in their CAA programs. Then list the various functions, steps, and actions that go into these activities. This exercise is somewhat repetitious of the work done in Learning Goal #3 and should move fairly well with information from the group. Add to the group's knowledge when the process slows down.
3. Break the participants into small discussion groups. Give each group a copy of this list and a copy of the twenty-five biographical sketches. Ask each group to place the individuals in the activity for which they will be best utilized and describe their contribution.
4. Ask spokesmen from each discussion group to report on the placement decisions when the group is reassembled. Lead a discussion on the differences of opinion and compare and contrast individual group decisions. Make clear to the group that there are no "right" answers here, they must know the background and skills of the people involved before an appropriate decision can be made.
5. Make a short presentation reviewing legal requirements for community participation and cover the material contained in Section III, "The Extent of Resident Participation." Discuss the facets of an affirmative resident participation program. Outline the two types of resident participation, service oriented and action oriented. Ask the group to give several examples of each. Add to their knowledge with leading questions but do not provide specific answers.

6. Conduct a short review of the entire area of resident participation covering, again, the dangers and benefits of full resident participation. Ask the group to provide most of the information by posing questions which cover the full range of community involvement.

Suggested resident involvement in Learning Goal #4:

Board and CAA staff members and heads of delegate agencies can be invited to outline their programs and discuss their specific "people" needs.

Suggested Consultant use:

Management analysis firms who have worked with or for boards can outline their findings of the needs and shortcomings of CAA groups specific action plans for effective staffing.

V. Evaluation

Evaluation of the board members' terminal behavior is essential for all learning goals. The methods used should include short-range knowledge testing and long-range behavior and effective action observation. It must be stressed that the real test of this training effort is the individual board member's behavior in bringing about effective resident participation. However, early evaluation is important in gauging the level of specific skills and conceptual understanding. This kind of evaluation can pinpoint areas that need more attention.

Test orally or in writing board member's knowledge about the legal requirements for resident participation at all levels of the community action program.

FOR LEARNING GOAL #1

Ask the board member to list five objections they may hear from individuals opposed to resident participation. For each objection offered, ask the board members to state orally or in writing some of the reasons for these objections and a plan for overcoming or refuting each argument.

FOR LEARNING GOAL #2

Have the board members list the different cultural, ethnic and religious groups that make up the population in their community. As each group is listed ask board members to identify the kinds of people and organizations which exercise, influence and control with in the various groups.

Have board members state their action plans for recruiting and expanding resident participation and list five or six kinds of activities the board can take or encourage to further these goals.

Next have them list the information they will keep on community residents, and organizations interested in participating and indicate how these records will be kept.

FOR LEARNING GOAL #3

Have board members list seven or eight organizations with whom they will be working in the community and three or four general types of individuals.

Now ask the board members, either orally or in writing, to discuss and list the motivating factors, specific desires and personal rewards these groups are seeking from their participation.

Now board members should be able to discuss the extent that the CAA can satisfy these desires and state their plans for providing community recognition and appreciation to the community participants.

FOR LEARNING GOAL #4

Have the board members list the two kinds of resident participation, (service oriented and action oriented) and give several examples of each.

Now ask the board members to list several different kinds of activities in which the CAA is involved and list the kinds of interests and skills that would be most effective in these situations.

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MOBILIZATION OF RESOURCES

(Part I, Chapter 5)

MOBILIZATION OF RESOURCES

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- I. THE BOARD'S RESPONSIBILITY
- II. THE PROCESS OF MOBILIZING
 - A. Planning
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- III. IDENTIFYING COMMUNITY RESOURCES
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I THE BOARD'S RESPONSIBILITY

The Economic Opportunity Act discusses the idea of mobilizing community resources in several places. One of the most succinct statements is to be found in Section 201(a)(5) of the Act, which provides for:

"the broadening of the resource base of programs directed to the elimination of poverty, so as to secure, in addition to the services and assistance of public officials, private religious, charitable, and neighborhood organizations, and individual citizens, a more active role for business, labor, and professional groups able to provide employment opportunities or otherwise influence the quantity and quality of services of concern to the poor."

You will notice that this section speaks of mobilizing resources not only for their own sake, but as a way of broadening the involvement of the whole community in the programs of the CAA, as a way of making the CAA more independent, as a way of improving employment opportunities, and as a way of improving the delivery of services.

The "Resources" we are talking about in this chapter come in many forms. We are all familiar with such standard physical resources as money, food, clothing, cars, trucks, lumber, paint, etc. And we are also familiar with another category of resources: personal effort. That may be free legal advice, volunteer labor, having a favor done, or the volunteered efforts of the Board members. And finally, there is the most abstract level of resources, the "spiritual" level. We don't mean prayers for the success of the CAA, though that would be nice; we mean favorable attitudes, high morale, a spirit of community cooperation, positive public opinion, etc. What all these resources have in common is that they are needed to make the CAA's program work.

"Mobilizing" means going out and getting all those resources, and keeping them, and then getting more.

It is transparently obvious that the resources the CAA needs are to be found, for the most part, in the middle and upper class segments of the community. The "spiritual" resources abound in every part of the community, and so, to a certain extent, does volunteer labor. But the ability to do favors, the power to change public attitudes, and the wealth to contribute physical resources are all almost exclusively in the domain of the non-poor segment of the community. Thus the burden of mobilizing these resources falls most heavily on those Board members who represent government and private groups.

Overall, the Board has the responsibility for mobilizing resources through its own members and their contacts and, of course, through the CAA staff. The Board may identify, for example, the number of local resources that must be mobilized to achieve the goals it has set for the CAA. That becomes CAA policy, and the Board and the staff together must work to implement the policy by actually getting those resources.

A full discussion of mobilizing resources, together with an instructive series of actual examples of successful mobilization, may be found in OEO Guidance 6015, Techniques and Sources for Mobilizing Resources.

II. THE PROCESS OF MOBILIZING

A. Planning

Planning for effective mobilization of resources requires clear thinking and hard work. The importance of doing careful groundwork cannot be overemphasized. The first step is to identify the needs of the poor. Mobilization efforts are most successful when organized around goals chosen or strongly endorsed by the poor. For this, careful surveys, formal or informal, should be taken. Surveys can be conducted by interviewing and listening to the poor and groups involved in anti-poverty activities, by observing, and in other ways called for by particular situations.

The value of a formal survey is illustrated by the experience of the local CAA in rural Fayette County, Tennessee. Its county-wide survey of all households revealed the depth of poverty and was later a factor in the decision of the Economic Development Administration to invest \$5,000,000 in grants and loans in the county. Moreover, this investment was matched by more than \$4,000,000 from private sources.

Naturally, it is necessary to identify community resources before they can be mobilized. The CAA staff should develop an understanding of current anti-poverty programs, their rules and inter-relationships, and the need each program fulfills. Since most CAAs probably do not have enough staff to evaluate all programs, priorities should be set. In general, programs that are aimed at the most important needs for the greatest number of people should be analyzed first. All available resources not currently being focused on the poverty effort should also be identified. This evaluation enables the CAA to determine programs that are effective, programs that need redirection, and the existing gaps in community services. Out of that kind of analysis grows an understanding of exactly which resources need to be mobilized.

The planning that needs to be done for mobilizing resources is the same planning that must be done for any other well-thought-out CAA activity. The outline below will be very familiar, at least up to step 3, which begins to narrow down from CAA planning generally to specific planning for mobilizing resources.

1. List the programs identified as "needed" by the target area residents.
2. Analyze each program.
 - a. What are the goals of the program?
 - b. What are the key factors for success of the program?
 - c. What factors are likely to cause failure?

3. Determine the resources required for the program.

- a. What people are needed to staff the program?
- b. What buildings, rooms or office space are needed for operating the program?
- c. What equipment is needed for the program?
- d. How will the program be funded?
- e. How will the program be publicized?

4. Where can these resources be found?

municipal agencies	hospital and medical
county agencies	groups
state agencies	foundations
Federal agencies	military installations
college and universities	religious groups
teachers and school boards	businesses
civic, social and professional	target area residents
groups	other individuals
labor unions	other agencies
industries	etc.

5. Develop a strategy.

a. What tools are available for mobilizing these resources?

personal contacts	public relations--
money	newspapers, radio, etc.
volunteers	community organization
individual CAA Board	others
members	

b. What are the possible plans of action for mobilizing the required resources?

c. Which plans are most likely to succeed? Least likely?

The Board can also use these steps as a checklist for evaluating the effectiveness of a program. However, the major planning effort for the CAA Board is the grant application process. For this the Board should refer to OEO Instruction No. 6710-1, "Applying for a CAP Grant." This instruction provides suggestions for good planning.

B. Stimulating Other Resources

The CAA is responsible for developing and implementing a local strategy to stimulate a better focusing of Federal, state, local and private resources on the goal of eliminating poverty ... the CAA must reach out to all elements of the community, encouraging and assisting each to find effective ways to make its fullest contributions.

Because the CAA Board consists of representatives from many elements in the community, mobilizing resources should start at the Board level. Each member should bring his particular knowledge of available and untried resources to bear on developing a CAA strategy. As good strategists the CAA Board should also develop a sensitive understanding of the leadership in business and community agencies. Then, utilizing the assets of the CAA, they should seek out the possibilities for coalition and compromise.

Mobilizing resources means far more than expanding existing services. It means stimulating enterprise both by raising funds and arousing people's determination and initiative. The long-range goal of community action is to eliminate poverty by encouraging people to help themselves. The CAA Board cannot function without this understanding.

Rev. Jesse Jackson, the Director of Chicago's Operation Breadbasket, realized the importance of practical politics in protecting the rights of black producers and consumers. He mobilized poor blacks, black businessmen, and the large white-dominated institutions to further the cause. Ebony reports on the effects of Operation Breadbasket:

"One Negro businessman ... intimates that many Negro businessmen previously viewed the Civil Rights movement as their enemy, but credits Operation Breadbasket with having 'taught the businessman that he can contribute to the community and help himself also.' ... he has organized consumer clubs ... the aim of the consumer club is to increase the buying power of the black community ... State Treasurer, Adlai Stevenson III, dramatically announced that state funds would be withheld from financial institutions with discriminating lending or employment policies ... 'I was encouraged by the Rev. Mr. Jackson and the members of Operation Breadbasket and wanted to do everything I could,' said Stevenson."

There are many tools for mobilizing resources: community organization, financial grants, technical assistance, good public relations, and many other methods that will be developed by field workers. The CAA Board should utilize all tools in a concentrated effort to stimulate community resources. For example, Rev. Jackson blended organization tactics, good public relations, and technical assistance (teaching consumer economics) into a highly effective mixture for action.

Through analysis of existing needs and efforts to meet these needs the CAA can identify the gaps in community service efforts as well as the potential resources available for filling these gaps. Stimulating the additional use of these resources requires the ability to arouse the leadership of all segments of the community in support of anti-poverty activities.

C. Operating Demonstration Programs

The development of innovative programs by the CAA provides a new focus for mobilizing community resources. The Economic Opportunity Act establishes the direction:

"Initiating and sponsoring projects responsive to the needs of the poor which are not otherwise being met, with particular emphasis on providing central or common services that can be drawn upon by a variety of related programs, developing a new approach or new types of services that can be incorporated into other programs, and filling gaps pending the expansion or modification of these programs."

By sponsoring and encouraging the development of services to fulfill unmet needs the CAA can demonstrate new directions for more effective responses to community problems. Programs initiated by the CAA should be ultimately absorbed by existing community agencies or neighborhood groups or should eventually be financed through local funding sources.

Following are two examples (extracted from OEO Draft Guidance 6015 "Techniques and Sources for the Mobilization of Resources in the Community Action Program") of programs originally conceived, funded and operated by CAAs, but subsequently taken over by other community agencies when the program's need and success had been demonstrated.

The CAA in Rock Hill, South Carolina (a four county, rural CAP) found through community surveys and dental examinations of its Head Start children, in particular, that there was a grave lack of available dental services for the rural poor in the four county area. Although the State Department of Public Health was approached, they were unable to provide the needed dental services at that time. They did consent, however, to lend the CAA a mobile dental clinic not in use at the time. With operating funds from OEO, the CAA hired a dentist and assistants and set-up its own dental program. Services were dispensed out of the mobile clinic which moved from county to county. After the program had been in operation for about one year, and its need and success demonstrated, the State Department of Public Health agreed to take over the entire operation.

In Richmond, Virginia, the CAA operated two homemaker programs which were delegated to the city Welfare Department. When OEO funding was cut in 1967, the Richmond Area Community Council, at the request of the CAA and the Welfare Department, studied the program and recommended its continuation. As a result, the city voted to provide the funds necessary for the Welfare Department to continue the program on its own.

III IDENTIFYING COMMUNITY RESOURCES

What are the total resources of a community?

No one could list all the assets of a community. Creative administrators continually find new resources to utilize. However, most assets could be classified under the following headings:

physical = buildings, equipment, etc.

human = people, minerals, forests, etc.

financial - grants, donations, etc.

natural = land, minerals, forests, etc.

In the planning stage the CAAs identify and analyze potential resources and where they may be found. Then they seek methods of stimulating these sources of community assets to focus on the problems of the poor. The following suggests some sources of assets:

- Personal talents and skills can be recruited through volunteer programs, public relations, and individual contacts. Often the CAA needs more help than is available to implement a program. At this point, the CAA has to utilize the good will of staff and Board members to recruit people to carry out community programs.
- The assistance and involvement of private business is of increasing importance to the CAA. Private business can be an importance source of funding for CAA activities. For example, in planning, the CAA can obtain useful technical assistance from the pool of talent in the private business sector. Employment programs for the poor and job training by private business can be important contributionstowards the elimination of poverty. The development of one private business as a resource and friend can lead to influence with others. Board members from the private sector can help the CAA choose the best means of exploring all these possibilities.
- Support can also be had from local government in the form of funds, personnel or equipment. Political representation of local government on the CAA Board provides an avenue for communication and negotiation for such support. Both with local government and private business, Board committees, volunteer programs or staff can be assigned to develop these resources.

--The most important aspect of mobilizing resources is the direct involvement of the poor. The CAA is primarily responsible for finding and developing resources, but the poor should be part of this process. To effect change in the community, the CAA cannot merely be another agency providing services or resources. The poor must participate in every aspect of community action so that the goal of self-help can be reached.

Lee County Community Action Agency in Virginia illustrates how cooperation with local and Federal agencies resulted in the mobilization of financial and natural resources to create a recreation area and new career opportunities.

"Lee County is typically Appalachian ... Two or more generations have lived in poverty ... by coupling Bureau of Work Training Programs (BWTP), Department of Labor, money with that of the Forestry Department, a branch of the Department of Agriculture, the CAA was responsible for a park and recreation area encompassing about 1000 acres. This program was called 'Operation Mainstream', and 49 camping facilities for trailers, a dumping refuge for waste, a lake, a playground, hiking trails and an amphitheater are now being offered. Five people from this program are being considered for permanent jobs with the Forest Service."

A free community school was established in Elizabeth, New Jersey, by mobilizing physical and human resources within the target area.

"The school was started in August, 1966, by Scientific Resource, Inc., a private consulting firm, after eight adult education aides had surveyed the Elizabetport area and found out what kinds of adult education courses residents of the low-income area wanted and needed. Their findings: sewing, body building, Negro history, tenant action, self-development and civil rights. The aides decided to establish a community school without funds. They obtained several meeting places where classes could be held in the target area, rent free: the community room at Pioneer Homes, laundromats, bowling alleys and a few bars. The Negro History class met in a bar once a week. During class, nobody could buy a drink.

Class attendance ranged from 2 to 25 during a five-week period. In the basic literacy course, the remarks of students themselves were taped, transcribed and turned into a textbook.

The school's ambitious schedule had to be cut with the termination of the training contract. But four classes continued on an informal basis....

No student pays, no teacher is paid, and the school continues."

IV. EFFECTIVE MOBILIZATION

A. Present Use of Resources

There are many public and private agencies to serve social needs in most communities. However, most of these agencies have been primarily concerned with their specific duties rather than meeting the wide range of current human concerns. The community action concept evolved as a method for making these institutions more responsive to current needs through, in the words of social planner Paul Ylvisaker, "the social application of the art of jujitsu." Small amounts of resources are placed in strategic positions to capture a larger share of the community's resources.

Examples in this section indicate that community action programs have had some success in stimulating community resources. Head Start programs have influenced the American education system, legal systems for the poor have become part of our system of justice, and manpower development and training programs are now conducted without controversy.

To activate all this requires a bit of "salesmanship," and a CAA Board would do well to examine some of the basic principles of salesmanship as they apply to mobilizing resources. Basic to salesmanship is convincing the person that he gains in buying the idea. Consider, for example, how a manufacturer of paint gains from donating paint to a day care center.

1. The donor can deduct the cost of the paint from his taxes as a charitable donation.
2. The donor can create among the community a loyalty to his brand based on his helping the community.
3. The donor's contribution can be publicized, giving him free advertising.
4. The donor can use posters and films of the day care center to show the "humaness" of his company.
5. The donor can get rid of surplus inventory in a way both beneficial to both him and to the community.

6. Day care centers mean freeing more women for gainful employment, this means a growth in consumer dollars, which can mean more paint purchased.

These are very real gains for the paint manufacturer.

B. Relating the Request to the Characteristics of the Source

This is a touchy area in mobilizing resources that calls for good instincts and knowledge about potential resources. There are a few important guidelines.

1. Requests for assistance or supplies should be directed to the top of any organization, institution or company. This is where the decision making power resides, and often is the most effective place to start.
2. The person making the request should be a member of the same peer group as the person being approached. If a bank president sits on the CAA Board, he would be best able to effectively communicate need to the president of a possible donating company. At the Board representative of the poor or neighborhood group leaders would be the most effective in communicating the need for poverty resident volunteers in a program.
3. All requests should be itemized with explanations of the rationale behind the need. Many businessmen like to be approached in a business like, direct fashion. A well conceived program, expressed in an organized fashion will speak most eloquently for the need. A direct, sincere approach is essential.
4. The attitude of the salesman is basic to selling. If the person soliciting the resource is arrogant, wishy washy, uncertain of his needs, insensitive to the other person's position or disrespectful, chances are that little will be donated and the hope of any future commitment may well be destroyed.
5. Make the request one that the donor is able and predisposed to meet. It would probably be unrealistic to ask a white suburban middle class womans church group to act as working volunteers in an urban black day care center. Their lack of familiarity with this type of situation plus the requirements of time and energy might be too great. But to ask this same group for donations of children's books, toys or furniture might be a request willingly met. The involvement might be less but there is involvement with the poor for perhaps the first time. The church group might welcome this type of involvement as it meets a real need but asks much less. Eventually this slight contact might lead to a more meaningful involvement - with the womans church group eagerly volunteering their time and energy as volunteers in the day care center.

6. Encourage the donor to encourage others to donate. Let the paint manufacturer become your spokesman if he wishes. This will give him a new sense of importance in the community and broadens his involvement.
7. Try not to ask the same sources for donations. The more people and groups you can get involved, the better; and it may be wise not to "overdo" it with a big donor.
8. Invite the donor to see how his donation is being used and its benefit if at all possible. For a donor to see the end results of his support is a good way of showing gratitude and furthering his commitment.
9. Respect a donor's request for anonymity.
10. Honor any commitment or involvement given in confidence. A politically sensitive citizen may move behind the scene to assist but knows that public revelation of his support might cost him his election. Honor his confidence.

C. Future Possibilities

If CAAs are to encourage communities to help themselves, they must develop broad-based community support which will include that of the rich, poor, white, black, managers, workers, government agencies and private organizations. Community support depends on community understanding, and understanding depends on getting the message across. The message reaches different groups through the various communications media.

The CAA Board is representative of the community and provides the base for such an information assault. The Board members could follow-up well-planned information programs with personal conversations. Getting the message across is only one prerequisite for mobilizing the community's resources. CAAs must also develop their planning capacity and ability to implement plans.

Identifying sources of community assets is an important part of the planning process. The Office of Economic Opportunity, a primary funding source for CAAs, supplies less financial support each year. If CAAs are to continue as catalysts of social reform, they must concentrate on locating and utilizing all sources of aid within the community.

TRAINING METHODOLOGY

I. Introduction

This segment of board training deals with the basic CAP concept of mobilizing resources within the community to bring more funds, people, ideas, and action to bear on the war against individual and community deprivation. One of the frustrating, and at the same time, challenging facts of American social life is that there is a plenitude of unused resources waiting to be tapped. Money, materials, talent, human energy, and good will are like "characters in search of an author." A major role of the CAA board is to become the "author" who provides the scenario and the creative leadership to mobilize these uncommitted resources in a concerted attack on poverty. If we can mix metaphors again, let us suggest that in mobilizing resources, a board and its individual members can view themselves as prospectors for precious minerals. The minerals are there to be had, but they must be dug for with a variety of tools and in a host of places.

Board development specialists will find this unit of training particularly important. It is clear that there can be no significant progress or ultimate victory over poverty unless a maximum range of resources is brought to bear on community needs. Furthermore, it is equally apparent that OEO funds are not, and were never intended, as the major or only resource to be tapped. It is critical for board members to understand this so that they can prepare themselves to identify and capture, as much as possible, the wide range of physical, financial, and human resources available in the community at large for use in their attack on the causes and effects of poverty.

In this chapter you are dealing with a concept that is familiar to many board members--resources. Middle-class board members no doubt are involved in acquiring, managing, or changing resources. Most likely, they already know how to acquire them. Therefore your job as

trainer will be to introduce them to all possible resources available and help them understand these resources. You will also develop their abilities to mobilize needed resources by applying well planned and imaginative techniques to bring money, materials, and energy into the community.

On the other hand, some board members from low-income groups may not have a clear idea of the concept of "resources." In this segment of training, your responsibility is to help them define and act out a role for bringing resources into the community. In most cases, they have had little exposure to or control over monetary or material resources. Their idea of resources tends to be limited to human--people working on projects (volunteers for example), and possibly organized groups actively seeking change and improvement through concerted efforts (e.g. boycotts, demonstrations, etc.). You as board development specialist must seek to widen the understanding of the low-income representatives of the term "resources."

II. Overall Objectives

This chapter has a number of learning goals for board members. Some goals are cognitive--that is, increasing the understanding of concepts associated with "mobilization of resources." Others are action goals--specifically, moving the board as a body, as well as individual members, to make plans and take steps to define required resources and bring them to bear on solving the target area's poverty problems.

As a trainer, in this segment you must use basic diagnostic techniques to determine board members' knowledge with regard to "mobilization of resources." You can do this by opening the training session with a broad discussion on the definition of "resources," and ways to mobilize them. The quantity and quality of the discussion will help you determine the existing degree of understanding. Based on this discussion, you can plan your training to fit not only the needs of the board as a whole, but also the needs of groups and individuals within the board.

We previously suggested that you will probably find a high degree of conceptual or cognitive knowledge among middle- and upper middle-class board members. Should this be the case, your aim will be to sharpen their knowledge and help them develop plans, strategies, and techniques for mobilizing specific resources to solve identified problems. Thus, an overall board plan for mobilizing materials, money, and people might be one outcome of the training. In addition, individual members who have influence and entree into the world of resources should be encouraged to draw up personal plans aimed at attracting available resources to the needs of the community.

Because the more affluent board members may have a greater awareness of this key concept, use them as much as possible for instruction in your training sessions, particularly the sessions concerned with the concepts of "resources" and "mobilization." You can do this by structuring breakout and discussion groups so that knowledgeable affluent board members are mixed adequately with less affluent representatives. You should also feel free to use these knowledgeable board members as trainers or discussion leaders for areas in which they have special expertise or insight. For example, if you were discussing medical care as a required resource, a member who is a physician would be an ideal choice for explaining available resources and how they could be tapped.

It must be re-emphasized that one of the major goals of this part of board training is action by the board to achieve maximum resource mobilization. Therefore, throughout the training, as well as at its conclusion, the board development specialist should lead the board in identifying specific resource requirements, creating plans to mobilize them, and evaluating progress in bringing resources to the community. These will not be hypothetical resources for hypothetical needs; they will be actual resources needed for real problems identified by the board and the CAA. The ultimate outcome then, will go far beyond increased knowledge of concepts and ability to apply techniques. The outcome will be a wider range and more effective application of resources to meet the needs of the target population.

III. Specific Learning Goals

1. WHAT DOES "MOBILIZATION OF RESOURCES" MEAN?

Board members will be able to define orally the concept of mobilization of resources, giving specific examples of resources which include money, materials, and volunteer services. Board members will also be able to prepare a list of places, institutions, and agencies which includes at least twelve of the sixteen sources (listed in Part I, Chapter 5, Section II A 4) where resources can be found.

2. WHY IS MOBILIZATION OF RESOURCES IMPORTANT?

Board members will be able to explain and defend orally or in writing the following statement from OEO Draft Guidance 6015 - "Techniques and Sources for Mobilizing Resources":

"The mission of a CAP grantee is to expand the capacity of the community to deal with poverty, both by redirecting existing local resources and by bringing in new resources from beyond the community."

The explanation and defense should include:

- (a) reference to the 1967 Amendments to the Economic Opportunity Act of 1964 relating to the basic purpose of CAP in stimulating a better focusing of all available resources towards the needs of low-income groups.
- (b) reference to the limitations on OEO funding of the CAA.
- (c) reference to the principle that mobilizing resources heightens community involvement in the local War on Poverty.

3. WHAT IS THE ROLE AND RESPONSIBILITY OF THE CAA BOARD IN MOBILIZING RESOURCES?

Board members will be able to state or prepare a written statement of the responsibilities of the board as a body and of themselves as individuals in mobilizing resources under the auspices of the board or through the CAA staff; the written or oral statement should include an explanation and specific examples of how mobilization of resources can become CAA policy.

4. HOW CAN RESOURCES BE MOBILIZED?

Board members will be able to explain and give at least one example of the following principles and techniques for mobilization of resources (adapted from Section 2 of Draft OEO Guidance 6015):

- (a) effectiveness of mobilization of resources increases when the goals being met are chosen or strongly endorsed by low-income groups.
- (b) neighborhood groups can mobilize resources on their own behalf.
- (c) careful groundwork and planning are critical to effective mobilization.
- (d) use of outside experts can help in mobilizing resources.
- (e) public relations efforts can increase the chances for a successful mobilization effort.
- (f) sharing expenses of a project enhances wider community involvement.
- (g) self-help as a start in fund raising improves the likelihood of attracting other resources.

- (h) individual CAA board members can strongly increase mobilization by using their businesses and professional relationships to stimulate interest and participation of wide sectors of the community.
- (i) effective use of OEO funds can be made by using them as "seed money" to attract other financial contributions.

5. WHAT SPECIFIC ACTIONS CAN THE BOARD AND MEMBERS TAKE TO INCREASE MOBILIZATION OF RESOURCES?

Board members will prepare a comprehensive plan, for the board as an entity and for themselves as individuals, which lists specific resource goals, organizations and people to be contacted and influenced, and projected target dates for the actions to be accomplished.

IV. Methodology

LEARNING GOAL #1: What does "mobilization of resources" mean?

Much of this training leans heavily on the draft, OEO Guidance 6015, Techniques and Sources for Mobilizing Resources. You should become intimately familiar with the contents of this document, as well as with Chapter 5, Part I of the trainer's manual. The information and examples in each will help you lead board members to a clear understanding of this basic CAP concept.

1. Begin the training by leading a discussion on "resources." Have the group give specific examples of resources and list them on a flipchart or chalkboard. When all suggestions have been exhausted, have members of the group attempt to induce a definition of resources. It is important that representatives of the low-income group develop a clear understanding of this concept. Test their understanding by selecting them first to attempt the definition of resources.

2. Lead a brief discussion on where resources can be found. Get board members to think in terms of the sources listed in Chapter 5, Section II. This list is quite inclusive, but individual board members may think of other sources worthy of consideration.
3. Break the group into several small discussion groups to consider resources provided by the various sources. Divide the work by assigning each breakout group an identical number of sources to consider. For example, one group might discuss resources provided by municipal, county, state, and Federal agencies; another could consider resources provided by businesses, labor unions, and industries.

Attempt to structure your subgroups so that board members with extensive knowledge of the agencies and institutions under discussion are in the corresponding group. Thus, the group discussing public agencies should contain board members representing the public sector. Business and labor board members should be included in the group discussing resources offered by industries, businesses, and labor unions. In addition, organize the breakout groups so that each one has a number of low-income representatives. This will assure a wider range of information for the latter group.

Instruct the groups to discuss ways in which these segments of society can be tapped for material and personal resources. Have the groups think about specific and real organizations in the community rather than hypothetical ones.

LEARNING GOAL #2: Why is mobilization of resources important?

1. Begin this part of the training by conducting a brief lecture on Congress' intent that CAAs should be the leaders and catalysts for involving local resources and bringing in new ones for the elimination of poverty. Stress the fact that OEO funds are stimulators for moving other resources.
2. Conduct an exercise aimed at emphasizing the impact of this concept. Prepare a simulated telegram from the CAP director in OEO headquarters which announces that funds for a major CAA project are eliminated because of a nation-wide curtailment in programs of

this kind. Choose a program to which the board is highly committed. (NOTE: All members of the board must be informed that the telegram is unreal and only a mock for training purposes.)

Have the board as a whole discuss the effects of the loss of funds. Get them to discuss alternative ways of finding resources to replace the lost OEO money. List all the actions and sources that board members enumerate.

3. Have the board divide itself, after a period of ample discussion, into a number of task groups, each of which has a specific goal in mobilizing resources. For example, one group might be charged with contacting state and local agencies; another with appealing to business; a third with establishing a public information and relations program; another, particularly if it were composed of low-income representatives, with developing plans to mobilize the sentiments of the effected low-income group by conducting demonstrations and door-to-door appeals for help.
4. Brainstorm and develop the mock plans of the small groups; reassemble the entire board. Have each group's spokesman describe his plan of action and encourage the whole group to critique it.
5. Summarize the ideas and tell the group that their responses to a simulated emergency situation indicate that the talent to mobilize resources is there and that they can begin to apply it in real situations.

LEARNING GOAL #3: What is the role and responsibility of the CAA board in mobilizing resources?

1. Conduct a guided discussion on the role and powers of the board as the leader in the War on Poverty. Discuss briefly with the board its policy-making role. Try to have them link the general policy-making role to views on mobilizing local resources.

At this point, it will be desirable to get board members thinking specifically about their individual roles in mobilizing resources. To accomplish this, you might assign a period of time for individual

contemplation or soul-searching. Ask each member to list all of the organizations and individuals he knows directly or indirectly who have control over or access to needed resources. Give the board members thirty minutes to prepare the list.

2. Work closely with board members representing the low-income group. Many of them may feel that they have few contacts with powerful and affluent groups or individuals. Although this may be true, they should be encouraged to list sources they would like to contact if they could. Individual counselling here might serve to bolster self images. The low-income representatives on the board should remember that as board members they occupy a role which contains a great deal of authority and desired status.
3. Encourage the board, upon the expiration of the "soul-searching" period, either as a body or in as few groups as possible, to list the organizations and people they feel they might influence to mobilize required resources. All the members need to do is state the name of the source and what kinds of resources they control. (Should certain board members be reluctant to list certain sources -- particularly individual contacts -- their reluctance should be respected.)

The purpose of the exercise is to begin the board's awareness of its own potential and actual personal and group influence.

LEARNING GOAL #4: How can resources be mobilized?

1. Reproduce and distribute to each board member copies of OEO Guidance 6015, previously referred to as a pre-training reading. Section 2 of the document contains excellent explanations of ways resources can be mobilized. Section 3 contains a host of good case examples in which CAAs used imaginative techniques to mobilize resources.
2. Lead a general discussion, when the group meets after reading the document, on the contents of the reading. After satisfactory discussion has ensued; break the group into a number of small groups each of which is assigned three of the principles or techniques listed in Part II of the OEO Guidance. Make your assignments according to the skill and experience of the board members.

Have each group choose a CAA program or project which effective mobilization of resources would significantly improve. It might be one in which required funding is insufficient, for example. In any case, each small group will select its own project or program. In addition, the group would be required to apply all three of the general principles and techniques which they have been assigned to mobilizing resources for their chosen project. For example, one group may choose the establishment of a day-care center in a target area as its program. It has been assigned three techniques for effective resource mobilization. It will be required to spell out all of the actions it must take for each of the three techniques in order to get all of the required resources to establish the day-care center.

3. Reassemble the whole training group. Again, have each group, through a spokesman, describe its project and actions it suggested in accordance with techniques assigned. The whole group can discuss and criticize the spokesman's reports.

To terminate this phase of the training and to provide continuity to the next, get the whole board to choose one of the projects or programs selected by the sub-groups. The project will be the one used in the final part of the training as the one around which a specific board plan will be developed for mobilization of resources.

LEARNING GOAL #5: What specific actions can the board and members take to increase mobilization of resources?

The final objective is for the board to develop a comprehensive plan for mobilizing resources to achieve a specific agreed upon CAA goal. The goal will be for a project chosen by the group at the last training session. It will be a real and important project that has high commitment from the board and the community.

1. Lead, in concert with the board chairman, the whole board through a step-by-step planning session. Required resources should be identified and listed. All potential sources should be elicited from board members. The action steps required -- contracts, public relations, reports, written requests for funds

(where needed); community involvement, assembling volunteers, coordinating with the CAA staff, etc. -- all should be clearly written out, along with a proposed time schedule.

2. Divide the work among several groups set up according to expressed interest and real influence. You and the board chairman together will do this. Each group will be responsible for preparing a more detailed plan, and, in certain instances, individual plans for accomplishing each of the action steps in the overall board plan. Each small group will plan its time frames and target completion dates and write them down.
3. Review, discuss, and approve (with the board chairman) the plan. After appropriate discussion by all groups and individuals, the next step is implementation of all mini-plans. At this point, training becomes reality. Work closely with each group and individual, checking on his progress and helping him overcome roadblocks to success. In addition, progress report sessions should be held periodically so that all board members may learn how well they and others are proceeding.

Close coordination with the CAA director is important in this action phase of the training. There will be many false starts and frustrations. But ultimately, given careful monitoring and counselling by you, the chairman, and the CAA director, the small plans will be accomplished. In turn, the overall goal of mobilizing resources for a specific desired end will be met.

V. Evaluation

At first, you can evaluate your training in this area by testing to see how well board members understand the ideas and learn the information discussed during the training session. Ultimately, however, your evaluation of this training should be based on how successfully the CAA board can bring resources for meeting community needs to bear.

During the formal training session on this chapter, you can conduct several group discussions. It is important for you to make sure that these discussions come to accurate conclusions. However, for evaluation purposes, it is even more important that you make sure that each member of the discussion groups has learned what the discussion is to have taught.

To evaluate this, listen to the comments of the discussion group members. Make sure that each member, especially the low-income representatives, asks questions and makes comments which show that he understands the issues at hand. Generally, the more you get low-income representatives to participate, the more successful the group discussions will be. By their comments, board members should show that they know what resources are available to meet community needs; that they are able to mobilize these resources; and, most importantly, that they accept mobilizing these resources as a primary responsibility of their board.

Once you have determined that the training session has taught the "what, why, and how" of mobilizing resources, then you are ready to test whether the board meets its responsibilities in this area. During its regular course of business, check to see if the CAA board is successfully identifying areas where expanded resources are needed. Determine whether the board is successfully redirecting community resources or bringing in new resources to meet community needs.

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COORDINATION
(Part I, Chapter 6)

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- I. INTRODUCTION
- II. ENVIRONMENT FOR EFFECTIVE COORDINATION
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I. INTRODUCTION

"With all our efforts, Federal, state and local, we are not providing enough service to enough people; we are not providing a high enough quality of service; the services we do provide are not always accessible to those who need them most; and existing services are frequently uncoordinated, with the result that they either hotly compete for or totally ignore whole groups of clients."

John W. Gardner
Chairman of the Urban Coalition
and Former Secretary of the
Department of Health, Education
and Welfare

Someone who is trying to rent an apartment and feels that the landlord is discriminating against him might turn for help to the local Legal Aid Society, the mayor's Commission on Human Relations or a Community Fair Practices Organization...or he might approach his local Community Action Agency (CAA).

A child enrolled in a Head Start program might also be the concern of the Foster Home Care Division of his city's Department of Welfare and the Dentistry Division of its Department of Health. If he were Catholic, the Catholic Home Bureau for Dependent Children might be interested in helping him, or if he were Lutheran, he might attract the attention of the Lutheran Child Welfare Association. At the same time, an older brother might benefit from the services of the Youth Board or Youth Counsel Bureau--both city agencies--as well as the state's Youth Employment Service. And one or both of their parents might use the city's Special Family Counseling Service and the State Employment Service.

These examples show that, ironic as it may be, the large number of public and private organizations fighting poverty problems verges on being one of those problems. Too many organizations can mean that valuable resources are being wasted.

The Economic Opportunity Act recognizes this. In mounting a comprehensive attack on poverty, it places great emphasis on the coordination of anti-poverty programs. The CAA is intended to play a major role in encouraging this coordination. It should be stressed at the outset, however, that while the CAA is to play a major role in coordination, it is not the coordinator for its community. Its proper role is one of encouragement, not coercion. Indeed any leadership it experiences must be freely bestowed upon it by other agencies, since the CAA has no power (nor should it have) to force coordination.

When we discuss the role of the CAA in coordination, we mean its role in inter-agency activity. The purpose of coordination is to maximize the benefits of each agency's program and to minimize duplication, overlap and potential conflicts. Above all, coordination means planning. It also means communicating.

In one case, eight school systems worked together with a single-county CAA and numerous consultants from the state Department of Education to develop a pilot program which included advanced concepts of adult education for migrant workers in the area. The state, the school systems and the Office of Economic Opportunity then provided cash and in-kind contributions to operate the program. This was inter-agency activity. It was also highly effective coordination.

To fulfill its coordination responsibilities to both the Office of Economic Opportunity and the community it is designed to serve, the CAA must do at least four things:

1. Initiate a coordination system

A coordination system is any means either formal or informal, whereby agencies conducting related programs communicate with each other on a regular basis to "maximize program benefits" and "minimize duplication, overlap, and potential conflicts." An example of a formal coordination system would be the checkpoint procedure (CAP Form 46) required by OEO as part of the Grant Application Process. Informal coordination may be as simple as regular telephone calls or visits between officials of related agencies to keep everyone "up to date" and iron-out any problems.

If a coordination system already exists, it must be evaluated to determine:

1. how effective it is, and
2. whether its purpose is the improvement of services or the exclusion of other agencies from the field.

If there already is a system and it is effective the CAA should try to participate in it. "If you can't beat em, join em!" If the system is ineffective, too limited, or "protectionist", the CAA should encourage improvements or (where possible) take the lead in developing a new system.

Often the CAA itself must create the proper climate for a coordination system to be established and to function effectively. The key to this is communication--the CAA and its Board must itself be convinced and must convince other agencies and individuals of the benefits of coordination to all. The CAA must then work with the other agencies to establish joint objectives and the necessary organizational machinery and procedures and operational linkages.

2. Practice coordination

This is a case of "practicing what you preach."
Coordination means joint activity among equals and not control by one who is more equal.

3. Service the system

Once a system of coordination exists, it requires people to gather information and data, analyze programs and projects, prepare detailed plans and make evaluations.

The CAA should make every effort to get all participating agencies to "lend a hand". The provision of staff is usually evidence of genuine commitment, and it will also lead to the agencies' further involvement. But if all efforts to get other agencies to fail and attempts to obtain funding from other state, Federal and private agencies are unsuccessful, the CAA should consider providing the man-hours (or years) necessary itself. Without a significant investment of staff time a coordination system cannot function.

4. Provide information

The CAA is responsible for keeping individuals in the community informed about the services it provides, as well as other available through various public and private agencies. It is responsible for stimulating and improving community-wide planning by encouraging joint planning and by keeping the agencies informed as to what other agencies are doing. And it is responsible for informing the Office of Economic Opportunity about the functioning of the coordination system.

II. ENVIRONMENT FOR EFFECTIVE COORDINATION

If agencies are to successfully coordinate their programs they must recognize that no one person or group has a monopoly on the solutions to the problems of poverty or the money available for pursuing them. In short, they must be sensitive and open to the problems and experiences of others working in their area, and avoid any semblance of self-righteousness or "know-it-allness."

Most organizations tend to concentrate on a single field-- education or employment, housing or health. They must recognize, or be helped to recognize, that the problems of poverty are complex and cut across the functions and services of the departments and agencies of the Federal, state, county and municipal governments as well as those provided by private groups in the local community. A child who lives in inadequate housing may also be suffering from nutritional problems and require psychological counseling as well.

The agencies must have a mutual respect for each other's limitations. It may not always be possible for an education agency, the employment service or the CAA to commit itself to a project even though all agree that it is a priority need.

There must be a willingness to share information about the programs and the people they serve. The agencies must also have a willingness to plan their activities and tailor their services and programs JOINTLY. This will frequently involve a significant degree of institutional change, and it should be recognized that only in a very few instances will all agencies be entirely satisfied with the final program.

How can the CAA create an environment of mutual respect and a willingness to share and to engage in joint planning? The approach will differ from one community to the next and in any case will not be successful overnight. The CAA's initial attempts might even meet with suspicion, if not open hostility. But here are some suggestions:

- Members of the governing body of the CAA can visit the directors of various Federal and state agencies in their community.
- The CAA can hold joint informational conferences for the directors of the community's various service agencies. At the conferences, representatives of regional offices and state agencies can discuss approaches to coordination and techniques.
- The CAA can sponsor conferences at which outside consultants and policy makers discuss the need and specific possibilities for coordination with the directors of state and local agencies.
- The CAA can conduct conferences with the representatives of the governing bodies of various local agencies on the need for program coordination. These should result in further discussion by local administrators.

In most cases inter-agency coordination will be something less than ideal. Unless the CAA from time to time reminds the other agencies in its geographical area of the need for joint planning, coordination will tend to ebb rather than flow.

Much depends on the individuals involved. There are those who view coordination as an attempt at interference, and there are those who know it is the only way to combat poverty. Sometimes a change in personnel is all that is necessary to change the environment for coordination from poor to favorable. The message here for the CAA is to keep trying.

Finally, we must remember that success breeds success; when agencies find that working together produces beneficial results, they are all the more willing to participate further in joint activities. As agencies participate in more and more joint activities, their mutual respect will grow and individuals will communicate with one another on a more regular basis.

III. PURPOSES OF COORDINATION

Coordination is not an end in itself. It is the means of accomplishing a larger objective. In this case that objective is to make a continuing and comprehensive attack on poverty conditions. Effective coordination enables the agencies in a community to work together harmoniously to provide services to as many people in the community as possible in the most efficient way.

The following are eight things which a good system of coordination should accomplish. For each there is an accompanying case study-example.

1. Provide a channel of communication for sharing ideas and information

The first thing a coordination system must provide is a means for individuals and agencies to get together and discuss what they are doing. In other words communication must precede coordination. The coordination system itself should enable individuals and agencies to participate jointly in planning and programming for common goals, such as employment programs, health services, etc. It should also indicate when individuals are and are not cooperating.

Example:

That second-level and third-level people in several agencies were not cooperating was made clear at the second meeting of a coordination committee which was composed of the chief administrators of the service systems. When the administrators discussed the assignments made to field personnel in their agencies and reports they had received, it became clear to all that the chief problem was that the field personnel felt threatened by the new CAA field workers, who had neither been introduced nor introduced themselves to the workers from the other agencies. Once the problem was discovered, it was remedied in short order.

2. Coordinate policy

In order to define over-all community goals and objectives, the CAA should invite various people for joint policy-making sessions. At the community level this may involve members of local school boards, governing bodies of the CAAs and Board members of private social-service agencies. At the state and Federal level, policy is generally made by elected and appointed officials.

Example:

The governing body of one CAA has divided itself into committees. Each committee is concerned with a particular program or service area, such as manpower or education. Each committee invites policy makers from other agencies, such as administrators in Federal and state offices, to sit with it at regular meetings to discuss specific policy issues.

3. Provide for in joint planning

Planning is more specific than policy-making. With comprehensive planning the agencies in a community should be able to get more done and to get it done more smoothly.

Example:

In one metropolitan area, the mayor of the largest city named the Executive Director of the CAA as chairman of the planning group to prepare the Model Cities application. A number of representatives from other agencies were also members of the planning group and helped write the proposal. In this case, the CAA helped coordinate activities within its own community and also between local and Federal groups (the Department of Housing and Urban Development).

Joint planning should also enable the agencies in a particular community to identify the gaps, conflicts and duplications in their education, employment, health, welfare, housing and other programs. The agencies can then consider alternatives that will better meet the problems of the disadvantaged.

Example:

Sometimes in their efforts to see the situation as it really is, the agencies may find themselves bickering. One group which found itself in this position got help from a team of specialists from a large local university. The university people did a six-month study of agency gaps and overlaps and made a full report back to the whole group.

4. Improvement services in the community

This, after all, is a principal aim of coordination. Improving services in the community may have to do with making joint assignments of field workers, loaning personnel from one agency to another or creating a new program when joint planning has identified a gap. More importantly, it means, the development of effective day-to-day operational linkages between and among agencies engaged in related social programs.

Example:

One CAA found in its geographical area a lack of basic education and pre-vocational training. An initial project which included community schools and featured non-graded courses from grades one through twelve and pre-vocational training was funded by OEO. Within a year, the school system had picked up the funding of the program and had also expanded it.

5. Phase programs carefully

Phasing means that residents of the community get the full-range of the particular type of services they require and in the order they require them.

Example:

In effectively phased programs the graduates of the adult basic-education classes would move into pre-vocational training projects and then into the MDTA training classes operated jointly by the employment service and the vocational education agency. For this to happen, the local school system or systems, the state employment service, the metropolitan or multi-county CAA and a number of other agencies must all work together.

6. Increase training and technical assistance programs

The significance of coordination in increasing training and technical assistance programs is that all agencies in the area have access to a larger pool of resources than each has individually.

Example:

If CAA staff members and a private health and welfare planning council assist a municipal government in completing a workable program which then makes it eligible for other Federal housing projects, a technical assistance function has been performed. In one area the CAA gave eight weeks of in-depth training to residents who sat on the advisory committees for the Title I projects of the Elementary and Secondary Education Act in more than 30 school districts.

7. Broaden and improve evaluation

The merit of coordinated evaluation is that the agencies in an area can look at the impact of an activity or program on other programs and on the needs of the community as a whole. Coordinated evaluation also means that instead of having professionals in one specialty evaluate a program or activity in that field, the various agencies can develop an interdisciplinary approach.

Example:

When a work experience program operated by a local welfare department was severely criticized by residents in the area of a multi-county CAA, a team composed of representatives of the welfare department, the CAA and a local university evaluated the program. As a result, changes were made, the criticism subsided and the program apparently is now functioning as it should.

8. Broaden perspectives

One test of effective coordination is whether agencies and individuals are making realistic appraisals of how their activities meet the larger needs of the community. If effective coordination has broadened the perspective of the participants, their larger view of the situation in their community should result in even better coordination in the future.

IV. MACHINERY OF A COORDINATION SYSTEM

Governmental structure, agency structure and even the structure of the CAA itself all play some part in determining the organizational arrangements for coordination. So does the size of the community, the number of agencies and the number of people they seek to help.

In order to be effective, coordination must take place at two levels: (1) policy and (2) technical.

1. At the policy coordinating level, the CAA should get together an inter-agency committee composed of members of its own governing body and members of other governing bodies of other community service organizations in its area. In some cases, state officials or representatives should also be requested to sit on the inter-agency policy coordinating committee.

Other members of this committee would represent the local board or boards of education, county health departments, individual hospitals, adoption services and the department of welfare.

- a. The first job of the policy coordinating committee is to find out everything that the different agencies in the community are doing to combat poverty.

The committee should ask professional staff members at each agency for a full report on that agency's goals and its specific programs. These reports should be as detailed as possible. They should tell, for example, how many cases each worker in the welfare department handles; how long each case has been assigned to that particular worker; how many referrals the worker has made to other agencies, etc.

In its report, each agency should have the opportunity to give its own opinion of its work, whether it needs additional staff, equipment and the like.

Each agency should also specify with what geographical area it is concerned and whether it feels that it is providing the kinds of services that it should to all the people that it should.

Finally, the policy coordinating committee might ask the agencies in the community for their recommendations for a more effective community-wide anti-poverty program and their suggestions as to how they could best coordinate their own activities and efforts with those of the other agencies.

- b. Once the policy coordinating committee has these reports, it should analyze them to determine gaps, duplication and conflict.

It could also seek outside technical assistance to help it with this job and, too, identify programs sponsored or administered by different agencies that could be linked.

- c. The policy coordinating committee can then recommend programs to fulfill the community needs which are not currently being met and can suggest ways to improve the present delivery of services.

2. Besides bringing together members of the governing bodies of the various public and private agencies to create inter-agency policies for the community, the CAA must also bring together the people who actually provide the technical services.

In some cases, these people may be the same as those who set policy for their individual organizations. At the technical services level, the CAA might bring in the directors of various private agencies, but it would also call upon school superintendents rather than their higher-ups at the Board of Education.

At the technical services level, together with the executive director of the CAA, may be the county agent, the Farmers Home Administration director and the local welfare director.

- a. The first job of the people who coordinate technical services is to get the information required by the policy coordination committee.
- b. Its second job is to establish good working relationships with one another so as to develop close cooperation among the agencies and individuals administering separate but related community service programs.

- c. At the technical services level, the agencies in the community can then coordinate the field activities of their various employees. It is better to arrange work assignments so that neighborhood aides from the CAA do not visit the residents on the same day they are visited by welfare workers or housing inspectors.
- d. At the technical services level, the agencies can coordinate the phasing of their services. Usually only minor adjustments are necessary to insure that someone who graduates from a basic education or a pre-vocational training program is placed in a skill training program or receives an opportunity directly to be employed.
- e. Together with the policy coordination committee the technical services group can determine evaluation standards and who should do the evaluating--what individuals or what inter-disciplinary team--and also when activities should be evaluated.
- f. Members of the technical services group could also be responsible for reviewing all applications for funding submitted by the various agencies.
- g. They could disseminate information on all of the programs in the community's anti-poverty campaign--both to the agencies and to community residents--and could inform agencies and individuals when an agency introduces a new program.

3. Staff

Communities and agencies must recognize that effective inter-agency coordination requires at the minimum a small staff if only to gather and disseminate information.

It is highly desirable for the participating agencies themselves to contribute one or more of their employees to a joint staff. Aside from anything else, this will enhance and further inter-agency coordination.

Where the agencies absolutely cannot or will not do this, the CAA might have to assume the responsibility of creating a staff. Before it does, however, it should explore several other avenues:

- a. Each agency in the community could loan one of its people to a joint staff. This is often done when the project is quite specific and is expected to be completed within a short time.

A metropolitan area that was developing a model cities proposal assembled a team of specialists from various community agencies (including the CAA) under an assistant to the mayor. When the proposal was completed, each person returned to his regular assignment.

- b. Each participating agency can assign one or more of its own staff members to devote part of their time to inter-agency activities.

The responsibilities of these people can include keeping other people in their agencies informed about all activities in the community, receiving and distributing information, making reports, participating in conferences and helping to draft and review applications. In one rural area with this arrangement, the people involved spend about one quarter of their time on such inter-agency coordination activities.

- c. One or more agencies might get a state, Federal or private grant to finance an additional position for purposes of inter-agency coordination.

V. TECHNIQUES OF COORDINATION

What are the actual methods that the various agencies in a community use to coordinate their joint policy and programs and to evaluate their joint activities?

It's all very well to have a committee or two, but unless the committee has some written procedures to follow, it isn't likely to accomplish much. The written procedures specify the formal means of coordination. There are also informal techniques, and the informal techniques are just as important, if not more so, than the formal ones.

A. Formal Techniques

1. The formal methods for coordinating services should include regularly scheduled meetings of representatives of the various community agencies, including the CAA.

Depending on the business at hand, the people involved in the coordination effort might meet weekly, monthly or quarterly. Although they should consider policy-making, planning and evaluation only at certain times of the year, they should discuss administration and service delivery at all their meetings.

Sometimes the individuals who make inter-agency policy will want to meet by themselves. At other times, it will be better if the policy-makers and the professional administrators get together at the same meeting.

2. The CAA should also introduce the agencies in its area to a checkpoint procedure. This is a requirement.

when submitting project applications to various state and Federal agencies for approval and funding.

Specifically, the applicant agency, such as the CAA, must submit a proposal to several local agencies, such as the school system, the employment service office and the welfare office before submitting it to the higher-level agency that can ultimately grant the funds. Someone at each local agency must sign a statement that he has read the proposal and that he recommends either its approval or its rejection.

One area uses the coordination system to review proposals while they are in draft form and before they have been submitted to any governing body for approval. This way the agency people can suggest additional ways to link the project with activities of other agencies and can also eliminate elements in a program or project that duplicate another one.

3. Another formal method of coordinating community anti-poverty efforts is subcontracting. Private social service agencies, governmental units, CAAs and other groups can all contract and subcontract with other organizations.

If one agency subcontracts with several others to provide services, a joint staff can prepare the application and can set up procedures in it to coordinate the delivery of services.

4. The CAA should help establish procedures so that agencies in their community can share their information and data. This is another way of helping policy coordinating committees to plan comprehensive anti-poverty programs. It will also keep each individual agency informed as to just what is being done in the community--what the programs of the other agencies are, how their personnel are being utilized and what the total resources of the community are.

In one city members of a coordinating committee worked with people in the municipal government to develop standard forms for the public agencies to use in reporting certain data. The information enters an electronic data processing system and is available to any agency in the community from a computer center.

B. Informal Techniques

1. Ordinary conversation is probably the single most important factor in establishing a coordination system and insuring that it continues to function.

The CAA should take the initiative in calling other agencies on the telephone to discuss matters of mutual concern, in getting together with their people for informal discussion and, in some cases, getting people from two or more other agencies together with each other. Ideas can also be exchanged at informational conferences attended by representatives of state and federal agencies, but it is important that those attending have an opportunity to talk in small groups as well as listen to officials speak from a rostrum. Sometimes such a conference marks the first time that a higher-level official begins to understand the problems of coordination at a lower level in his own organization.

2. The CAA can encourage the agencies in the community to circulate their drafts of proposals and programs on an informal basis among each other, before they are submitted to any governing body for approval.

This is another good way of getting reactions to new ideas and possibly improving them.

3. Although technical assistance is a function of coordination, it is also a way of strengthening it.

If a multi-county CAA assigns a staff member to help small cities prepare applications for the establishment and funding of housing authorities by the Department of Housing and Urban Development, the technical assistance provided becomes another means of coordinating activities in that locale.

The amount of detail in the written or formal procedures for coordination varies according to such factors as the size of the community, the number of agencies to be coordinated and the number of people who requires agency services.

These factors also affect the balance between informal and formal coordination. A smaller community with fewer agencies is likely to make much more use of informal techniques and to use formal techniques only when absolutely necessary, as in applying for funds.

VI. OBSTACLES AND HOW TO OVERCOME THEM

Despite all its good intentions, the CAA is bound to face some formidable problems in trying to coordinate anti-poverty efforts of the various agencies. At their worst, these problems can loom so large that they seem to preclude--at least temporarily--any effective joint activity at all. That is why they must be dealt with as quickly as possible.

Most CAA problems in coordination are one of four kinds: ideological, organizational, information or professional.

A. Ideological Problems

Most obstacles to inter-agency activity are ideological. That is, they result from the fact that no two people, and certainly no two agencies, think alike.

Perhaps the most frequent problem is opposition to change. Individuals, institutions and communities are all very reluctant to change their established ways of doing things. Each is afraid of the unfamiliar. How often do we hear the expression, "Well, we've always done it this way."?

Some agencies may express opposition to certain concepts that are a basic part of community action--for example, maximum feasible participation of the poor.

Other groups in the community may find themselves in opposition to objectives or the way to achieve them. More than one agency is opposed to taking Federal funds because of the "strings" that are attached to them.

One more problem is that the need for concrete services is so great that it tends to overwhelm everything else. So someone takes the attitude, "We'd like to cooperate with you, but how can we? We're already busy!"

B. Institutional Problems

Institutional difficulties in coordination are those that result from the way a particular agency or group of agencies is organized--or the way a functional area is not.

In the field of education, the CAA may have to coordinate with more than a dozen school systems in a multi-county area.

Then there are those agencies functioning at the community level that lack autonomy. The local group cannot initiate any activity because all new undertakings are a matter of "policy"--and that is decided by state or regional superiors.

C. Informational Problems

Sometimes resistance to inter-agency coordination is due to mis-information or even a total lack of information about the nature of the CAA itself.

Some individuals and agencies fear that the CAA is a "super-agency" out to usurp their authority and functions. At the other

end of the spectrum are those who do not know that the CAA exists--much less what it does.

The CAA may also find that the agencies in its area have simply never thought about the concept of coordination or do not understand its benefits to them and the community.

D. Professional Problems

Professionals often have a hard time when they first get involved in community organization. To the residents of the community they are strangers, while at the same time their professional training may have prepared them to act one way but their effectiveness in low-income groups and the organizational requirements of an anti-poverty project depends on their doing something else.

Professionals sometime have a narrow pride regarding their skills and knowledge and what they consider their personal spheres of influence. In one metropolitan area, most of the major public and private agencies which had long provided services for the poor felt that the CAA neither appreciated nor understood the work that they had done or the problems involved. When the CAA attempted to coordinate agency activities in that area, these agencies resented what they considered an implication that they had not been concerned with the disadvantaged.

The key to solving most of these problems is communication. The CAA must use and develop every possible means of communication.

Sometimes the CAA must remind the agencies that they do not exist for their own sake but to serve others. The CAA must make it clear that it is not interested in dominating other agencies. Again and again the CAA must stress the benefits of coordination. In the case of organizations which fear to act on their own, the CAA should consider the possible avenues of communication, such as inter-agency conferences at the organization's state or regional level. The CAA must point out to professionals in other disciplines the need to serve the community at large.

The CAA must communicate to other agencies and individuals that the only real interest is that of the community.

Sometimes the CAA must communicate the distinction between ultimate goals as opposed to immediate ones.

Always the CAA must bear in mind that these difficulties will not disappear overnight.

One multi-county CAA in the rural areas of Appalachia found that not only did the agencies there frown upon coordination, but the CAA was suspect in its own right.

By careful orientation and use of non-professionals and VISTA volunteers who performed door-to-door surveys and provided

substantial information during the program development phase, the CAA gradually won support from individuals and, to some degree, the existing agencies. It then began subcontracting with existing agencies and providing technical assistance. Slowly the agencies began to see the value of coordination. It took two years, but the CAA has now made considerable progress in overcoming both ideological and informational barriers.

TRAINING METHODOLOGY

I. Introduction

Coordinating the programs of various public and private agencies engaged in the War on Poverty sometimes seems an unreachable objective. Yet it is one of the objectives for which the War on Poverty was launched.

Thus far, a few of the concepts of community action have been discussed: delivery of services, community organization, resident-participation, and mobilization of resources. Coordination will now be discussed.

Coordination is necessary to assure that all programs for combating poverty, both by CAAs and the more traditional agencies, function in unison. The absence of coordination results in a duplication of efforts, a waste of resources, and little progress in achieving the objectives of community action.

II. Overall Objectives

The overall objective of this chapter centers on acquainting members with coordination concepts and their relation to a CAA board's role. There are three major skill areas which must be mastered in order to employ a coordination system: (1) machinery to run such a system, (2) techniques to bring about coordination, and (3) overcoming obstacles to such a system. A CAA board should be knowledgeable about these areas and be able to incorporate them into the plans and policies it develops.

III. Specific Learning Objectives

1. WHAT IS COORDINATION?

Board members will be able to describe the basic purposes and features of a coordination system.

2. HOW CAN A BOARD APPLY COORDINATION TECHNIQUES?

Board members will be able to list the formal and informal coordination techniques and develop policies for applying them.

3. HOW CAN A BOARD OVERCOME OBSTACLES TO COORDINATION?

Board members will be able to recognize obstacles to coordination and apply techniques to overcome them.

IV. Methodology

LEARNING GOAL #1: What is coordination?

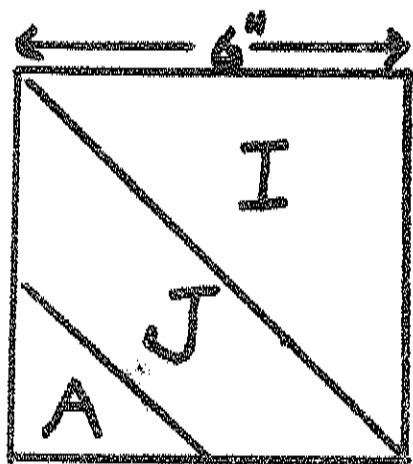
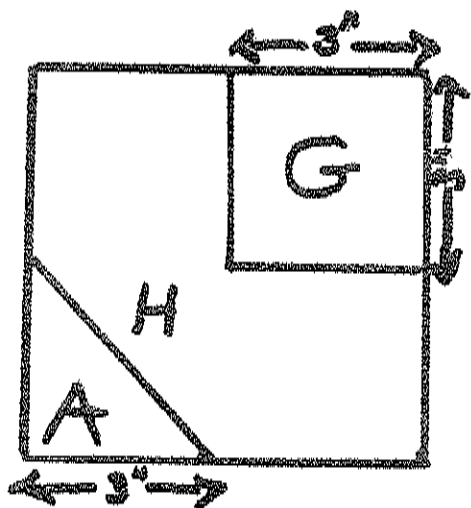
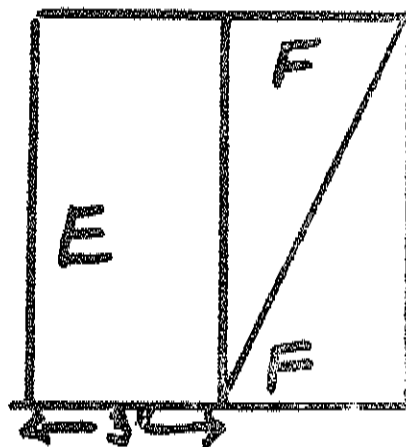
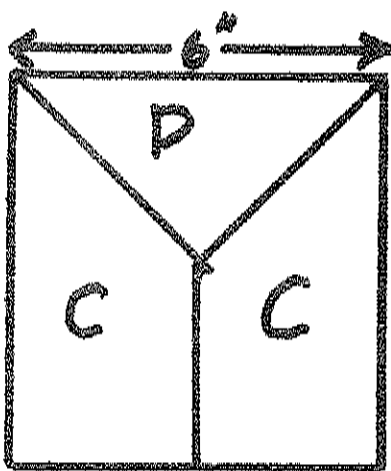
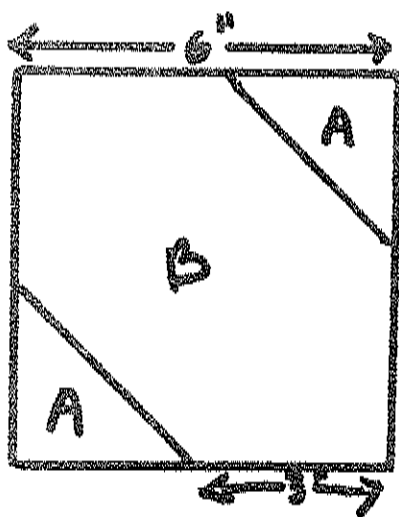
1. Give an informal lecture on coordination functions. Structure it to elicit a response from members during the lecture. The major functions should be listed for future references throughout the session. Any additional functions which the members suggest should also be included in the list, even if there is duplication. The main point is for members to obtain a basic understanding of coordination; whether or not they use standard terms is not crucial.

LEARNING GOAL #2: How can a board apply coordination techniques?

1. Arrange through the CAA director to have a representative from each of the federal and private agencies in the area present at the meeting. Each representatives should come prepared to give a three to five minute statement describing methods his agency uses to coordinate with other agencies engaged in the War on Poverty.
2. List these methods and have the board and agency representatives evaluate them later. Before they make their statement on agency policy, allow time for the entire group to read the section in Chapter 6 on coordination machinery and techniques. The purposes of this exercise are to acquaint board members and agency representatives with what can be done in the area of coordination and how it can be improved.
3. Choose an alternative if the director is unable to get a majority of agency representatives to come.
 - a. For example, have a panel of board members report to the board on existing coordination problems after meeting with various agency representatives. From this report, the panel develops a strategy for creating a more effective coordination system. This plan of action is presented to a joint meeting of CAA board and agency representatives. In this meeting, the participants evaluate, make suggestions, and point out probable obstacles to the proposed plan.

LEARNING GOAL #3: How can a board overcome obstacles to coordination?

1. Use the following communication exercise to help participants analyze coordination requirements and to identify some of their own CAA policies which hinder coordination. The exercise demonstrates that coordination demands clear and complete communication. In this exercise the participants are faced with the problem and frustration of trying to complete a common task without being permitted to communicate. This makes coordination practically impossible.
2. Allow time for an in-depth discussion afterwards. Some stimulating discussion questions you might use to get the board members and agency representatives to relate their experience to their daily jobs and to the objectives of the War on Poverty are:
 - a. How did members feel when someone holding a key piece did not grasp the solution?
 - b. How did members feel when someone had completed his square incorrectly and then sat with a smile on his face?
 - c. How did the members feel when a person did not see the solution as quickly as others; did they want to get him out of the group or help him?
3. Have the group relate the above questions to the obstacles and problems of a coordination system. Suggest appropriate steps to overcome the obstacles. This exercise should help demonstrate that coordination hinges on the relationships between people. It demands an awareness of one another's needs, day-to-day communication, and a strong commitment to cooperation. None of these elements was present in the exercise because individuals worked in virtual isolation of one another. The outcome of this kind of relationship is frustration and inefficiency. They should ask themselves whether their present coordination efforts are similar and whether they need to develop communication mechanisms.
4. Have the group decide upon new coordination policies. The development of new practices might involve a joint CAA board-staff team to set up a pilot program and evaluate its effectiveness.



TRAINER'S INSTRUCTIONS

One set of squares should be provided for each group of five persons. A set consists of five envelopes containing cardboard pieces which have been cut into different patterns. When properly arranged they will form five squares of equal size, six by six inches. Place the squares in a row and mark them as below, pencilling in lightly the letters a, b, c, etc., so they can later be erased.

The lines should be drawn so that when cut out, all pieces marked a will be of exactly the same size, all pieces marked b of the same size, and so on. By using multiples of three inches, several combinations will be possible to enable participants to form one or two squares. Only one combination will form five squares, six by six inches.

After drawing the lines on the six-by-six inch squares and labelling them with lower-case letters, cut each square, as marked, into smaller pieces to make the parts of the puzzle.

Mark each of five envelopes A, B, C, D, and E. Distribute the cardboard pieces in the five envelopes as follows:

Envelope A has pieces	i, h, e
Envelope B has pieces	a, a, a, c
Envelope C has pieces	a, j
Envelope D has pieces	d, f
Envelope E has pieces	g, b, f, c

Erase the pencilled letter from each piece and write instead the appropriate envelope letter, as Envelope A, Envelope B, and so on. This will facilitate returning the pieces to the proper envelope for subsequent use.

PARTICIPANT INSTRUCTIONS

1. Each package contains five envelopes, each of which contains pieces of cardboard for forming squares.
2. The board specialist will give the signal to begin; the object is to form five squares of equal size. (The exercise is not completed until each person has a perfect square of the same size as that held by the others.)

Special Rules:

1. No member may speak.
2. No member may ask another member for a card or in any way signal that another person is to give him a card.
3. Members may, however, give cards to other members.

V. Evaluation

If a board actually establishes a CAA board-staff team to run a pilot program its accomplishments will be excellent evaluative feedback on training in coordination. As you evaluate the progress of this team, provide them with feedback on how they are doing. This is a major responsibility of a trainer. It helps participants to evaluate their performance so they can continue to progress toward learning goals they set for themselves.

Under Learning Goal #1, you can measure the participants understanding of coordination during the wrap-up discussion of the communication exercise. For Learning Goal #2, have each member write on a blank sheet of paper ten ways his board could use coordination. You might have them simply state ways in a group discussion. For Learning Goal #3 their insights into the communication exercise and skill in applying these insights to their CAA's practices will be a good indication of their accomplishment.

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ADVOCACY

(Part I, Chapter 7)

ADVOCACY

(Part I, Chapter 7)

I. INTRODUCTION

II. THE GOALS OF ADVOCACY

III. THE OMBUDSMAN CONCEPT

- A. It can listen to and attempt to rectify the grievances of the poor against various local, state, and Federal agencies
- B. It can be a listening post and lobbying agent for proposed Federal, state and local legislation having an impact on the poor
- C. It can make the community as a whole more aware of the problems of poverty and more receptive to possible solutions
- D. It can bring the poor a degree of expertise that will help them to better plead their own cause

IV. WHO ADVOCATES

- A. The Board as a Body
- B. Individual Board Members
- C. Non-Board Members

V. TWO APPROACHES TO ADVOCACY

- A. California Rural Legal Assistance Program--With the Poor
- B. Mobilization for Youth, New York--By the Poor

VI. OCCASIONS FOR BOARD ADVOCACY

- A. Advocacy by the Poor for the Poor
- B. Use of Other Non-Members
- C. Advocacy by Board Members
- D. Advocacy by a Total Board

VII. SENSITIZING THE COMMUNITY

VIII. SEEKING THE ADVOCATE ROLE

I. INTRODUCTION

A CAA's functions include "Joining with and encouraging business, labor, and other private groups to undertake, together with public officials and agencies, activities in support of the community action program..."

Economic Opportunity Act
Section 212(b) (emphasis added)

One of the key responsibilities of the CAA Board is to be an "advocate of the poor" in the community. According to Webster, an advocate is "one who pleads the cause of another." Since the poor have been described, by no less an authority than Michael Harrington, as "The Other America", the term is an apt one. In one way, however, the CAA Board cannot be considered an advocate in this traditional sense. In pleading the cause of the poor, the Board, in effect, pleads its own cause just as much as it pleads the cause of another. This is because the poor are a very real part of the CAA Board, just as they are part of the CAA, the community and the nation.

The advocacy relationship of the CAA Board to the poverty community can be compared to the lawyer-client relationship. The lawyer speaks in behalf of his client to ensure:

1. That his client's side of the case is fully explained to and understood by the court and jury, and
2. that his client is afforded all the constitutional and legal safeguards to which he is entitled.

The CAA Board speaks in behalf of the poor to ensure:

1. That their wants and needs are presented to and understood by the entire community, and
2. that they are afforded all the community services and rights of participation in community affairs that they are entitled to.

In short, the CAA Board seeks justice for the poor just as the lawyer seeks justice for his client.

II. THE GOALS OF ADVOCACY

Unlike the other concepts basic to the Community Action Program, advocacy cannot stand as an end in itself. One advocates to achieve a goal -- increased and improved delivery of services; more effective mobilization of resources; meaningful institutional change; etc. Thus, advocacy is a

technique, a means to various ends. Just as a lawyer has a clear-cut purpose when he speaks out on behalf of his client, so does a CAA Board (or individual member) in advocating specific program goals designed to improve the condition of the community it serves.

Frequently, a Board may also find it appropriate to act out its advocate role even when the goals are general and long-range. In these instances, the aim of advocacy can be described as one of "sensitizing." Boards should seek opportunities to touch the conscience of the community and to increase society's empathy for the plight of the poor. In this sense, a Board acting as an advocate for the poor seeks to increase the general public's sensitivity to the condition and needs of poor people. Examples of this kind of advocacy are cited at the end of this chapter.

III. THE OMBUDSMAN CONCEPT

In fulfilling its role of advocate the CAA Board may also be thought of as a community "ombudsman." The ombudsman (an institution developed a century and a half ago in Sweden) is an "independent appointee of a government who acts as the people's investigator, defender, pleader, and guide in the struggle against the authority of an unchecked or insensitive bureaucracy." While a CAA Governing Board is not an appointee of any government, it can and should act as "the people's investigator, defender, pleader, and guide."

A. It can listen to and attempt to rectify the grievances of the poor against various local, state, and Federal agencies.

It can intercede with the Sanitation Department, for example, to insure regular collection of garbage in target areas. It can force the Welfare Agency to provide more courteous and considerate treatment of recipients. It can negotiate with the Highway Department to minimize disruptive effects on housing caused by construction of superhighways through inner city neighborhoods.

In short, the CAA can learn about the myriad problems that beset the poor, and the CAA staff and Board members can do something about those problems. The Board in particular should feel obliged to intervene in any matter, any circumstance, that affects the poor. Once again a legal analogy serves as well...there is a provision in law for an interested third party to file an "amicus curiae" (friend of the court) brief in an action in which the third party is not directly involved. The CAA Board may operate in the same way, assuming the role of a directly-involved party because it represents a group of people who are involved.

B. It can be a listening post and lobbying agent for proposed Federal, state and local legislation having an impact on the poor.

Many of the rules, regulations, and laws (the red tape) that hamper anti-poverty efforts could have been "nipped in the bud" if someone had been aware of their consequences and taken action before they were enacted. The CAA Board should concern itself with those laws and

regulations which are likely to have an impact on poverty programs. Many Board members can and should be effective lobbyists in the city and county councils, state legislatures and even the Congress of the United States.

Board members exercising this role are demonstrating one essential difference between themselves and the people whose cause they advocate: Board members have the standing in the community to make themselves heard. A good lawyer knows that, often, his clients can tell their own story rather persuasively, but the judge and the jury expect to hear it from the lawyer because that is his official role. In the same sense it is a Board member's official role to speak on behalf of the poor, and everyone knows it. As a result, he commands the attention of public officials and legislators.

And having this channel of communication--having the attention of the lawmakers and rulemakers--a CAA Board member has the opportunity, if he keeps the channel open, of influencing the laws and rules. Influence in this case means much more than merely getting a bad law removed or a bad rule revised. It means preventing such a rule from taking effect in the first place.

Sometimes government bodies and local administrative units hold public hearings on proposed rules affecting the poor. When that is the case a Board can encourage interested parties (including Board members, of course) to attend the hearing and testify. But just as often these things are done without public notice, and that is why Board members, to fulfill their advocate role, must cultivate their contacts in government councils and agencies. It is possible to find out about proposed regulations in advance since there is usually nothing secret about them. It is just that agencies typically do not seek the views of all who may be affected. Since they don't the Board members must do that work for them, and keep them in touch with the people whose lives they affect.

C. It can make the community as a whole more aware of the problems of poverty and more receptive to possible solutions.

As spokesman for the poor the CAA must make effective use of modern public relations techniques in making known the interest, concerns, and desires of the poor. As simple as it seems, many advocates have found in the past that if a city council or a highway department only knew in advance what the citizens thought they would never have taken the action they did. It is true that many large businesses and agencies are so insulated from community sentiment that they are almost what theologians call "invincibly ignorant," that is, they simply can't help not knowing. It is obviously a part of advocacy to make sure they do know what the poor want or feel or need, and CAA Board members are uniquely positioned to help that knowledge get across.

What we are saying in this section, in essence, is that information-giving is an important part of advocacy, and that Board members have the responsibility to regularly give information to the whole community

that will help it meet the needs of the poor. The legal analogy holds true once more: lawyers have come to the conclusion that preventive legal action is much less troublesome and costly for their clients. If a case can be settled before it goes to court, or before the court rules, they can often satisfy both parties better, more quickly, and more cheaply. Board members, by the same token, can often advocate the cause of the poor before the lines are drawn, before a matter becomes controversial. Board members do that by using public relations as a sort of "preventive advocacy."

- D. It can bring the poor a degree of expertise that will help them to better plead their own cause.

One reason that advocates are needed is that sometimes the person or group who is aggrieved lacks the ability to do anything about it. "Advocacy planning," for example, is a form of planning (usually urban planning) which has recently come to the fore in recognition of that fact. The poor know what they want, but they may not know how to plan to get it.

That's where the advocacy planner comes in--he knows how to plan, the neighborhood residents know what they want, and together they can fashion a sound approach to reaching the goals of the community. The Board has a similar role in planning CAA programs. But it is a role that can be reviewed in the light of "advocacy" only when it is carried out genuinely, when the Board truly seeks to represent the interests of the poor.

IV. WHO ADVOCATES

- A. The Board as a Body

The CAA Board, because of its makeup, powers, and responsibilities, is a powerful voice for persuasion through advocacy. When it presents a unified position to a Welfare agency seeking improved delivery of services; when it beseeches a corporation to open new employment sources in a ghetto; when it transmits a resolution taking a position on proposed legislation affecting the poor to a city council or state legislature; when it persuades a local businessmen's association to liberalize its extension of credit to poor people. When it does any of these things as the unified governing body representing the organized effort to wipe out poverty, a CAA Board speaks with a high degree of authority and prestige that commands attention and consideration.

- B. Individual Board Members

Each member is an advocate of the poor. Each member of a Board can speak most effectively in the setting with which he is more familiar. For example, members representing the public sector may find it most

advantageous to advocate in the local governmental establishment. Clergymen-Board members will likely find churches and church groups their natural milieu. Educators might advocate best in front of school boards just as businessmen will find their most receptive audiences in the industrial and commercial community.

Board members selected by the poor, however, should seek to present their case to all segments of the community. Their insights into the poor's problems which they convey to the public can serve as persuasive testimony on the conditions the CAA Board is seeking to overcome.

C. Non-Board Members

Undoubtedly there will be many instances when a Board will go outside its own ranks to seek the most relevant advocate. This will be determined by the special experience and expertise the "outsider" can bring to the situation. Individual Board members can call on colleagues from the public and private sectors to act as advocates to achieve agreed-upon goals.

Again, it must be pointed out that the poor will often be their own best advocate. Boards can call on spokesmen from neighborhood centers, delegate agencies, residents, CAA staff, etc. to act as spokesmen for their own causes.

In using a non-member in an advocacy situation, the Board should seek to have the advocate act under its auspices. This is clearly appropriate too since the CAA Board is a focal point for anti-poverty activity in the community.

V. TWO APPROACHES TO ADVOCACY

A study in 1965 showed that although both the poor and non-poor in America have legal problems, the non-poor receive preferential treatment, partially because money is a major factor in obtaining legal services. This same survey showed that two-thirds of the poor had not sought legal services, while two-thirds of the people in a medium income range had. This fact brings the problem into sharper focus: if you are poor, contact with legal services is mostly after the fact. Since the poor have less understanding of their rights and fewer funds to assert them, they have less access to a lawyer and thus to the legal process. And once involved in the legal process, the poor have problems that require distinct perspectives on the matters at issue.

Bridging the gap between the poor and the legal process is one of the vital areas for the CAA, and serves to focus two distinct approaches used to deal with these problems. Both of these involve individual and group acts of advocacy. Although both include many of the same methods, the essential difference is in the emphasis on where advocacy takes place. An examination of two case studies illustrates the two approaches.

A. California Rural Legal Assistance Program--With the Poor

The first example, taken from the January 1967 issue of Communities in Action, is a report of the California Rural Legal Assistance (CRLA) program. This program includes 26 attorneys and 30 non-professional community workers and other staff. Before the existence of CRLA, the poor could only rely on their own knowledge and funds in defining and approaching their problems. By taking on more than one of the client's problems, the program recognizes that the problems of poverty are many and interrelated.

The article cites one individual referred to CRLA by a public agency. The client had several related legal problems, among which were wage attachment and consumer fraud. These problems were handled over an extensive period by both the legal and nonprofessional staff of CRLA.

In this typical case, the solution involved the nonprofessional staff and other resources to negotiate some of the problems without involving the courts. The program also recognizes the need for organizing, training and educating groups to develop and effectively advocate for the poor.

By combining professionals and nonprofessionals in the same work, CRLA hopes that many individuals in the community will realize what the client realizes, that "seeking to help himself has a value and that the law can be used as a tool to protect and work for him." Certainly for the lawyers, social workers, nonprofessionals and others who worked on his behalf, there will be some new appreciation of the nature and interdependency of their respective roles.

Finally, CRLA has also been successful in practicing one of the other modes of advocacy--public relations. A recent educational TV film told the CRLA story across the nation, and featured one of the agency's brilliant young attorneys, describing the purpose and the progress of CRLA.

B. Mobilization for Youth, New York--By the Poor

The second example, taken from the December 1966 issue of Trans-Action, is an article by Richard A. Cloward and Richard M. Elman called "Advocacy in the Ghetto." This Mobilization for Youth (MFY) program includes both attorneys and nonprofessionals.

Starting with one neighborhood center, the program was originally set up to refer poor people to services and to advise and counsel them. In the program, they recognized they were dealing with multi-faceted problems similar to those CRLA encountered. They "...soon found, however, they had to do something more...if they were to get results." From this realization: "A new practice soon evolved which...was advocacy." An advocate was defined as "...one who intervenes between an agency of government and his client to secure an entitlement or right which has thus far been obscured or denied."

Eventually this practice became less effective because of limited staff and resources. As a result, the center started organizing the poor around one issue that was a concern for the majority of residents; welfare. In essence, the staff worked with this group to confront the welfare department on specific issues involving the rights of welfare recipients.

In comparing the approaches, essentially both programs were performing the same role. The difference in emphasis, however, is clear and is usually seen as a question of militancy. The CRLA program emphasizes working within the system of institutions and agencies which affect the poor. The MFY program emphasizes working outside that system. The one approach says the most effective means is to work with the poor as an "inside" advocate. The other approach essentially says that agencies and institutions can be best dealt with by organized advocacy by the poor themselves confronting these institutions. On one hand the advocate is working with all who are involved in the issue. On the other the advocate usually works most with the poor and "against" the agencies. The fact that both approaches have validity and are needed is evident in that both elements appear in each program. It is also important to note that both approaches emphasize that ultimately the poor become their own advocates.

VI. OCCASIONS FOR BOARD ADVOCACY

A. Advocacy by the Poor for the Poor

In a small city in a border state a president of a neighborhood council impressed the Mayor with his quiet but impressive analysis of the needs of the poor. The mayor arranged for this advocate of the poor to state his case before local civic and social organizations. As a result of this advocacy, work began on the establishment of a neighborhood center. A Senior Citizen Housing Program was begun as well as a day care center, a job development program, and a low income housing effort.

In this instance, the talents of a natural advocate influenced a public figure, and thereby opened the way to effective mobilization of resources. Board members should seek similar spokesmen for the poor and develop forums for their advocacy.

B. Use of Other Non-Members

In a New England town, a clergyman became interested in an anti-poverty group and provided them with space in his church vestry for meetings. The minister gradually became an advocate for the group in dealing with the town manager and other public officials as they sought to gain needed and legitimate assistance in a wide range of services. As a result of this advocacy, the town has embarked on a number of programs to assist the poor including a widespread housing improvement program.

This example illustrates how a non-Board member from the establishment can be induced to advocate for the poor. Board members from the private

and public sectors should seek this kind of outside help. In a real sense they can recruit a cadre of skillful advocates.

C. Advocacy by Board Members

In the Midwest, members of a CAA Board representing the labor community have acted as advocates for the poor in a wide range of areas before labor groups. Their effective representation has been responsible for active support of CAA programs by labor in the area.

D. Advocacy by a Total Board

When funds were cut to support a homemaker aide program in a large Southern city, the CAA Board and staff acted as advocates for support of the program before the City Council. As a result of their effective advocacy, the City supplied funds to keep the program alive.

VII. SENSITIZING THE COMMUNITY

We spoke earlier in the chapter about advocacy having a "sensitizing" goal. This kind of advocacy is useful when the problems to be solved are particularly deepseated. Typically, poverty problems are attacked through specific first-step actions, such as improving delivery of services and mobilizing resources. Simultaneously with these pragmatic program-oriented actions, a CAA Board can use sensitizing advocacy to reshape the deep-seated attitudes and opinions of the community. Through this form of advocacy, the Board can mobilize the community--make it ready to institute the changes required to solve the problems which cause poverty.

Two examples illustrate this kind of advocacy. In one, the National Welfare Rights Organization has persuaded several members of the House and Senate to try a brief experiment having their families live on welfare diets. The experience of the legislators and their families has enabled them to gain an insight into the woeful nutritional inadequacy of this diet and its negative physical and psychological effects. This, in turn, has opened the minds and hearts of these officials to the need for dramatic improvement in welfare and food programs.

The second example occurred in Maryland where a group of judges, penalogists, parole and probation specialists, etc. experienced first hand the quality of life in the state's penal institutions. The judges, in prison dress, submitted themselves for a one-two day incarceration, partaking in all of the unpleasanties and institutional degradations that their "fellow inmates" are subjected to on a daily basis.

In each of the cases as described above, dramatic change is a long way off. Welfare programs will not be upgraded to the level of the needs of the poor overnight. Nor will the inhumanities of prison life be eliminated in the near future. But, because influential men were allowed to briefly experience the inhumanities that many of their fellow citizens are subjected to for a lifetime, a rippling effect will be felt that will gradually sensitize the majority of conscientious people in our society.

CAA Boards can use this form of advocacy by promoting similar (though perhaps less painful) programs in their communities. By creating opportunities for affluent people to experience firsthand some of the ugliness and dehumanizing results of poverty, the Board will be creating a body of "sensitized" people, receptive to the actions required to overcome the effects of being poor.

VIII. SEEKING THE ADVOCATE ROLE

Sometimes the role of advocates will be thrust upon Board members. More often, however, they will have to seek opportunities to make their case. Board members should accept as many opportunities as possible to advocate for the poor by:

1. Initiating and accepting engagements as speakers before civic, church, and social groups.
2. Appearing on TV and radio programs where a forum is provided to promote the interests of the poor.
3. Petitioning and/or attending City Council meetings, state and Federal Legislature hearings, etc. to advocate for legislation favorable to poor people (e.g., fair housing ordinances, job programs, improved educational facilities and services).
4. Inviting members of the community to Board meetings especially when representatives of the poor are stating their needs.
5. Granting interviews and preparing press releases to newspapers on a host of issues on which the poor have little chance of being heard.
6. Carrying out a continuing advocacy role in their own spheres and areas of work and activity.

TRAINING METHODOLOGY

I. Introduction

Advocacy, unlike some of the other CAP Concepts, does not stand as an end in itself. It is a way of bringing these other concepts into being -- it is a means to an end. Advocacy may therefore be a rather difficult concept to handle in training because of its subtlety. But it must be effectively presented by the trainer because advocacy is an act that board members should perform whenever the opportunity arises or can be created.

Effective pleading of the cause of the poor is advocacy in the CAP context. This kind of persuasion can result in action and programs that will improve the lives of poor people. Therefore, it is of great importance that you lead boards to an understanding of the concept and techniques of advocacy as well as help them develop action plans to perform their roles as advocates.

We emphasize the above action for a specific reason. Advocacy is one of those subjects that is rich in meaning, history and individual points of view. Thus, any training session in this area can easily develop into broad philosophical, rhetorical and argumentative discussions. Although a lot of this is desirable to develop an understanding of the concept, the trainer must seek to move the board members quickly into seeing the advocate role in terms of their own community's needs. From this, they can begin to develop and carry out plans for performing advocacy steps.

II. Overall Objectives

The major objectives of the training are to develop attitudes on the part of the board which will enable them to feel strongly committed to acting as advocates for the poor and to develop skill in advocacy techniques which will be transferred to the real world of the CAA board members' functions. You, as the board development specialist, will be working with the board as a unit and with individual members to facilitate the board's functioning as a major spokesman for the poor.

Again our objectives are of two kinds. One is intellectual and attitudinal - to understand the concept of advocacy and the need to practice it. The second kind is performance - oriented. The aim here is to develop plans for advocating by board members. By "plans" we mean proposed detailed actions that board members can perform in advocating at specific places for specific ends using specific techniques.

In achieving the general, first category of objectives the board development specialist should beware of allowing the training to become too theoretical, philosophical, historical or argumentative. Most members of the board will probably identify advocacy with the practice of courtroom law. This is familiar from literature, the popular press, movies, and T.V. Abraham Lincoln, Clarence Darrow, Lewis Nizer, P. Lee Bailey, Perry Mason, etc., all are models that make up our ideas about the advocate's role. This is a fine starting point on which to build a broader, more relevant concept of advocacy that describes the role of speaking for the poor. You can help a board move to an understanding of how organizations can advocate for people who need effective spokesmen.

When you are satisfied that there is a clear understanding of the concept, your training will then move to the realm of affecting board attitudes favorable to performing the advocacy function. To an extent this can be accomplished through formalized training and an exercise is suggested in the methodology section which should prove helpful. But much of your work in the area of affective learning will be performed through working with individual members of the board as a counsellor and technical advisor. In effect, we are suggesting that you must advocate for advocacy.

When attitudes favorable to advocacy have been developed your final task is the most important one. That is to help the board seek out and perform their role as advocates. This will require working with board members to define the specific CAA programs which their advocacy would strengthen. It will also entail your and the board's finding opportunities and forums for advocacy. Finally, your task will be to help the board members sharpen and develop techniques for advocating effectively.

III. Specific Learning Goals

1. WHAT IS ADVOCACY FOR A CAA BOARD?

CAA Board members will be able to orally describe the process of advocating for the poor. The description will also include references to the following categories:

- a. Who can advocate - the board as a body; individual board members, and non-board members.
 - b. Occasions for advocacy - in Civic organizations, at church meetings, in social groups; at the federal, state, local governing and legislative levels; in the press, on T.V., and radio; at board meetings when other members of the community attend; in board member's own daily social and work life.
2. WHY SHOULD THE CAA BOARD ACT AS AN ADVOCATE FOR THE POOR? WHY SHOULD I, AN INDIVIDUAL BOARD MEMBER, DO SO?

Board members will be able to state the importance to CAA programs of active board advocacy (1) by describing how advocacy can enhance specific CAA programs, (2) by describing how absence of advocacy retards or weakens specific CAA board programs, (3) and by citing examples of effective advocacy in their own and other CAAs.

3. WHAT SKILLS ARE REQUIRED FOR ADVOCATES?

At board meetings members will demonstrate the ability to advocate by:

- a. Listening effectively to oral communications and being able to summarize the main and supporting points.
- b. Making oral presentations which are clear, concise, well organized, and informationally accurate.
- c. Persuading other members of the board and non-board members who are present through the use of interpersonal and group communications techniques.
- d. Being able to carry out research necessary to get extensive information on which to base their case.

NOTE: The board meeting is chosen as the setting for board members to demonstrate mastery of this objective because it is a non-artificial setting where techniques required for advocacy can be applied fruitfully. In addition, you will be able to observe more readily mastery of the communications skills contained in this learning goal.

4. HOW AND WHERE DO WE ADVOCATE?

Board members will develop a plan of advocacy, containing CAA programs which will benefit by advocacy, listing individuals and groups (from within and without the board) to carry out the plan, and specifying places and occasions for carrying out the plan.

5. DOES ADVOCACY FOR THE POOR WORK?

The board, as a body and by individual action, will carry out its advocacy plan, assessing achievements as they go along and making necessary revisions and improvements to the plan.

IV. Methodology

LEARNING GOAL # 1: What is advocacy?

This first objective is the intellectual one we spoke of in the "Overall Objectives" section. Your aim is to help board members understand advocacy in the CAP context.

It is suggested that you begin with a short lecture - discussion session on the meaning of advocacy. You will likely find most members have a concept of advocacy in terms of the legal art of defense. This will be a good starting point on which to build a broader understanding of advocacy. A good source of information on legal advocacy is the book, The Art of Advocacy, by Lloyd Paul Stryker. This easy-to-read book by the late American courtroom defender is a delightfully informal history of American and British advocacy. It contains excellent vignettes and anecdotes that will help you enliven the training.

After the brief discussion on the juridical concept of advocacy, you should begin to have the board broaden the concept. In your lecture-discussion, you might refer to organizations who have served in advocacy roles over the years. For instance, in the battle for equal rights, the NAACP has functioned as a brilliant advocate of the interests of Black America, both in a legal sense and in wider roles of public information and persuasion. Similar groups (e.g., the Anti-Defamation League, the National Conference of Christians and Jews, conservation and consumer protection bodies) have also advocated causes as bodies committed to changing society's understanding and attitudes. Point out that their efforts have been wider than the typical lawyer-client advocacy relationship.

When you feel the concept is expanded sufficiently conduct a discussion on what the concept of advocacy entails. The board's contributions should include such ideas as, persuasion; public relations; influencing state, Federal and local legislation in the interests of the poor; intervening for individual and groups of poor people in their relationships with agencies, individuals, and corporations.

In the content chapter on advocacy, you will find many ideas on the forms of advocacy.

Your guided discussion can next move to "places" where advocacy can be carried out. Have the board cite and discuss sources, and list them on your flip-chart or chalkboard. Among the responses you can expect are:

1. Civic, church and social groups.
2. T.V. and radio programs.
3. City councils, state legislative bodies, and Congressional committees.
4. Newspapers and magazines.
5. Board meetings when public attendance is high.
6. At the board members' places of work, business, and professional organizations.

Part of this discussion should also include the need for one-to-one advocacy. Members of the board can be led to discuss the need to practice advocacy through direct dealing with members of the community who can affect delivery of services and mobilization of resources, for example. As in so many of their responsibilities, board members should constantly consider their personal relationships and connections as sources for tapping additional resources.

Your final sub-objective for this learning goal is to have the board understand who can perform the advocacy role. This should not take a good deal of time since most board members will realize at this point that the board as a body and individual members can advocate for the poor. The new concept that should be conveyed is that non-members of the board can frequently serve as effective advocates. Have the board discuss how poor people can serve as their own advocates. Cite nationally-known examples, such as, SCLC's Poor People's Campaign and the work of organized welfare recipient groups. Ask the board to present ideas on how target area residents can, individually or through organized efforts, advocate for board approved programs.

You will also want the board to consider other effective advocates from without their ranks. People who have special expertise may well be ideal spokesman in special situations. Clergymen, business and labor leaders, local newspaper, radio and television personalities are examples of "outsiders" upon whom the board could call to act as advocates under its auspices.

To get the board thinking specifically about potential action, close this session by having them list a few names of local residents and other people who might serve as advocates for various CAA programs. Let the board describe how and where these "associate advocates" would work.

LEARNING GOAL # 2: Why should we advocate?

The learning involved here is attitudinal. Board members may understand quite well the concept of advocacy. Some may feel, however, that they don't need to perform this function. Others may feel ill-at-ease in carrying it out because it implies public contact. You as the board developer, will have to diagnose whether, indeed, there is resistance and plan actions to overcome it. Much of your work will entail individual discussion and counselling with reluctant advocates. In this role, you should be supportive and reassuring. You can point out that you will provide training in communication skills to strengthen the repertoire of those members who feel they are not effective spokesmen on public forums. You can also volunteer help in preparing the board member for specific advocacy situations (e.g., assisting in preparation of presentations, assembling supportive data, preparing charts and aids, acting as a rehearsal assistant if a speech or talk is required).

To strengthen their commitment to advocacy the following exercise is suggested. We call it the Advocacy Game. It helps show the value of advocating for a program among various segments of society.

PROCEDURES FOR PLAY:

Divide the group into seven similar-size sub-groups. One group of the players will act as advocates whose purpose is to establish a neighborhood day-care center. They need no equipment other than a knowledge of the goal -- to establish the center.

The other six groups represent different groups in the community. They are called Resource Groups. Each group holds various "chips" (represented by small 3x5 file cards with words printed on them). The groups and their chips are as follows:

GROUP I - CHURCHES, SOCIAL, AND CIVIC GROUPS

- CHIPS - - Volunteer Workers
 - Free Space
 - Aid in Publicity
 - Cash Contributions

GROUP II - BUSINESS

- CHIPS - - Building Material and Paint
 - Equipment and Furniture
 - Toys and Books
 - Clothing
 - Cash Contributions
 - Aid in Publicity

GROUP III - LABOR

- CHIPS - - Volunteer Labor
 - Cash Contributions
 - Speakers Slate
 - Support of Lobbyists
 - Support of Community Organization
 Representatives
 - Aid of United Fund Representative on
 Delivery of Services
 - Research Assistance

GROUP IV - LOCAL GOVERNMENT AGENCIES

- CHIPS - - Funding
- - Transportation
- - Waiver of Regulations
- - Professional Staff as Consultants
- - Research Assistance

GROUP V - MEDIA

- CHIPS - - Free Publicity
- - Articles in Newspaper
- - T.V. Interviews
- - Posters and Photographs

GROUP VI - PUBLIC

- CHIPS - - Volunteer Labor
- - Cash Contributions
- - Used Equipment
- - Toys
- - Books

The game is played by separating the six resource groups into six separate stations. Each group will hold its 3x5 chips. The players from the Advocacy Group circulate among the Resource Groups and make oral presentations to persuade members of the Resource Groups to give the Advocates one, more, or all of the chips they hold. The advocate will win the chips by making effective and specific presentations to the Resource Group.

The members of each Resource Group will give up only those chips identified specifically. For example, if an advocate asks for "money" or "funds" or "financing", this can be interpreted as a request for cash contributions. In addition to being specific, the advocate-player must be persuasive enough to win the chips. This degree of persuasiveness will be the judgment of the Resource Group members.

A playing time limit should be set by the board development specialist. One hour should be sufficient for all advocates to make their appeals. At the end of the hour the quantity and kinds of chips won

will be assessed by the trainer and the whole group. The game can be scored on a range that is proportional to the number of chips won. Thus, winning all chips might be worth 31 (the total number of chips available). A group which wins will lose one point for each chip under 31 that it has failed to win. Other scoring options are open. For example, you might assign different point values to certain classes of chips (cash contributions may have a value of 10, volunteer service 5, publicity 1, etc.).

After the game is played, the trainer and all the players should discuss the outcome. The obvious point of the game is that advocacy can bring more resources to bear in the poverty fight. The more effective the advocacy the greater the likelihood of winning wider commitments, support, service, and resources in the fight. It is important for the board development specialist to conduct a summary lecture or discussion after the playing of the game in order that the "players" can analyze, absorb, and "feel" the point of this simple exercise.

LEARNING GOAL # 3: What skills are required for advocacy?

The learning goal here depends upon the development of skills and knowledge in the various communication fields. There is no one master skill that can be offered. Therefore, you must be alert and innovative in finding appropriate training devices and techniques for developing the skills required for effective advocacy. We offer for your use the following suggestions for training:

1. Use of Effective Listening programmed, audio tape. To enhance basic skills in listening--being able to hear and understand main and supportive points in a variety of oral communications--the Xerox Corporation has a tape which is very effective.

The Effective Listening course consists of approximately 2-1/2 - 3 hours of programmed audio material which incrementally develops listening techniques and should increase required skills. Participants listen to a variety of short conversations on tape and make required responses in a small workbook. Immediate feedback on the tape reinforces learning. This course

should be available from regional OEO training specialists. If not, contact the nearest Xerox Corporation office for purchase information. Participants frequently enjoy taking the program, especially when it is broken apart into two 1-1/2 hour sessions.

2. Two films are suggested to develop understanding of the theory and techniques of communication. The first film is Some Personal Learnings About Interpersonal Relationships in which famed psychologist, Dr. Carl P. Rogers, shares some personal learning about "the mysterious business of relating with other human beings." The film deals with the dynamics of interpersonal communications, which the board development specialist can readily relate to the advocate's requirements to listen to, understand, and influence others. It is 33 minutes long and should provoke lively discussion by the board. It is available from:

University of California
2223 Fulton Street
Berkeley, California 94720

The rental price is \$9.00.

The second film is Changing Attitudes Through Communications by Prof. David Berlo of Michigan State University. One of the leading experts in communications, Berlo's film talks about how to create acceptance of new policies through the use of effective communications techniques. Although geared to internal communications within an organization, the techniques are closely applicable to external communications required for advocacy. It is available with a discussion Leader's Guide at a rental of \$45 per week from:

BNA Films
5615 Fishers Lane
Rockville, Maryland 20852

3. Oral Communications - There are a host of books on the subject of effective public speaking that you might scan for developing training in this area. But one very effective approach is to contact a local member of the Toastmaster's

Club--an organization devoted to the development of effective public speaking. Invite him to appear before the board to discuss ways to enhance platform skills. You will usually find a Toastmaster ready and willing to speak on his favorite topic -- public speaking.

4. Case Building Techniques - Careful research to assemble facts and information is a critical prerequisite for advocacy. To deal with this, you might use a local attorney as an associate trainer. He could describe how advocates in the legal profession prepare briefs, conduct research for fact-gathering, gauge attitudes of juries and judges, anticipate counter arguments, etc. Working with him, you can relate this to a board's preparation for advocacy.

LEARNING GOAL # 4: How and Where do we Advocate?

This objective moves from the theoretical to the actual advocacy role of the board. Your aim is to work with them to develop a plan for advocacy.

Conduct a discussion with the board, having them identify several CAA programs which would benefit from effective advocacy. List four or five of these projects on your flipchart.

Then break the board into smaller work groups around each of the projects identified by the entire body. Have the groups develop action plans in which they identify who from within and outside the board will advocate for these programs. The plan should also include specific forums (churches, social organizations, governing bodies, trade associations, individuals, etc.) where the advocacy will occur. It should also include the advocacy actions proposed -- speeches, showing of films, demonstrations, individual appeals, etc. Finally, the groups' action plans should set forth target dates for accomplishing the actions.

After the small groups have completed developing their plans, reassemble the whole group. Have a spokesman for each group describe his group's plan for advocacy. Let the whole group comment upon and critique the proposed actions. When board convenes in a regular meeting suggest

to the chairman that he make a brief appeal to the board members to carry out the plans they designed. The board development specialist should, of course, be ready to work with members to help them accomplish their proposed actions.

LEARNING GOAL # 5: Does Advocacy Work?

This is really not a training objective, per se. It is the board performing its role. The only training activity required here is for the board development specialist to work with the board to develop a self-assessing, self-critical role. They will have already developed detailed action plans. They must now carry them out. In doing so, they will need support, reinforcement, and guidance.

To accomplish this, conduct several follow-up sessions in which board members relate their progress as well as their difficulties. Seek to have the listeners comment on the progress reports, suggesting alternatives and offering help.

You, the board development specialist, should seek to accompany board members whenever possible when they are acting as advocates. Be constructively critical but supportive. Report your observations to all members in a helpful manner.

V. Evaluation

You will find it relatively easy to measure the group's achievement of the first learning goal since it is an intellectual one. As you round out your discussion, seek to have the group come up with a definition of advocacy in the CAP context. List it on the board, asking if there is any disagreement or lack of understanding.

The second objective, which is attitudinal, will be difficult to evaluate. You will be able to note in the discussion that follows the exercise what members' feelings are about advocacy. But in the long run, you will have to measure the desired changes by determining whether the frequency of advocacy increases.

The training in communications skills has some built in feedback devices which you can use. The Effective Listening course has a pre- and post-test which should be administered. The Leader's Guide for the Berlo film suggests ways in which you can observe the desired performance change. Your best technique, however, is to observe board members' application of communication

techniques during board meetings. Note skillful and deficient performance and arrange to counsel with members, either in groups or individually, as appropriate.

Learning Goals 4 and 5 require long range observation of board performance. Feel free to comment on the plans developed by the group and their execution. Try to be supportive and reinforcing whenever possible. When critical counselling is called for, supply it in a constructive and specific manner. For example, if a member has not prepared for an advocacy situation, offer to work with him to assemble the facts and to design a presentation.

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INSTITUTIONAL CHANGE

(Part I, Chapter 8)

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I. INTRODUCTION

As early as 1958, in one of the first unofficial skirmishes of the War on Poverty, the harsher realities of bringing about institutional change were exposed. With the help of 400 ministers the Reverend Leon Sullivan of Philadelphia launched a boycott--known as a Selective Patronage Program--to open up thousands of permanent jobs to Negroes. Area ministers asked their congregations not to buy products of companies that had a discriminatory hiring policy. The president of each of these companies had been visited in vain by a committee of the ministers who brought with them a list of qualified Negro applicants. Some 500,000 people, or $\frac{1}{2}$ of the consumers in the city, joined the boycott, which was directed against one company at a time. When the company placed several Negroes in permanent, responsible jobs, the selective patronage was called off. During two and a half years more than 25 companies were "selectively patronized" for periods ranging from three days to three months. Reverend Sullivan and his colleagues then went on to establish a skills center to train "unqualified" Negroes and place them in permanent positions. This required raising half a million dollars in cash and equipment from various sources, including local industry.

In a Midwest city the immediate issue wasn't employment but housing. For one thing, urban renewal had been more concerned with property than people, promoting the removal of the poor, both Negro and white, from the renewed area. Apartments in the highrise buildings that had replaced the tenements were too expensive for most of the former residents, and no provision had been made for relocation. In addition, discriminatory practices in the rental and sale of housing were the rule in the other neighborhoods of the city. At the end of 1967 this city still lacked a fair housing ordinance. Civil rights groups had made a number of efforts to get one passed, but the City Council refused to do more than make token gestures. At first it had tried to get by with a harmless statement that brokers shouldn't discriminate. Then, bowing partly to NAACP pressure, it had prepared a very weak ordinance which it hoped to pass without public hearings. But the CAA--twice mobilizing the NAACP, Council of Churches, League of Women's Voters, two neighborhood organizations and local university officials for a massive turnout at a City Council meeting--forced the weak ordinance to be withdrawn in favor of a relatively strong one.

Community action has shown that the lives of the poor can't be changed unless circumstances in the wider community are altered. The War on Poverty has to be waged along two lines--one in the poverty area and the other outside it. The non-poor in the community must be impressed with their own part in the process, which means winning them over to the necessity of giving the poor the opportunity to help themselves. The rest of the community has to be persuaded, overgetically at times, to grant the poor their due share of social services, economic resources and political influence.

Institutional change is a controversial part of the struggle against poverty. It is unavoidably controversial. Few would deny the existence of certain boundaries the poor can't cross--sometimes literally--boundaries set up by the practices of the non-poor. And for these boundaries to be erased, the practices maintaining them have to be changed, usually against the will of the non-poor. A CAA, whose mission includes erasing these boundaries, is bound to meet resistance sooner or later. It may run into racial bias in hiring or education, or face a lack of cooperation by a service agency, professional association or religious group because a particular antipoverty program appears to threaten its interests.

Since 1964, however, community action has become increasingly able to deal with the opposition. Not only CAAs but resident organizations have learned how to turn it aside and--in the best democratic tradition--mount sufficient pressure to defeat it when there is a head-on clash. Using the persuasive influence of CAA Board members representing the wider community, setting up competing services, educating the public through the mass media and legal demonstrations, "sensitizing" business and civil service personnel to minority problems, and participating directly in the political process have all yielded results. The poor have begun to play an active role in the society.

II. THE SCOPE OF INSTITUTIONAL CHANGE

A. What Does It Mean?

"Institutional change" taken literally, means revisions of policies and practices in large organizations, (institutions) such as welfare departments, school boards and industries. It may be done by law and the judicial interpretation of law, such as the Civil Rights Acts of recent years and the Supreme Court decisions affirming them. Or it may be accomplished through informal persuasion or pressure. Yet a literal understanding is too narrow for the purposes of the War on Poverty. Important as this area of change is, it could never break the poverty chain in itself. Too many of the cause-and-effect links in that chain are forged outside large institutions and legal proceedings. A broader definition is needed, one that includes reforms in public administration and revisions in individual social attitudes.

The poor not only require an increased spread of social services, but also equal education and employment opportunities, fair access to housing, expanded resources for business enterprises and economic development generally, and an appropriate role in community decision-making. In other words, not merely social services but social change. Institutional change results in social change. And without institutional change in this broader sense there is a limit to what the CAA can do. Even in the basic area of service delivery and mobilization of resources, improvements that run deeper than tokenism will depend on insitutional change.

B. Why is Institutional Change Needed?

All large organizations, from industrial firms to church bureaucracies to government bureaucracies, share a number of characteristics. Some of these characteristics are good, some are not so good. On the positive side, there is efficiency to be had from a well-run organization, just as there is increased productive capacity, greater organizational influence and control, expanded purchasing power, and so on. We are concerned in this chapter with the negative characteristics of large organizations because they are the targets of institutional change. It should not be the intention of the CAAs to destroy these institutions; rather, the objective of the CAA should be to inform and change such institutions in such a way as to make them more responsive to the needs of the poor.

1. Inertia

Inertia is a typical ailment of institutions. In physics inertia is described as the tendency of an object in motion to remain in motion, and an object at rest to remain at rest. We mean it the same way here. An institution that has long administered a certain program a certain way, has a natural tendency to continue "doing things the way we've always done them." And an institution that has not initiated a needed program has a tendency to never initiate it.

2. Diffusion of Responsibility

Another infirmity which besets institutions is the diffusion of authority which results in a consequent diffusion of personal responsibility. Who has not heard, in dealing with a government agency, that "That's not my responsibility" or "We don't handle your problem in this office." and to compound the problem, those who work in one branch of an institution are sometimes so isolated that they cannot even direct a client to the proper office.

3. Self-Perpetuation

Perhaps the most pervasive disability of institutions is their tendency toward self-perpetuation. An organization is set up originally for a certain purpose, but before long it develops other, more self-serving purposes as well. For example, some fraternal groups organized for social purposes, but over the years have developed a financial character through issuing insurance policies, setting up retirement funds and various other fiscal enterprises. Now the same fraternal groups make their decisions as much on the basis of fiscal considerations as of considerations of fellowship.

All institutions share that tendency to keep what they have and protect it. It is as natural for institutions to do that as it is for individuals to seek to protect what they have. The natural result of the tendency toward self-perpetuation is caution. Institutions are reluctant to risk their wealth or their power or their prestige. They "play it safe" and that often means that they are unable to be innovative, that they cannot easily make changes, because they are unwilling to take chances.

4. Changing Institutions

Given the existence of all these problems (and many more) in institutions, the task of changing them seems formidable -- and it is. But it is far from impossible. Take the last problem -- self-perpetuation -- and examine it closely. One thing that immediately becomes clear is that an institution may be threatened. It may be threatened by financial loss, or internal discord, or loss of public respect, or any of a number of other developments that would reduce its ability to perpetuate itself.

Institutions are well-defended, but each of these points is a chink in the institution's armor where pressure can be applied to bring about change. To take a specific example, private utility companies are very sensitive to the fact that, if the general public

ever gets too discontented with them or the service they provide, they are very vulnerable to close government control or even take over. So if such a utility happened to be a discriminatory employer, for example, it would be very susceptible to a public campaign on that and any other issue that might turn public opinion against it. And it is frequently through pressure of this sort that institutional change is accomplished.

Other pressures may be applied to institutions because of their inertia or their depersonalization and diffusion of responsibility. For example, a CAA might publicize the actions of a particular employee, who will learn as a result that he can no longer operate in secrecy. Individual employees can be made to accept personal responsibility for their acts if they are subject to public scrutiny. So a very rude social worker may be forced to stop trampling on the dignity of welfare recipients by making a public case of his behavior. Then both the institution (in this case the Welfare Department) and the public will bring pressure to bear. The result may well be an instruction to all social workers to watch their behavior in the future. That is how institutional change is begun.

In some, the adverse characteristics of institutions -- those characteristics that tend to prevent them from taking innovative steps or responding to social problems -- are the very same characteristics which make them vulnerable to concerted community pressure.

C. Where Institutional Change is Needed?

1. Standard Social Service Agencies

More often than not the poor are deprived, at least to a degree, of the standard social services. Essentials like garbage collection, enforcement of housing codes and fire regulations, police protection, school facilities, street or road repair and traffic control tend to be at a minimum in poor neighborhoods. The poor become the steady victims of neglect. In Harlem for example rats have become a scourge because of the garbage allowed to rot in tenement dumbwaiter shafts and courtyards.

In some cases the rights of the poor are not just neglected; they are violated. The moneyless criminal suspect, for example, has often been a convenient scapegoat, at least before the Supreme Court's 1967 Miranda Case decision strengthened the rights of all to due process of law.

Clearly, change has to be brought about in the workings of the basic social organs. Neglect and violation of the rights of the poor--with their demoralizing and disruptive effects--must be one of the CAA's prime targets.

2. Special Social Service Agencies

There are certain public services like welfare, employment, health care and family planning of which the poor have particular, if not exclusive, need. But sometimes those who could make use of the services don't know they are available, and some agencies make no concerted effort to inform them. Or, the services are offered at an inconvenient time or place and the agency is reluctant either to extend its hours or to set up outposts in the poor community. The services might also suffer from a lack of overall planning--duplicating each other, leaving gaps, working at cross purposes-- and the agencies fail to coordinate effectively.

There are a number of reasons for these deficiencies. Institutions often reflect human imperfections. They tend to be plagued by jealousy, defensiveness, a patronizing attitude toward people in a weaker position, an overall rigidity or inertia. Many agencies consider the mere presence of a CAA as a threat to their jurisdiction and reason for being. And even where this isn't so, agency policies and procedures have frequently hardened past the point of voluntary yielding. For example, some regulations forbid sharing information, and others prevent hiring nonprofessionals above a certain level. Agency officials themselves frequently are unwilling to accept outside evaluations as a basis for improvements.

The CAA, then, has to mix pressure with persuasion to get agencies to expand, decentralize, coordinate and, if necessary, modify their services. Further, it has to create wholly new services where none of the agencies is able to meet the needs of the residents. Once the new service has proven itself, the appropriate agency can be induced to support and administer it. The picking up of a Head Start-type preschool program by a local school system is an example.

3. Private Social Work or Health Agencies, Foundations, Civic and Religious Groups, Professional Associations

Some of these organizations follow philosophies which are at variance with the principles of community action. On one hand they have a charitable or philanthropic intent, but on the other they remain almost completely aloof from social problems. Underlying both attitudes perhaps is a naivete about the causes of poverty and even a fear that exploring these causes would only be opening a Pandora's box that couldn't be closed again. There are exceptions, of course. Settlement houses and the Salvation Army are very much at work in the neighborhoods where they find themselves. And the Ford Foundation has even been one of the pioneers in community action--witness the experiment in residents'

control of schools in New York City. Nonetheless, the resources of the private non-profit sector are still, on the whole, applied to the problems of the poor in a piecemeal, haphazard way.

The task of the CAA here is to influence the decentralization and coordination of the available services. But more importantly it is to further mobilize the human material resources for antipoverty programs. Even the small extent to which this has already been done illustrates its value. The YWCAs and YMCAs, previously oriented toward the middle-class, have now begun programs for the poor. The American Bar Association, at first distrustful of the Legal Services Program, has officially endorsed it, encouraging participation of its members on a volunteer or partly volunteer basis. The foundations are making grants to artistic groups such as the Negro Ensemble Company in New York to aid the growth of minority cultural expression.

4. Local and Other Political Bodies Having Jurisdiction in the Community

Often there are legal blocks to effective community action. A state civil service law might have to be changed to allow various agencies to set up a New Careers program. Or public assistance policies changed to give employable welfare recipients the incentive to work by letting them keep part of their earnings. Community control of schools, at least urban schools, fair housing practices, even birth control facilities, all might require legislative action stimulated or supported by the CAA.

Moreover, there are the questions of funding and of participation of the poor in political decision-making. Many programs depend to one degree or another on financial support from the city, county or state. What happened in one state in 1968 tells the story well. Because OEO local initiative funds for the next fiscal year were to be cut, the CAA directors requested the governor to authorize money to make up the deficit. The governor refused. With the cooperation of some legislators, however, the CAA directors wrote and had introduced in the State Senate an appropriations bill. In its final version the bill stipulated that, out of any money in the State Treasury not otherwise appropriated for the next fiscal year, \$300,000 be put at the disposal of the State Economic Opportunity Office for subcontracting to agencies running community action programs. The League of Women Voters and a group of affluent suburbanites, among others, supported the bill, and it was passed. When the governor indicated he would veto it, remonstrations by the CAA directors prompted him to change his mind. Subsequently the amount was reduced to \$240,000, but the amount was still a substantial commitment of the state to the War on Poverty.

Sometimes the situation is reversed--funds or programs are available, yet local officials refuse to apply for them. In an Eastern resort city, only an alliance of the CAA and the business community ensured that the municipal government would move to obtain a Model Cities grant. The mayor or at least the City Housing Authority wasn't interested, perhaps from a reluctance to disturb the status quo. There is little doubt that some people who enjoy high positions and the privileges that go with them feel threatened by the War on Poverty--for increased activity on the part of the poor is bound to alter the political balance. Their tendency, shortsighted though it may be, is to stall the process. Under such circumstances, responsible participation of the poor in political decision-making becomes all the more necessary.

5. Labor Unions and Private Industry

In the commercial sphere also some individuals and groups consider the needs of the poor a threat to their interests. Certain labor unions are notoriously guilty of racial discrimination partly for this reason. Skilled minority group people wanting to work are kept out of these unions on various pretexts so that those already in the unions can keep the benefits of collective bargaining within their own circle. Similarly for business, the question is primarily one of profit and loss, and profit and loss on this year's balance sheet, not next year's. What results is a hesitation to do anything that could either offend consumers or prove to be inefficient. In localities with strong segregationist pressures few companies care to risk disrupting their operations by genuine moves toward desegregation. And few companies anywhere are anxious to assume the costs of on-the-job training for nonprofessionals and the hard-core unemployed.

In recent years opportunities have been opening up for the poor. Discrimination in hiring policies and in union membership regulations is lessening. Under the Concentrated Employment Program, on-the-job training for those with little formal background or work experience is increasing. Even policies against the hiring of ex-convicts are being dropped. But much more of the same is needed, and the problem remains of unsuitable treatment of those hired. Both white-collar and blue-collar workers, including executives and foremen, often lack understanding of the difficulties many of the formerly unemployed have in adjusting to a new job. In addition, racial or ethnic bias is still in evidence on a personal basis.

The CAA's task in the private sphere, then, is twofold. First, to get labor and management to accept their social responsibility, if only by making a failure to accept it more costly than accepting it. And, second, to aid in the "institutionalizing" of the change by encouraging training in human relations for the employer's staff. This is where, incidentally,

the positive side of institutional change comes. Employers who have taken steps to desegregate may be publicly praised by Board members and other CAA officials, as a way of publicizing the value of social action in business.

6. The Press, Radio and TV

The National Advisory Commission on Civil Disorders had this to say about the mass media's treatment of racial, and by implication poverty, problems--

--Important segments of the media failed to report adequately on the causes and consequences of civil disorders and on the underlying problems of race relations. They have not communicated to the majority of their audience - which is white - a sense of the degradation, misery and hopelessness of life in the ghetto.

The Commission recommends that the media:

--Expand coverage of the Negro community and of race problems through permanent assignment of reporters familiar with urban and racial affairs, and through establishment of more and better links with the Negro community.

--Integrate Negroes and Negro activities into all aspects of coverage and content, including newspaper articles and television programming. The news media must publish newspapers and produce programs that recognize the existence and activities of Negroes as a group within the community and as part of the larger community.

--Recruit more Negroes into journalism and broadcasting and promote those who are qualified to positions of significant responsibility. Recruitment should begin in high schools and continue through college; where necessary, aid for training should be provided."

By devising programs or tactics that pursue these recommendations the CAA can further open up the communications field to the poor, including members of all minority groups, and hasten the reeducation of the public. Public "backlash" to social changes can be prevented to some extent by a wider knowledge of why such changes are necessary.

7. The Antipoverty Establishment

The question has been asked how any agency, even an anti-poverty agency, can function for any length of time without becoming bureaucratic and conservative, that is, content to rely on well-worn procedures rather than make innovations. Or putting it another way, how can OEO or a CAA keep its eye on the poor and their needs when forced to compete for favorable publicity and funds by its own need to survive? The question is important since the way a CAA is funded influences the character of community action. The internal workings of antipoverty organizations are clearly a factor in the success or failure of their mission.

What this means is that the CAA can't take for granted its role as an agency of the poor. It has to keep evaluating itself--its methods of operation, its programs. Perhaps, it has to arrange for outside evaluations. A balance has to be struck between efficient administration and an ability to respond to new situations. An open channel of communication is needed between CAAs and OEO so that OEO policies and procedures are relevant to community problems. This same channel of communication should exist between OEO and Congress and the White House. The need for institutional change is a possibility on every level of the War on Poverty.

II. WAYS OF BREAKING DOWN THE RESISTANCE

A. Education, Persuasion and Negotiation

Despite the virtual inevitability of the friction generated by efforts to bring about change, a surprising amount of change can be effected with words. Quite often attitudes prejudicial to the interests of the poor are so ingrained that those who hold them aren't even aware of it. In addition, a certain amount of conscious policy on the part of both public and private organizations will yield to a simple explanation of the problem. What the CAA has to deal with here is just inertia, and sometimes a verbal push is enough to get the policy-makers out of it. Before any attempt is made to resolve an issue by mounting outside pressure, the CAA should explore every possibility of talking it over and negotiating. The CAA Board, which is apt to include influential agency and political officials, might offer a direct avenue for such negotiation. And if Board members can't help directly, they will sometimes be in a position to mediate.

The CAA has nothing to lose and everything to gain from a general education of the public. All available publicity sources should be tapped to inform people of the aims of its programs. Especially if a program is controversial, public understanding is better shaped by forthright statements from the CAA than by

distortions and rumors from other sources. This is all the more true when the CAA statements are endorsed by the Board. Board members should be involved in controversial procedures from beginning to end. Institutional change at large will be easier if the need for it is brought out into the open. And direct approaches to individual institutions will be more fruitful if made in the context of good public relations.

The success negotiations can have is well illustrated by the establishment in 1968 of a new Massachusetts Civil Service category for trained non-professionals in the social services. To bring this about the Director of the Brockton CAA persuaded the State Commissioners of both the Public Welfare and Mental Health agencies to support in the State Legislature the bill amending the Civil Service Law. Prior to the amendment even those agencies which had given on-the-job training to non-professionals and wanted to hire them on a full-time basis couldn't do it. They lacked the positions and the money. Of course, getting those agencies to administer on-the-job training was already an institutional change.

B. New Services on a Competitive Basis

One way, and sometimes the only way, of persuading a service agency to modify its service or undertake a new one is for the CAA to provide the service itself. The CAA demonstrates the idea and, so to speak, sells it. The mere threat of competition by the CAA is often enough to make the agency less rigid and more responsive to the needs of the residents. Also effective in this way is money or evaluation leverage. Such leverage might be exerted, for example, where the CAA is the prime sponsor of a Concentrated Employment Program run by the State Employment Service. The money comes from the Labor Dept., but the CAA's control of the purse strings makes the difference between cooperation and lack of cooperation. The CAA's power to evaluate and to fund or not to fund delegate agencies is the kind of power that is often most persuasive, since institutions -- like individuals -- are both greedy and sensitive.

If the CAA must provide the needed service itself, though, there is at least one advantage. The new service will be run entirely by CAA standards. And when the service is eventually "bought" by an agency--or becomes an independent private corporation--those same standards will be an intrinsic part of it. Many community center schools devised by CAAs or delegate agencies are now financed and operated by local school systems. Similarly, many anti-poverty summer programs are now part of the local parks or recreation departments. CAAs have already shown conclusively how beneficial the effects of competition are in the service field.

C. Bringing Pressure to Bear

In unyielding situations the first weapon the CAA has at its command is public opinion. The community's grievance and the CAA's projected remedy should be clearly and widely publicized. The mass media, including community newspapers, are the most effective means of doing this. At the same time the support of relatively small but influential organizations is probably more valuable, more to the point, than the favor of the public. An alliance between the CAA and civil rights, civic, religious, business or neighborhood resident groups will always carry more weight than the CAA alone. CAA Board members can be instrumental in making such alliances. Public meetings, rallies or legal demonstrations are often a good way to build up and demonstrate such alliances.

D. Restrictions

Since OEO is a public and nonpartisan institution, some types of demonstration or direct action by CAAs are unallowable. According to OEO Instruction 6907-3, dated Dec. 14, 1968,

"No employee or volunteer engaged in carrying out the program of an agency financially assisted under Title II or III-B shall, while in performance of his duties:

- a. Plan, participate in, or provide assistance in carrying out any form of direct action which is in violation of Federal, State, or local law or an outstanding injunction of any Federal, State or local court.
- b. Plan, participate in, or provide assistance to others in carrying out any form of direct action which is designed with the intent to involve physical violence, destruction of property, or physical injury to persons. On the contrary, local agency staff should affirmatively do what they can to prevent such activities and to discourage any direct action that is violent in manner or purpose or is calculated to incite civil disorders."

This, of course, doesn't rule out such actions "as a public rally to demonstrate for the adoption of a more stringent housing code, picketing in support of sewage facilities in a poor neighborhood, or publicizing a selective buying campaign against merchants who discriminate." Moreover, CAA or delegate agency employees may participate as private citizens in certain actions they can't participate in as agency representatives.

In CA Memo 66, dated June 10, 1967, and OEO Instruction 6907-1, dated Sept. 6, 1968, similar lines and distinctions have been drawn to regulate lobbying and political activity. No project funds may be used in any lobbying activity that disrupts the functioning of a legislative body, is aimed at the family or home of any legislator, consists of commercial media advertising or any campaign of mass communications, including letter writing and visits to legislators. An important consideration here is that, under Federal and many state tax laws, non-profit organizations devoting a substantial part of their activities to influencing legislation aren't eligible to receive tax-deductible contributions. The CAA's resource springs might dry up if it ignored this. However, the regulations leave room for purely educational activities regarding legislation and also for contacts between CAA staff or Board members and legislators.

As for politics, no project funds can be used in a manner supporting any political party or candidate. Not even voter registration campaigns are permissible, though information about the social function and the mechanics of voting can be made available. Further, personnel involved in any OEO-assisted program are forbidden to use their position to coerce anybody in or out of the program to act or stop acting as an individual in a particular political way. The regulations about what employees may and may not do as private citizens are intricate and should be thoroughly understood by all before rather than after a controversy develops. Above all the CAA must not be made to appear partisan. On the other hand, "grantee and delegate agencies may actively engage in campaigns connected with constitutional amendments, referenda, municipal ordinances, law reform and lawful attempts to influence government officials to respond to the grievances of the poor."

E. Organizing the Poor To Act on Their Own Behalf

Perhaps the best way to bring about institutional change is to enable the poor to bring it about themselves. Neighborhood organizations can often take measures not prudent for the CAA, measures like boycotts, rent strikes and sit-ins. In fact, with the growing ability of the poor to fight their own battles, the CAA has begun to serve as a mediator between them and other elements in the community. And such a position offers many occasions to advocate the interests of the poor.

One of the dangers the CAA must guard against in its programs is an unrealistic escalation of the residents' aspirations. Should too many residents suffer disappointment, say of hopes on the part of vocational trainees that they will immediately get well-paying jobs, the whole idea of community organization as a way out of poverty might lose currency. The greater awareness the poor have of the necessity and difficulty of institutional change, the better. Realizable aims and effective tactics go hand in hand.

The story of institutional change in Louisville, Kentucky, reveals how the poor are their own best agents. After an indifferent start the CAA there redirected its program toward greater involvement of the poor, allocating \$300,000 for a doubled community organization effort and \$350,000 for use by the ten neighborhood councils at their own discretion. And in just one year's time the political, education, business and social leadership of the city responded to the actions of the neighborhood councils as follows:

Recognition of the councils by the Board of Aldermen as official spokesmen for their areas; setting of a policy for all city projects and civil service actions there to be cleared by the councils; hiring of a special assistant by the Housing Authority to deal specifically with resident problems; creation of neighborhood task forces

Reinstatement of kindergartens and offering of evening high-school-equivalency courses in the public schools; adoption by the Board of Education of a committee report calling for teacher aids, volunteers and parents advisory groups; setting up a committee on teacher education at the University of Louisville to prepare teachers for positions in inner-city schools

Establishment of an industry-based program called JOBS NOW for the unemployed

Volunteering of affluent groups to help residents of poor communities carry out neighborhood improvement projects

III. SUMMARY

Institutional change must be brought about on a broad scale if community action is to fulfill its aim. For alleviating poverty requires changing the practices, the poverty practices, so to speak, of the well-to-do. There are many avenues, however, open to the CAA in pursuit of change. And it must make judicious use of them--from having individual Board members exert their influence to organizing public demonstrations by the poor themselves. If the CAA is judicious in its choice of means, only that controversy will arise which is inevitable and which the CAA will be able to deal with from a strong moral position.

TRAINING METHODOLOGY

I. Introduction

Many of today's young people are seeking to alter the practices of the "The Establishment." The philosophy behind their continuous efforts is that government and private business have sustained the status-quo too long. The role of CAAs in institutional change has a similar emphasis. Here their goal is to prompt public and private institutions to become fully responsive to the contemporary needs of low-income groups.

With the changing demands of industry and businesses and the steady increase in the cost of living, the needs of people in poverty have increased. In addition, new needs have emerged from changing life styles and expectations throughout our society. These needs cannot be satisfied by typical service agencies. In fact these agencies tend to support the status-quo which is keeping a segment of our population in poverty. Obviously, changes are needed in the practices and policies of institutions throughout our society.

Both public and private institutions are hesitant to commit substantial resources to help eliminate poverty. This hesitancy must be replaced with responsive actions. To bring impoverished people into the mainstream of American society means to provide real access to jobs, education, housing, recreation and all the other advantages of our times.

The purpose of this unit is to help boards identify and respond to the institutional changes needed in their community. Frequently, the responsibility for bringing about institutional change is left to the CAA staff, while board policy direction is unmet. This chapter is designed not to change the board from policy-makers to community organizers, but to show how policy-making can influence and bring about institutional changes.

II. Overall Objective

The overall objective of this unit is to develop a commitment and ability among board members to provide leadership in generating institutional change. This will require training which guides the members in examining their present views in light of current institutional practices in their community. To transfer the overall objective into specific learning goals for a board, ask yourself the following questions: Are some members reluctant to push for changes in certain institutions because of their associations with them? Are some unaware of the advances which could be made through specific institutional changes? Do the members have the know-how for developing practical policies and plans which provide a step-by-step approach for achieving institutional change?

Training board members in this area is complex. You will need to apply all of your skills in both training and technical assistance. After thorough preparations you should plan a strategy which combines training with on-the-job counselling and consultation.

III. Specific Learning Goals

1. WHAT CAN INSTITUTIONAL CHANGE ACCOMPLISH?

Members will be able to give a brief talk on the implications of institutional change for equal education, employment opportunities, fair housing, resources for economic development, etc.

2. WHAT INSTITUTIONS IN OUR COMMUNITY NEED TO CHANGE?

Members will be able to identify the public and private agencies in their community that affect the lives of low-income people and the institutional changes upon which these agencies should embark.

3. HOW CAN A BOARD BRING ABOUT INSTITUTIONAL CHANGE?

Members will be able to apply techniques for breaking down the resistance to institutional

change in face-to-face discussions with representatives of both public and private agencies. They will also be able to prepare a board strategy for accomplishing institutional change.

IV. Methodology

LEARNING GOAL #1: What can institutional change accomplish?

1. To develop board members' awareness of the concept of institutional change, arrange a field trip. There are a number of ways to arrange it.
 - a. Divide the board into teams and visit a low-income area or the personnel office of a large industry. Upon their return, have teams report their findings to the total board. Before departing on the field trip give a brief talk on institutional analysis and help the members develop a checklist for use on their trip. Also arrange for residents who have had experiences with the various institutions to talk with the teams to tell them what to look for.
 - b. Have select board members accompany individual low-income residents to various institutions, such as the local housing authority, federal and state service agencies, even religious organizations involved in the War on Poverty. Have them meet with the heads of these institutions to discuss their current policies and views on changing their institution's orientation and policies.

These visits are to give the board members a first-hand exposure to the policies of local institutions and the views of their leadership. The major point that could emerge is that many problems faced by citizens are caused by established society and its resistance to change.

2. Have the board read the first section of the text defining institutional change and the need for it. Afterwards lead the board in listing some policies or practices of local institutions it wants to change, and the type of resistance to change it anticipates. Put this list on a flipchart. Keep this chart for Learning Goal #2.
3. Direct a discussion on the examples of institutional change which are related to situations their community faces. You could raise questions keyed to these situations and discuss incidents of institutional change like those outlined below.

- a. Are low-income residents receiving appropriate services from public agencies?

An expanded and redesigned family service program was established as a result of CAA activities. At its inception, the Family Service Program was primarily involved in crisis cases. These usually involved low-income families, who due to relocation, lack of money, or severe illness found themselves in need of immediate aid. As a result of the CAA's appeals, the emphasis is no longer only on crisis cases. It is also on providing preventative social and employment service to ward off crises. The CAA produced a series of booklets and brochures to explain this program to local citizenry.

- b. Is industry making efforts to employ the hard-core unemployed or the under-employed?

"Operation Dig" is a training program for 60 hard-core unemployed Negroes to be trained as heavy equipment operators on road construction. Through CAA influence a four-year apprenticeship program was reduced to one year of training.

- c. Are ex-offenders or addicts being served by existing programs?

"Hill Rehabilitation Program" provides for daytime care and rehabilitation for drug and narcotic addicts and ambulatory chronically ill adults. It frees relatives for employment, encouraging self-dependency on the part of the participants and helps them become employed once again. This program was started through CAA action after it was shown that traditional practices failed to meet this need.

Examples similar to the above can be used to give a board insights into approaches to institutional change. Hopefully, by examining the approaches used by other CAAs, boards will be prompted to apply similar approaches in its community.

LEARNING GOAL #2: What institutions in our community need to change?

Much of this goal might have been accomplished under Goal #1, depending on the technique you employed. In any case, the members need to know where action should be directed to bring about effective and productive change. To accomplish this invite to a board meeting (in addition to members who represent public and private agencies) representatives from agencies and businesses listed as needing institutional changes.

During the training session refer to the list of policies and practices prepared under Learning Goal #1. Place each private or public agency, which in any way affects or controls any one of the items on the list, under the respective item. Representatives could then respond to board members' questions regarding their agency's actions and difficulty in changing such practices. A summary list could then be made of obstacles to institutional change in various agencies.

LEARNING GOAL #3: How can a board bring about institutional change?

1. Begin training on this goal with the excellent film "Overcoming Resistance to Change." (It

is produced by Roundtable Films, 3211 South Beverly Drive, Beverly Hills, California, 90212). The film deals with the resistance to change by some employees of a business. The human drives which prompt people to value life the way it presently is and fear the consequences of change are aptly illustrated in this film. After the board members view this film, ask them to compare the roles they play with those presented in the film.

2. Use role play techniques to help demonstrate obstacles to institutional change and find solutions to them. To be most effective, structure the role plays around the ideas discussed in the two previous sections and the points illustrated in the above film (or a similar film). The type of institutional change desired could be identified from the list in section one. Probable obstacles and resistance encountered could be taken from the list made in section two.
3. For each role play, have three representatives from the other agencies take the role of board members trying to bring about institutional changes. At the same time, have three board members play the role of public and private institutional representatives opposed to change. This is a group role play in which each group tries to convince the other of its views. Each group could also use the list of practices and obstacles as a source of data. Have another board member observe and serve as a mediator between the two groups of representatives.
4. Have a discussion on techniques that could be used by board members. Base the discussion on three of four role plays of the type described above. Of course, mere talking with various agency people will not bring about institutional change. Therefore, it should be your aim to lead the board in developing a comprehensive program to bring about institutional change. This would include using mass media, providing service on a competitive basis, and having the low-income act in their own behalf. It could be something you help a board work on over a period of months after this training. A great deal of day-to-day consultation on your part will be necessary if a board is to make any progress in stimulating institutional change.

5. Use films to summarize training in this area. Examples of appropriate films are: "The Drop-Out", "Head Start in Mississippi", and "A Time for Burning". These are just a few suggestions; check local film sources for other appropriate films.
6. Ask a board member to lead a group discussion after a film. Have the participants redefine the meaning and goals of institutional change, and clarify any questions about the possible solutions suggested or thought of since viewing the film. After the discussion on points of interest in the film, bring up important areas they may have missed in their review.

V. Evaluation

This same discussion could be used as a measure to evaluate the session's success. After a month or so review the board's progress in institutional change. To what extent have individual board members acted to help promote institutional change? Has the board developed a strategy for the CAA to implement to overcome the institutional obstacles low-income residents face? Has the CAA staff made progress in implementation? Is the board evaluating the work of the CAA in this area and continuing to explore alternative avenues of action?

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THE CAA BOARD: ITS POWERS AND RESPONSIBILITIES

(Part II, Chapter 9)

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IX. SUMMARY

I. INTRODUCTION

This chapter discusses boards of directors in general, and CAA Boards and their responsibilities in particular. Before going into the subject, it will be useful to briefly review the two major types of CAA Boards: Governing Boards and Administering Boards. The central distinction between them is that a Governing Board controls an independent CAA, while an Administering Board oversees a CAA that is part of a state or local government.

A. Governing Boards

The vast majority (over 90%) of CAA Boards are Governing Boards which are almost all private, non-profit corporations. Each is an autonomous legal "person" controlled by its own charter and by-laws. The Board is the source of all authority in the CAA, since it is an autonomous corporation. This authority carries with it a significant amount of power and responsibility. The minimum powers of the Governing Board are described in the Economic Opportunity Act as follows:

"The powers of every community action agency governing Board shall include the power to appoint persons to senior staff positions, to determine major personnel, fiscal, and program policies, to approve overall program plans and priorities, and to assure compliance with conditions of and approve proposals for financial assistance under this title."

If ultimate authority in the CAA rests with the Board, it is also true that it is charged with ultimate responsibility. It cannot escape this obligation by "passing the buck" to the Executive Director and his staff who are employees of the Board. Responsibility for the Community Action Agency's success or failure is the Board's and the Board's alone. As the sign on former President Truman's desk said "The Buck Stops Here!"

A Governing Board allows for broad-gauged participation in the programs of the CAA. A minimum of one-third of its members, for example, must be representatives of the poor, and other members must represent local government, private and religious community interest, and the like. Typically, a Governing Board feels free to experiment, to try innovative approaches, and, in short, to take risks on behalf of the poor.

B. Administering Boards

Less autonomous than Governing Boards, Administering Boards are sometimes not as free to try new approaches. That is because they are overseeing the activities of a CAA that is part of a local government, or is the creation of several local governments working together. Consequently, CAA activities tend to be carried out through existing structures and in time-tested ways. (CAAs directed by Governing Boards, having no history, have fewer traditions or precedents to guide (and limit) their actions.)

Administering Boards have many of the same powers that Governing Boards have, but some of them may be modified or retained by the state or local government. These powers are fully described in the OEO publication "Organizing Communities for Action," which also outlines the way local governments may share power with the Administering Board.

This chapter examines in detail the many powers and duties of CAA Boards of both kinds. It is important to remember in reading this chapter that the CAA is only a legal person, not a real person. The members of the Board are the persons charged with directing the work of the CAA, and it is in them as individuals that the power ultimately is vested, just as it is on the members individually that the responsibility ultimately lies.

II. BOARDS OF DIRECTORS IN CONVENTIONAL ORGANIZATIONS

A. The Corporate Form of Organization

A corporation is called a "juristic person" in law. This simply means that a corporation is a single entity rather than a collection of individual members. A corporation is created by several persons (the number varies from state to state) to be a legally independent entity which may conduct business, sue and be sued, and has an existence apart from the lives or fates of any of its members. It is a convenient and practical method of carrying out all sorts of activities and purposes from building automobiles to governing the local unit of the League of Women Voters. As a single entity or "person" a corporation takes action or "speaks" only under specified circumstances which are usually described in its by-laws - rules by which its members agree to govern it. A corporation acts or speaks only when at least a majority of its members agree on an issue in a meeting attended by a specified minimum number of members (called a quorum). No individual member can speak for the corporation, only about it.

The important point to remember is that a corporation is not a miscellaneous collection of individual members, but a unified organization composed of persons brought together by a common interest who believe that this common interest will be best served by the organizational form of the corporation. In some instances, persons find that the corporate form is the only method of participating in activities which they feel are important. A corporation will usually exist continually until dissolved by specific action of those in positions of responsibility within it. When dissolved, the corporate person legally "dies."

Not all of these features apply to a specially-created unit of a local government. The differences between such a corporation and an independent one are not great, and the following discussion of corporations and their boards may be taken as illustrative for Administering Boards of sub-units as well as for Governing Boards of independent CAA corporations.

The corporations which come most readily to mind are of the profit-making variety--large corporations like General Motor, AT&T, Standard Oil, etc., that dominate our national economic life. Such corporations--and many much smaller ones--are organized to make a profit on the production of goods or services, and their success or failure is measured in terms of an increase in cash or valuable assets or both.

A second type of corporation, familiar to everyone, is the public government corporation which provides the governing authority for a well defined geographical area within a state. The charter for a public government creates an authority for taxing and providing protective and other services for those who live within its jurisdiction. The "Administering Board," of which more will be said later, can be created by ordinance or statute by the public government. Such a Board is in many ways quite similar to that of an independent corporation.

The third type of corporation is the private, nonprofit corporation whose activities are almost always directed toward improvement of the conditions of life. The Heart Society, Mental Health Association and other United Fund agencies represent well-known examples of this type of corporation. Most CAAs are independent, private, nonprofit corporations.

There are other types of corporations, but each has different goals and objectives and each is chartered and regulated by state and Federal laws in accordance with its purposes. Each type of corporation tends to develop its own methods, traditions and cadre of professional managers.

A corporation's scope of interest and its purpose for forming is described in its charter, which is granted by a state government or agency. The actions of the corporation over an extended period of time reveal its ability to fulfill its general purpose - some corporations are highly successful and some are relative or outright failures. The actions which the corporation takes generally illustrate whether it is sincerely attempting to fulfill its stated goals.

B. Corporate Boards of Directors

In all corporations, the governing group-usually called a "board" - has the final authority over what the corporation will or will not do. The board's authority is limited only by state and local laws or by the conditions which are stated in the corporation's charter. In practical terms, the board becomes the corporation. If stockholders, shareowners, members or constituents are displeased with the board their only recourse is to replace unsatisfactory board members. This, of course, regularly happens with corporation boards and elected public officials.

The members of a board are therefore likely to be conscious of the wishes and desires of those it is responsible to, particularly if they value their position on the board. The board members have authority to direct the affairs of the corporation, but also the responsibility to account for the results of their direction.

In commercial corporations, just as in government corporations, board members typically are regarded as very important people. That is because they are very important. Board members have all the legal power there is in the corporation, and all the prestige that comes with policy-making authority and the authority to review decisions and actions of the corporation. In every segment of society, it is regarded as a source of pride (for the board member) and usually envy (for others) to be a member of a board of directors. Many people regard it as an honor to be asked to serve on a board, especially the board of a non-profit corporation. For those who are elected to a board, it may be even a greater honor.

Everywhere he or she goes, the board member is looked upon as a person of ability and influence, and rightly so. Those who are selected to serve on boards of directors are selected for what they can contribute to the organization, and they are given broad authority (collectively) to exercise their best judgment and make their greatest contribution. In some large corporations--and in some public governments--board members are actually feared by many people because of their influence and power. While it is in no way desirable for board members to be feared, it is at least an indication of the awe with which they are often regarded.

In most corporations, the board of directors is composed of members who can help the organization further its purposes. Members are selected for the contacts they bring with them, for example. Many large manufacturers of military supplies add retired generals and admirals to their boards in the hope of getting more Defense contracts. Similarly, it is common practice for small new corporations to add an attorney to the board, in the expectation that they will get more conscientious (and perhaps less expensive) legal advice.

Other members are named to a board for their managerial competence, or their knowledge of the field - fund raising, for example--that the organization is concerned with. Still others are selected for their personal interest in the work of the organization, or because their cooperation is needed, or because they have special talents (budgeting, for example) or special standing in the community (the mayor, a popular pastor, a well-known businessman).

Few people turn down an opportunity to serve on a board of directors. Their personal prestige is enhanced by such an appointment, and so is the extent of their influence. Of all the status symbols in our society, one of the most justifiable is membership on a board of directors.

III. CAAs DISTINGUISHED FROM OTHER ORGANIZATIONS

Perhaps the single most distinguishing feature of a community action agency is its uniqueness in all the history of formal organizations. There are many legal and social factors that contribute to this distinctiveness, and we will examine several of them in this chapter. First, however, it is important to remember that a CAA also has many features in common with other organizations. What is discussed in this chapter is not a full description of a CAA, then, but only a brief catalogue of important ways in which it is different from the corporations and other organizations we are all familiar with.

A. Local Execution of Federal Authority

A controversy has long raged in this country between the proponents of centralized government control and the advocates of decentralization. The Economic Opportunity Act has to a certain extent bridged the gap between those factions by creating community action agencies. CAAs provide for local control over Federal legal authority. The Office of Economic Opportunity has considerable legal authority and resources, control over which is in large part granted to the Boards of local CAA's.

That is not to say that there are no Federal guidelines--there decidedly are; but it does mean that within broad limits, CAA Boards are charged with the execution of Federal authority. That is a startling departure from past organizational forms or practices, and one of the features that makes a CAA--and its Board of Directors--unique in the annals of organizational history.

B. Local Control of Federal Funds

A parallel attribute of community action agencies is the transfer of monetary control--again, within established guidelines--from the Federal Government to a CAA Board. Traditionally, organizations have been most loathe to give up fiscal control, or any part of the control they exercise over their funds. The degree to which CAA's have been granted fiscal autonomy is a measure of the confidence that Congress and OEO have rightfully placed in their Boards of Directors.

So a CAA Board tells OEO what needs to be done to end poverty in a certain locale, and how much it will cost. OEO then assesses that need along with other needs from other areas, negotiates with the Board or its representative, and makes a grant to the CAA. The Board starts the process by telling the Federal Government what needs to be done in its area, and finishes the process by setting the policy for expending the funds locally and for exercising Federal power locally.

C. Joint Venture of Federal and Local Governments, and Others

There is another, equally important aspect of a CAA's organizational uniqueness. That is its role as the vehicle for one of the most extensive and successful efforts ever undertaken by the Federal Government and local governments jointly. The War on Poverty is being waged locally by CAA's across the country, under the national aegis of the Office of Economic Opportunity.

In many places local governments administer the poverty program through an independent CAA set up as part of the government itself. In many more places the local government has representatives on the CAA Board, supports the aims of the CAA, and makes in-kind contributions toward the financing of the CAA.

Furthermore, every state has its own Office of Economic Opportunity, a federally-funded technical assistance operation under the direct control of the State, which is responsible for evaluating, aiding, and coordinating Federally funded social programs in the State. While this may at first seem to be a complex welter of jurisdictions and authorities, what it amounts to in the end is a very imaginative and comprehensive exercise in sharing Federal authority and funds, and a system for enhancing coordination and advice at every level. Finally, we must add the many Federal agencies other than OEO that have administrative and financial impact on a CAA.

All of this taken together adds up to an unprecedented administrative system, providing for cooperation and partnership among governmental and private agencies that is another singular distinction of a community action agency.

D. The Independence of CAAs

Despite the comprehensive provision for state, local, and Federal coordination, to a large extent the control of CAP programs is left to the CAA Board. That is one reason for the formation of a corporation: to enhance the independence of the CAA and its ability to function according to its own lights. Again, there are broad Federal guidelines which establish parameters for the operation of a CAA--it must be true to the spirit of the Economic Opportunity Act, for example--and these will be discussed in later chapters.

The Board of Directors of a CAA, however, acts much like the board of any other organization; setting goals and strategies, overseeing the agency's operations, approving grant applications, and the rest. This is another facet of the uniqueness of a CAA; that it is an independent agency required by Federal legislation to be responsive, not just to the agencies that fund it, but to the community it serves and the local institutions with which it works.

E. The Composition of the Board

The way a CAA Board is formed is at the same time similar and dissimilar to the way a conventional corporation's board is formed. It is similar in that much the same criteria are applied in selecting or electing members; their judgment, their influence, their standing in the community, and so on. But there is an important difference in that at least one-third of the members of the Board represent the very people for whom the CAA was created.

In many ways it is fulfilling the promise of democracy to provide for representation of the poor on a CAA Board. The people most directly concerned are directly participating in forming the policies and making the decisions that will affect them. There is no similar structure in other corporations. Manufacturing companies do not have workers on their boards; department stores don't have salesclerks on their boards. And the same is true in government; city councils seldom include poor people or certain other segments of society; draft boards don't include draft-age youths; school boards don't include students.

This feature of CAA Boards is possibly the most innovative and most promising single element of all the administrative innovations CAAs have been favored with. The provision that a maximum of one-third of the Board be public officials is another innovation in furtherance of the concept of a CAA as a joint venture between Federal and local government.

F. The Non-Profit Character of CAAs

This characteristic of a CAA--that it is a non-profit corporation--does not distinguish it from all corporations. There are many other non-profit corporations (some of them more non-profit than others). The distinction here is between a CAA and the popular image of corporations....as large, profit-making enterprises.

It is important to keep in mind the non-profit character of a CAA both for legal and for economic reasons. Legally, a non-profit corporation has favored tax status, an opportunity to buy surplus Federal equipment, and many other advantages. Financially, a non-profit corporation is subject often to very strict accounting procedures, barred from engaging in certain activities, and limited in the amount of surplus funds it may reserve.

But it all comes down to this: that a non-profit corporation exists not for itself, but for others. And that is the obvious reason why a CAA is a non-profit corporation. That selflessness is central to the concept of community action, and should inform the actions of every Board member.

G. Sharing the Board's Power

Finally, there is this further unique feature of a CAA--that it may, and is often required to, share its power and control with neighborhood or delegate agency boards. Just as it is an organizational breakthrough for the Federal government to cede so much authority to the principal CAA Board, it is a continuation of that concept which requires the Board to grant some of its authority to the boards of sub-units.

These neighborhood or delegate (or county) boards receive authority over major policy decisions in their bailiwick, including which programs will operate there, which agencies will run them, and how funds will be allocated among the programs. It is incumbent upon principal CAA Boards to share their authority quite as freely as it has been shared with them by OEO.

IV. LEGAL RESPONSIBILITIES OF A CAA BOARD

Every corporation has some basic legal responsibilities, fixed by the Federal, state, and often the local governments. These tend toward the obvious: filing tax returns of all kinds, maintaining accurate financial records, reporting annually to the Secretary of State (in most states), complying with local ordinances governing the solicitation of funds, and the like. In addition community action agencies, because of their unique position in the community and their critical role in the War on Poverty, are subject to a number of OEO regulations--the guidelines mentioned in the preceding section.

This section will briefly review the legal requirements which Federal law sets for community action agencies. The law places these requirements on the corporation (the legal entity) but it is the duty of the Board to make sure that these requirements are met. They are, in that sense, personal requirements of every Board member, and they are detailed here because it is important for every member to know specifically what is required of his Board. What follows is a summary of the legal requirements that are set out more fully in the OEO publication "Organizing Communities for Action."

A. Geographical Area of the CAA

The area of jurisdiction for a CAA must be clearly defined. This is usually done in terms of a city or county, or a group of counties, though a state is also an eligible area of jurisdiction. The minimum size is a contiguous area of not less than 50,000 total population. The minimum population for a city is 250,000.

B. Designation of the CAA

Except in those cases where the public officials designate themselves to be the community action agency, the CAA must be designated by the public officials of the area which has been defined for the CAA. In the absence of affirmative and acceptable local response, the CAA may be designated by OEO. (This is subject to the provision that public officials may choose not to have a community action agency operating in their area - a process referred to as "opting out.")

C. Board Membership

The Board is limited to 51 members, who must be composed of three distinct elements of the community: the poor, local government, and community leaders. The matter of Board membership is taken up in greater detail in a later section of this chapter.

D. Minimum Powers of a CAA

The CAA must be legally empowered to, at the very least, contract for services and goods, receive and disburse funds, receive and account for non-Federal contributions (like space, volunteer services, etc.), and enforce any of its contract or delegation agreements by audits, suspension or termination, lawsuits, etc. Furthermore, a CAA must be free from employment rules which would keep it from giving preference in hiring to poor persons, the elderly, and residents of target areas.

E. Minimum Functions of a CAA

Another section of this chapter will take up in detail the functions of a CAA Board. But the law sets out five minimum functions for a CAA:

1. Systematic planning and evaluation of CAA programs, including a study of the causes of poverty in the area served by the CAA.
2. Encouraging established community agencies to benefit from OEO assistance, and encouraging coordinated efforts among them.
3. Initiating new programs for the poor, and filling the gaps in existing programs.
4. Providing for effective participation of the poor in CAA affairs.
5. Mobilizing private resources in the community in support of CAA activities.

F. Board Meetings

Boards are legally required to establish the presence of 50% of the members as the minimum for a quorum. (Also see Section "J," below for requirements with respect to open Board meetings.)

G. Participation of the Poor

A central theme of the Economic Opportunity Act is participation of the poor. Each CAA is required to be so organized that the poor and their representatives will be able to influence the character of programs which affect them. We have mentioned the requirement that a minimum of one third of the members of the Board be representatives of the poor. That requirement extends as well to all committees established by the Board.

In addition, CAA's are encouraged to make use of broadly-based neighborhood organizations, delegate agencies, and similar sub-units to provide for wider and deeper community involvement. What is perhaps most significant, the law requires that the Board establish procedures to allow community groups who feel they are inadequately represented to petition the Board for greater (more adequate) representation.

H. Administrative Standards

Of particular importance to Board members is the legal requirement that each CAA insist upon "standards of organization, management and administration which will assure . . . that all program activities are conducted in a manner consistent with the purposes" of the Economic Opportunity Act. Also, this provision of the law specifically warns against allowing a CAA to become involved in partisan political activity.

I. Civil Rights Compliance

A CAA is required at the time it first makes application for a grant to assure the Office of Economic Opportunity that it will not discriminate, or permit any of its delegate agencies or contractors to discriminate, against any person on the basis of race, color, or national origin. This legal requirement is strictly enforced. It applies throughout the life of the CAA, and it applies to personnel practices, Board activities, CAA programs, use of CAA equipment or funds, and anything else the Board or the CAA may engage in.

J. Public Access to Information

CAA's are required to "provide for reasonable public access to information including, but not limited to, public hearings at the request of appropriate community groups" and "reasonable public access to books and records" of the CAA and delegate agencies. The provision for reasonable public access to books and records refers to financial accounts. The public hearing requirement is presently being expanded in an OEO instruction--expected to be issued soon--which will require that CAA Boards hold a minimum of eight public meetings each year.

K. Annual Determination of Eligibility

Each CAA is legally bound to demonstrate to OEO that it has the necessary legal authority (under state law, for example) to exercise its powers and discharge its responsibilities in accordance with the Economic Opportunity Act. The CAA is annually required to re-establish its eligibility to receive OEO funds.

As a natural corollary to that requirement, a CAA is expected to remain open and cooperative in any official evaluation or investigation of its programs or policies, and a CAA must of course make its financial records available to OEO or the state or any other agency that has a legitimate right to examine the books or perform an audit.

L. Fiscal Requirements

CAA's are required to establish an accounting system before funds can be released to them. Within three months of the grant, OEO is required to examine the accounting system to make sure it is adequate. Then at least once a year OEO must make an audit of the CAA's books, and seek recovery of any items disallowed in the audit. (That is one of the reasons for bonding some Board members and CAA officials.)

The financial side of a CAA's operations is a very important one, in which most Board members will take a strong interest. One of the prime concerns of the board of directors of any corporation is the fiscal responsibility of the organization they direct. Since OEO funds are public money being used for public purposes it is even more important for a CAA Board to interest itself in the CAA's fiscal affairs.

M. Other Legal Obligations

There are a variety of other legal responsibilities which apply to all CAAs. This section is by no means a complete catalogue of them; but there are one or two more that should be mentioned here because of their immediate importance to Board members.

1. The CAA, in addition to being politically non-partisan, must remain non-sectarian in its programs and policies, even though it receives support from religious groups or works with such groups.
2. The CAA's programs must not result in loss of jobs for workers who are presently employed, and the CAA may not substitute Federal funds for other funds to do work in the community that would have been done if there were no CAA. In other words, CAA's are supposed to do something different, something new, and not just carry on existing social programs.
3. The CAA must pay reasonable wages, according to local conditions, the merit of the employee, and similar factors.
4. A very important requirement is that the CAA's program will "contribute to the occupational development or upward mobility of individual participants."

This last is a point that bears elaboration in the next section of this chapter. But before we leave the subject of a CAA's legal responsibilities, it should just be noted once that the members of the Board have the obligation to ensure that the CAA complies with these and all the other legal requirements outlined in "Organizing Communities for Action."

Finally, Board members should keep in mind that, in addition to all these legal responsibilities, special conditions may be imposed on a CAA by the terms of its grant from OEO. These special conditions are found in CAP Form 29, attached to the grant package. Generally, if there are any special conditions at all, they will be very specific requirements imposed by the OEO Regional Office. These conditions, once imposed, become a part of the agreement between OEO and the CAA, and as such have a legal force similar to a contractual agreement.

It is also true, of course, that the field representative or district supervisor may set other conditions for the CAA to meet. OEO officials have that authority, and it is their obligation to impose additional specific requirements when they are needed to improve the CAA. So a field representative may ask for a well thought-out training plan before approving the training money in a CAA's budget, or he may require that the bookkeeper attend a training program in grantee accounting. All of these "informal" conditions may be set under the authority the law gives to OEO.

V. SOCIAL RESPONSIBILITIES OF A CAA BOARD

The last section described in some detail many of the legal requirements that are imposed on a CAA and its Board. Many of these requirements--participation of the poor, for example, and civil rights compliance--are little more than a legal codification of the social purposes of the War on Poverty. While it is true that much of what is expected of a CAA can be expressed legally, it is also true that there is a whole social point-of-view, a personal dedication to the goal of ending poverty and injustice, that is better described in a less legalistic way.

The law sets up a number of responsibilities for CAA's and their Boards. But the most important, the most fundamental responsibility a Board member has is to the people of the community. That is not to suggest that there is some conflict between fidelity to the law and fidelity to the people (although in rare circumstances there could be); but the two concerns are of a different character.

Perhaps the difference can best be illustrated by returning to one of the last legal requirements we mentioned in the preceding section, that obliges a CAA to consider the occupational development of individuals. It is significant because it reintroduces a personal element in planning and conducting CAA programs. It is exceedingly important for Board members to keep the individual in mind, and not just consider groups or neighborhoods of people.

That is particularly true in setting CAA personnel policies, in which careful attention should be given to hiring those who can do the work and who might otherwise remain underemployed or even unemployed. And personnel policies should also provide for personal career development. The CAA should be the one place in town where a man can be hired not on the basis of his credentials or his race or the jobs he formerly had been able to get, but on the basis of what he can do. The CAA should develop the people who are hired to assume greater responsibility in the organization, and then help them move on to other jobs outside the CAA.

The same is true with respect to CAA policy which extends beyond the organization. Board members should be considering the real needs and the real interests of target area residents, and should listen to residents to find out what their needs and interests really are. Dozens of examples could be offered to show the social requirements of CAA's, but the point is a fairly obvious one. What underlies it all is this simple notion: that the War on Poverty is being waged to help people, and it is axiomatic that its programs must be human as well as humane.

We have already compared a CAA to other kinds of organizations in our society. Once again a parallel can be drawn: in an industrial corporation the board members, though subject to a variety of laws, are responsible to the stockholders. In a CAA, the Board members are responsible to their constituents and their community.

VI. FUNCTIONAL RESPONSIBILITIES OF A CAA BOARD

Aside from the legal responsibilities which are spelled out for a CAA, and the obvious social responsibilities, there is a wide range of responsibility that falls in the administrative sphere. Just as many of the social responsibilities are mentioned in the legislation, so are the administrative and functional responsibilities. A good example is the legal requirement that CAAs provide for a systematic approach to identifying the causes of poverty and planning for their elimination. This section is devoted to a description of the many functions for which a Board is responsible; the things a Board should do.

A. The Five Legislatively Required Functions

These are the same five functions mentioned briefly in the section on legal responsibilities. They are here described in greater detail.

1. Planning and Evaluating. There are many systems a CAA may use for planning, and for evaluating the plan after it has been implemented. The more popular systems tend to reflect our national penchant for letters: PERT (Planning, Evaluation, and Review Technique) or PPBS (Planning, Programming and Budgeting System). The essentials of sound planning, however--including a provision for later evaluation--may be found in the Grant Application Process which OEO recently inaugurated. It is no more perfect than any other mass-produced system when applied to the particular exigencies of local CAAs, but it serves as a good starting point for CAA planning.

Once the planning method has been outlined, and the Board members agree on how plans will be made and their effectiveness evaluated, the next step is to determine the needs of the community. This can no longer be done very reliably from 1960 census data, but many communities have more recent data and CAAs that have been operating for two or three years will have acquired very useful records. But data-gathering is only part of determining the needs. Much more important is the testimony of the community residents themselves. It is only through the information they give the Board that the statistically-identified needs will come alive and have real meaning.

Next, it is necessary to find out what resources are available to deal with these needs and how they are presently being used. Untapped resources are available in most communities simply because no concerted effort has been made to direct them toward the needs of the poor.

Then the Board may develop a scheme to bring together the resources

and the needs and, having measured the gap between existing needs and available resources, may also develop a proposal for bringing the necessary additional resources to the community.

Priorities must then be set among needs (which are most critical?) and among resources (how shall they be allocated?). Priorities determined through the planning process should be subjected to very careful scrutiny since a CAA may have a tendency to stick with established programs and staffing patterns.

2. Program Coordination. This is the requirement mentioned in the chapter on "Coordination" that the CAA encourage existing agencies to do their jobs better and to cooperate better with each other and with the CAA. It also requires the CAA to close gaps in the services provided to the poor, focus all these resources on the most needy and provide opportunities for participation and for employment of low-income individuals.

When a CAA has done a comprehensive job of planning, this responsibility is not particularly difficult to live up to. The CAA Board must develop a general policy on sponsorship of projects which will help it determine whether the CAA, or an established community agency, or some newly formed agency or neighborhood group is the most desirable sponsor of a particular project. That determination is best made in concert with any potential sponsoring agency, and in any case it is both desirable and necessary to seek the views of agencies outside the CAA. That is one of the ways the coordination called for in the law may be accomplished.

3. Initiating new programs is another of the responsibilities placed on a CAA by the Economic Opportunity Act. That function is briefly described elsewhere in this chapter, and will be covered in greater detail in other chapters. It is enough here to simply note that this function also depends for its success on planning. All of these required functions are interdependent, and the CAA that does its planning well is more than half-way toward successful accomplishment of the other functions.
4. Resident Involvement, another legal requirement, is decidedly a functional responsibility of the Board. It is functional because the principle of resident involvement must be considered in everything the Board plans and does. A Board is responsible for ensuring that there is realistic and effective resident participation in:

- its own membership
- its assessment of the community's needs
- all phases of the planning to meet those needs
- setting priorities among needs and resources
- developing CAA programs
- setting CAA policies
- carrying out CAA programs
- administering the CAA
- reviewing and evaluating CAA plans and programs
- conducting CAA Board meetings
- re-designing CAA programs
- etc.

The list could go on almost to an absurd length, but the essence of the requirement is clear. The CAA exists for the residents of the community, and they must be functionally involved at every level or it won't work.

5. Mobilizing private resources in the community is the final functional responsibility required of CAA Boards. That means that, though the CAA is designed to bring people out of poverty, the CAA can't do it all alone. One reason why the law provides for business, religious, and other representation from the community on the CAA Board is that through these representations it is expected that private resources can be mobilized to support the CAA's efforts. That is the special responsibility of those Board members. And if they don't do their jobs--if they don't work hard in cooperation with their fellow Board members to secure private support for the CAA--then they should be replaced with people who can do the job. It is very clear that persons are appointed to the Board to work for the CAA, and to contribute what they can of their influence and abilities.

B. Board Functions in General

To return to a view of the CAA Board as being (in many respects) much like any other board of directors, let's briefly review the policy-making and managerial function of a Board. To do that we can take a look at the conventional functions of management as they are described for any organization by management experts. The typical management functions are described below.

1. Planning. Any board must first decide what it wants done. It must set short- and long-term objectives for the organization and decide on the means that will be used to meet them. In order to do that, a board must forecast, as well as it is able, the economic, social, and political environment in which the organization will be operating and the resources that will be

needed to make the plans work out.

2. Budgeting. Once financial resources are known, and future resources are tentatively identified, a board designs a budget, which is essentially a translation into financial terms of the work plan already laid out.
3. Organizing. The objectives and the work that must be done to attain them dictate the skills and the manpower that will be needed. In organizing, a board decides on the positions to be filled and the duties and responsibilities attached to each one. These are collected according to common function, location, and the talents required into organizational subdivisions (often called Divisions).
4. Coordinating. The work done by various members of an organization is necessarily interrelated; hence some means of coordinating their efforts must be provided. That gives rise to establishing a hierarchy with levels of authority to direct and approve.
5. Staffing. A board sets policies that will find the right person for each job. An established organization already has people to fill the positions that have been created. Nevertheless, both organization and staffing are continuing jobs since changes in plans and objectives often require changes in the organization and occasionally require a complete reorganization. And staffing obviously cannot be done once and for all, since employees are continually leaving, being fired, retiring, and dying. Often, too, changes in the organization create new positions which must be filled.
6. Direction. Since no one can predict just what problems and opportunities will arise from day-to-day, lists of duties are naturally couched in rather general terms. A board must, therefore, provide specific direction on how to handle unusual or new problems. A board must make sure the organization knows, in each instance, what results are expected. Overall, a board must give general direction of sufficient clarity and wisdom as to make employees of the organization want to perform well.
7. Control. The process of control involves determining how well tasks have been performed, and what progress is being made toward the organization's goals. A board must know what is happening so that it can step in and make changes if the organization is deviating from the path the board has set for it. Budgets and plans are the instruments of control.

8. Reporting. Boards require reports on specified work programs at specified intervals, so that they can perform their control function.
9. Representation. A board is the official representative of an organization in dealings with outside groups. Sometimes the function of representation consists of listening to the views of others who are concerned about the organization's actions, or affected by them. Other times it may involve defending the organization against unfair criticism, or seeking the cooperation of other groups.

It has become stylish in detailing management functions to list "innovation" as one of the functional responsibilities of a board of directors. That is partly a recognition that no list of functions can ever be all-inclusive, and partly that most boards must define the rest of their functions for themselves. Yet innovation is very definitely a quality that board members are expected to bring to their work. Creativity is the activating ingredient in an organization--the spark that enables it to change, to grow, to adapt.

C. Policy-Making

The one management function that is exclusively the Board's is policy-making. All the other functions are to some extent shared with the top staff officials of the CAA. But the Board alone is responsible for policy, and that is why we said earlier "the buck stops at the Board."

It is sometimes difficult to distinguish between policy itself and the implementation of policy, but the distinction is an important one. If a CAA Board confuses policy with implementation, it runs the risk of disturbing the balance between itself and the CAA staff. Perhaps the best way to make the distinction is by citing a few examples:

1. A Board may decide that any supervisor in the CAA who practices any form of racial discrimination will be immediately fired. That decision becomes official CAA policy. Then the Executive Director or another staff person must draw up a set of guidelines saying how discrimination will be proved, what procedures will be followed, and outlining all the other details that the supervisors ought to be aware of. That is implementation. (The Board may want to review the procedures before they are issued, to guarantee that they conform to the policy as the Board originally stated it.)
2. A simpler example may be taken from a common police practice, in which the "policy" is that tickets will not be issued to influential citizens. But individual officers are expected to

exercise judgment in implementing the policy, and that results in an occasional ticket despite the general policy. And the policy is not necessarily weakened by such actions, since everyone knows that policy represents the general guides to action, not specific directions for every conceivable circumstance.

3. Similarly, many employers have a policy of non-discrimination in hiring and promotions. But like other policies, it is left to program officials to execute, and frequently the execution of equal employment policies leaves much to be desired. In this case equality is the policy and there may be no question about the sincerity of the Board that set the policy. But often equality is not the result of the execution of that policy.

In addition to pointing out the differences between policy and implementation, these examples illustrate a further dimension of policy-making: the need for close follow-up to ensure that policies set by the Board are faithfully executed. Board members should never lose sight of the fact that the community will hold them responsible not only for the policies they establish, but also for the results of those policies.

D. Specific CAA Board Functions

We have discussed in general terms the functions performed by all boards. These are also the functions of a CAA Board, taken together with a number of special functions that take on extra importance because of the unique nature of a CAA and its Board. Representation and Evaluation are two functions which have already been covered in general, but which warrant special emphasis as they relate to CAA Boards. In addition, we will briefly discuss in this section the functions of Facilitating and Leadership.

1. Representation. As it is acted out by a CAA Board, the representation function has four directions. The Board represents the CAA to (a) the community (b) the Office of Economic Opportunity (c) other local and national agencies, and (d) power sources, wherever they are found.

The Board represents the CAA to the community by holding public hearings and open meetings, by publicizing activities and programs of the CAA, and by speaking up for the CAA when it needs defense. More importantly, individual Board members represent the CAA to the community in their day-to-day contacts by speaking to (and listening to) local groups, explaining or defending the CAA to their constituents (the people or organizations whom they represent on the Board) and sometimes by granting interviews to the local news media.

The Board, often in the person of the chairman, represents the CAA to OEO by presenting its request for funding, by signing official documents and in other ways negotiating or approving

arrangements with OEO, and by dealing with the Field Representative, the District Supervisor, and other OEO officials on important problems or programs throughout the grant period.

The CAA is often best represented to cooperating agencies, like local offices of HEW or the Department of Housing and Urban Development, through the members of the Board. It is the Board's responsibility to speak publicly and to negotiate officially on behalf of the CAA; but beyond that it is often true that Board members bring with them greater prestige, and a more imposing presence, because they are members of the Board of Directors. And that sort of prestige is important in dealing with other groups and agencies.

Finally, the Board represents the CAA, and the CAA's interests, in dealing with local and even national sources of power. Every Board member represents a constituency that has some kind of power, whether it is economic power, popular opinion, political influence, or the expressed desires of the residents of the target area. And when the CAA needs help of one kind or another, these sources of power may be tapped for support. It is the Board's function to do that through the appropriate members.

Furthermore, Board members are frequently able to influence or appeal to state and Federal legislators on behalf of the CAA. Influence with respect to legislative power may be helpful to the CAA in everything from calling off a local witch hunt to increasing the level of funding for the CAA.

2. Evaluation. A Board function of particular importance is evaluation-- assessing the worth of proposed and ongoing CAA programs, especially in light of the Board's original intention in setting the policy for those programs. Evaluation also involves reviewing a program after it is completed, or after a certain portion of it is completed, to measure the impact the program has had. It is very difficult to know with absolute certainty that a particular program is a good one, or is what really is needed by the target area residents. But through careful and thorough evaluation, a Board can go a long way toward reducing that uncertainty. A sound evaluation is an excellent basis for refining and replanning CAA programs, which can then be built on experience, not guesswork.

While the sources of evaluative information are many, there are three major sources that are essential in any CAA: the community served by the CAA, the Office of Economic Opportunity, and the Board members themselves. To briefly describe the uses of these sources of evaluative information, let's first consider the target area residents.

As the objects of anti-poverty programs, the residents of the target area are in the best possible position to say whether the programs are on target. They should be giving interim feedback through their representatives on the Board, and through other channels of information, all year long. But special hearings on a single or a limited number of programs often produce valuable insight and data about the workings of the program that is not available anywhere else. This sort of evaluation has largely to do with the substance of CAA programs--which programs are conducted and with what results. But the poor are also an excellent source of data about the form of CAA programs--how well and how appropriately they are conducted.

In this respect the CAP Field Representative can be a great help to the Board, as can consultants and others who have conducted reviews or evaluations of the CAA. OEO has come to be just as concerned with the effective administration of anti-poverty programs as it is with the content of those programs. So the Field Representative and his District Supervisor, and other OEO specialists like the Civil Rights Coordinator, the Head Start chief, and the Training Officer, all may have information and suggestions to contribute to evaluations conducted by the Board.

Finally, there is the judgment of the individual members of the Board. Evaluation is not an annual exercise, it is an on-going responsibility of every Board member. Every member then, should be continually checking with his constituents, with the CAA top staff, and with target area residents to measure the value and effectiveness of CAA programs. When formal evaluations are performed by the Board, each member will have a backlog of information and experience to add to the testimony of the poor and the reports from OEO, so that his judgment will be an informed one and his recommendations will be on target.

Many experts believe that the best evaluation is self-evaluation, because what is learned in the course of a critical self-evaluation can be more easily translated into improved programs. That is one reason why the Board, as part of its evaluation function,

should require resident participation in CAA self-evaluations, just as it does in overall evaluations which the Board itself conducts or which others conduct.

3. Facilitating. A function closely related to evaluation is facilitation. This means helping the CAA and its staff to accomplish the goals the Board has set. And the more the Board learns about the CAA and its problems through evaluation, the better able the Board will be to help the CAA overcome problems. As one example of facilitating CAA action, let's consider how a Board might handle the issues raised by unsolicited evaluations.

Unsolicited evaluations, like tumors, may be malignant or benign. Some malignant criticisms may take the form of scathing denunciations of the CAA and its programs--perhaps from a racist organization or an irresponsible group of militants. While these "evaluations" may have some merit, they are nearly always impossible to deal with because of the way they are presented. But the Board still has a role--that of facilitating CAA action by "taking the heat" and shielding the CAA staff from the full brunt of the criticism. If the staff has to spend its time defending itself or explaining its programs to unreasonable critics, it can't get on with the work of the CAA.

So the Board very clearly has a shielding role to play, taking upon itself the responsibility of protecting the staff from unwarranted criticism and freeing the staff to work on the programs the Board has prescribed. This does not mean that the staff should never be criticized--only that criticism should be constructive and should not be allowed to undo the progress that has already been made.

Another, more common example of facilitation is securing assistance for the CAA and its staff. This is the positive side of facilitation--not sharing the blame, but backing up the staff in another way: by getting them what they need to do the job. If the CAA needs paint for self-help housing activities, the local government representative on the Board may be able to persuade the public works department to contribute the paint. If staff morale needs improvement, the Board might institute an employee awards program, or persuade the local newspaper to run a series of feature stories on individual CAA employees.

The facilitating function of a Board entails a wide range of activities aimed at providing the staff with the physical and emotional wherewithal to accomplish the CAA's goals. Another important dimension of that function is marshalling support for

CAA programs. It is very difficult to act in isolation--the CAA employees need to know that they are not alone, that there are others in the community who support what they are doing. To the extent that the Board can bring that support out into the open, to that extent can the CAA staff be expected to improve its performance.

4. Leading. The one Board function that has been talked about throughout this chapter, but not named until now, is "leadership." All of the other functions described here culminate in one central Board responsibility--to provide leadership to the CAA and its staff, to the residents of the target area, and to the whole community.

A great deal is subsumed under the heading of leadership, from planning the overall goals of the CAA to providing for day-to-day leadership in the organization: hiring (or firing) the executive director. But the essential leadership responsibility with which each Board member is charged is simply showing the way. This again is a personal responsibility, to conduct oneself according to the principles of the anti-poverty mission. In short, Board members must practice what they preach.

E. Powers of a CAA Board

Just as the Board is responsible for facilitating CAA action--for making it possible for the staff to do its job--so OEO is responsible for making it possible for the Board to do its job. Consequently, the Board has been given rather extensive power to go along with its responsibilities. Community Action Memo 81, reprinted in "Organizing Communities for Action" lists these powers. The minimum powers of a Board are listed here just as they are stated in the memo.

CAA Boards have these powers:

- "(i) Appointment of the staff director of the CAA.
- (ii) Determination, subject to OEO regulations and policies, of major personnel, fiscal and program policies.
- (iii) Determination of overall program plans and priorities.
- (iv) Final approval of all program proposals and budgets.
- (v) Enforcement of compliance with all conditions of OEO grants.
- (vi) Determination, subject to OEO regulations and policies, of rules of procedure for the governing board or governing officials.
- (vii) Selection of the offices and executive committee (if any) of the governing board or governing officials."

These refer specifically to governing boards. Administering boards have other powers, which are spelled out in CA Memo 81.

VII. ORGANIZING A CAA BOARD TO PERFORM ITS FUNCTIONS

The CAA Board, like any board of directors, needs some kind of organization to efficiently accomplish its many responsibilities. Typically this division of labor results in the establishment of offices and committees. Offices are created to exercise the Board's authority and to handle the body's own administrative matters--keeping records, conducting meetings, accounting for money, and so on. Committees are created as a way of getting work done, distributing the workload fairly among the members. This section will just briefly describe offices and committees, because other chapters will go into them in greater detail.

A. Offices

Each Board has one top office. The holder of that office is the Chairman, who is elected by the other members to be the chief executive officer of the Board, and to conduct (moderate) its meetings.

Other offices are established to handle certain important Board functions. There is the office of Vice-Chairman, who assists the Chairman and fills in for him in his absence, the Secretary, who keeps the minutes and the corporate records for the Board, and the Treasurer, who is responsible for the financial affairs of the Board. These are the typical Board offices, though some Boards may wish to have both a Recording and a Corresponding Secretary, or more Vice-Chairmen, or a Parliamentarian or Sergeant-at-Arms.

B. Committees

There is one committee that falls somewhere in between offices (for administration) and other committees (for getting work done). That is the Executive Committee, which has an expediting (administrative) function, but which is organized like a committee. The Executive Committee is a small group of Board members who are appointed to meet and perform certain limited functions on behalf of the entire Board in the time between regular Board meetings.

Other committees are clearly concerned with the performance of specific Board functions. They may be called Finance Committee, Personnel Committee, Planning Committee, and similar descriptive names. They do the preliminary work on matters which come within their jurisdiction, and present their recommendations to the full Board so that each member is not required to go into every issue in great detail.

The committees mentioned above are usually "standing committees," committees that have a permanent status. Other committees, called "special" committees, are appointed for a particular job that is not expected to go on forever. For example, a Board will always need a Finance Committee because it will always have budgets to approve, tax returns to file, accounts to maintain, and the like. But the Board may not always need a special Committee on the Draft, which is formed to study the effects of the draft on low-income youth in the community, and then disbands after it makes its final report and recommendations to the Board.

There is another kind of committee which is also helpful to a Board in conducting its business. This kind of committee is called an "advisory" committee, and it is composed of experts or concerned persons who give advice to the Board. Many large commercial boards have established advisory committees to help them make very technical or very difficult decisions. Similarly, a CAA Board may find it very useful to establish an advisory committee of experts in each target area neighborhood. The experts, of course, are people who live there. Or it may be useful to empanel an advisory committee of doctors and nurses to counsel the Board on the need for a comprehensive health services program.

Each office created by the Board, and each committee that the Board appoints has a share of the Board's total responsibilities. For that reason every Board member should be very sure that the committee's responsibilities are clearly spelled out, and that the function or functions the committee is charged with are well understood by the chairman and members of the committee.

So it is apparent that the Board has the same need for organization that we have already said the CAA itself has. And in that respect the Board has a dual responsibility: to see that the CAA is properly organized, and to see that it is itself well-organized.

VIII. INTERNAL CHARACTERISTICS OF A CAA BOARD

We have viewed the CAA Board from a variety of perspectives....from the points of view of other boards of directors, of the Economic Opportunity Act and OEO regulations, and of society and the local community. There is one remaining way in which a Board should be viewed that is of surpassing importance to the members of the Board--that is as a social system, a group of men and women who have come together for a special purpose.

Over the years, through extensive and painstaking research, social scientists have learned a great deal about groups--all groups--and how they operate. While it is not possible to recount here all that has been learned about group behavior, there is one central concept that all Board members should be familiar with. It involves the kinds of functions that group members serve (the roles that are acted out in groups) and the consequences these functions have for the whole group.

This brief review of what is known about group processes may result for some Board members in reduced frustration, and for others in increased effectiveness. But more importantly, all Board members, with these few concepts in mind, will be better able to understand why Board meetings go the way they do, and perhaps how they can be improved.

There are two kinds of functions that individuals serve when they are in a group: task functions aimed at accomplishing the work goals of the group; and group maintenance functions which keep the group operating and together. For example, most Boards have at least one member who is all business--he seldom smiles, becomes impatient at every digression, doesn't mind interrupting others because he knows he's there to work, not to talk. And most Boards also will have at least one member who is always inviting a shy member to express an opinion, or who regularly tries to summarize the discussion, or reminds the Board that they're off the subject. The first member, stern and business-like, is concerned with task functions, the second with group maintenance functions.

A. Task Functions

To illustrate, several typical task functions are listed below:

- Initiating. Suggesting a new idea, a new way of looking at a problem, or a new activity.
- Seeking useful information or opinions. Requesting facts, asking how others feel about an issue, asking for ideas or values.
- Giving useful information or opinions. Offering facts, stating a belief, making suggestions.

- Clarifying. Probing for another member's real meaning, defining terms, restating what has been said, enlarging on issues before the Board, or stating an issue clearly.
- Summarizing. Reviewing the arguments of several members, bringing related ideas together, restating suggestions of others.
- Consensus testing. Checking to see if the group is ready to decide--sending up a "trial balloon."

These are some of the functions that are aimed at accomplishing the work goals of a group. In many Boards, many of these functions will be acted out by the Chairman as he conducts the meeting, and he will be helped by the other officers and committee chairmen. But it is the responsibility of every Board member to see to it that discussion moves along smoothly and is effectively directed toward action or decision.

As an aside here, it is worth noting briefly that despite the official election of a Chairman, there may well be other "leaders" on the Board. One thing that is common to all groups is the emergence of "informal" leaders. An informal leader may be a very persuasive or intelligent or likable person, whom the others look to naturally for advice or encouragement. Or an informal leader may be someone--a lawyer for instance--who has a natural leadership role in discussing a particular issue about which he has expertise. Informal leaders need not be a threat to the Chairman or any other member. Often they emerge because, in certain circumstances at least, they are best qualified to lead. Very often these are the people who most strongly manifest the task functions described above, or the group maintenance functions which are outlined below.

B. Group Maintenance Functions

Group maintenance functions tend to support the group, keep it together and its members happy, and facilitate individual participation. These are some examples of typical group maintenance functions:

- Harmonizing. Compromising, reconciling disagreements, getting other members to explore their differences.
- Gate keeping. Inviting others to talk, suggesting time limits or other procedures to permit wider participation, keeping the conversation moving.
- Encouraging. Being friendly, warm, responsive through words or facial expression, agreeing with others.

- Following. Going along with the group, being a good listener, showing others that they have been heard.
- Standard setting. Testing the group's attitude toward its procedures, suggesting alternative procedures, stating values or ethics, supporting group standards.

This brief catalog illustrates the kind of behavior in a group that is called maintenance, or group building. The importance of these functions lies in the fact that a group must be a healthy, cohesive, satisfied collection of individuals if it is to be effective. These functions contribute to the well-being of the group and its members.

One other point that should be made here is that there may occasionally be some conflict between group maintenance and task functions. Some Board members may be extremely anxious to decide on an issue, for example, while other members feel the need to test the sentiment of the whole group, or make sure that a shy member has a chance to speak first. When that happens a Board may be stalemated until it realizes that certain maintenance functions, like assuring the emotional comfort of key members, must be taken care of first.

A common illustration of this phenomenon is the jovial, good-natured bantering that often takes place before a Board gets down to business. The members are re-building their group; exchanging friendly remarks and making polite conversation to enable them to work together and to trust each other during the meeting. It is a way of easing into a situation in which feelings may actually run high, but in which no one wants "hard feelings" afterward. Those initial pleasantries are a classic example of group maintenance, and a very healthy sign.

IX. SUMMARY

This chapter began with a description of the various Boards prescribed by law. It is fitting for it to close with a few words about Board members, for that is the route we have travelled in these pages, from the legal responsibilities to the social, the functional, and finally the personal responsibilities of Board members.

In discussing boards of directors in general we noted that membership on a board is a source of prestige and influence. That is true of CAA Boards as well, and in many ways more true. A CAA Board member is a key person in the War on Poverty, a representative of groups or an institution, a person who has accepted heavy legal and social responsibilities.

The work of CAA Board members is paid labor, but the payment is not in the form of cash (as many other organizations pay their board members) but in a far more important form: psychic income. Psychic income means satisfaction, the satisfaction that comes with being influential in the community, with being respected by one's constituency, and finally with seeing one's labor begin to bear fruit as the crushing burden of poverty is slowly, painstakingly lifted from the shoulders of its victims. That is a Board member's compensation.



Buckstead

VOL II

A TRAINER'S MANUAL

FOR

COMMUNITY ACTION AGENCY BOARDS

Discussion Draft

OFFICE OF ECONOMIC OPPORTUNITY

August 1969

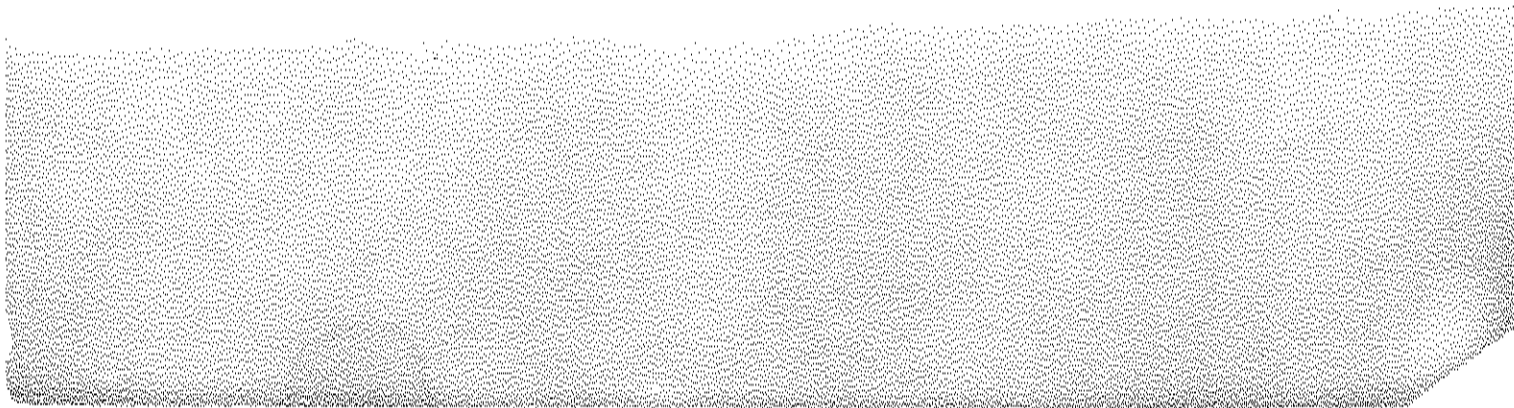


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TRAINING METHODOLOGY

I. Introduction

If the sequence of the board training has been followed up to this point, the board by now will have received training on the concept, objectives, and roles of a community action agency. In this, the first chapter of Part II, there is a shift in emphasis to the concept, objectives, and roles of a CAA board itself.

Most likely there will be more resistance to objectives in this realm since both individuals and groups find it more difficult to analyze themselves and change their own patterns of behavior than to analyze others and consider how they should change. Nonetheless, the most critical board training needs are dealt with in Part II. This chapter covers the relationships both within and between a board and other groups (such as the community it serves and the CAA staff).

Devoting an entire chapter to the powers and responsibilities of a board may seem unnecessary. Aren't most board members aware of their powers and responsibilities? On the contrary, it has been found that many board members lack these basic understandings. There are a number of explanations to account for this situation. In the first place, CAA boards are a unique and fairly recent phenomena. Most board members have not had experience of a similar nature to draw upon in developing their understanding of their board responsibilities. Furthermore, they are unpaid volunteers, many of whom have other duties which offer much higher personal gains for them. This being the case, they are not necessarily inclined to devote extensive time and effort to their board responsibilities. Finally, board membership has a high turnover rate so that even if the original members were prepared to meet their board responsibilities, present members often are not. For example, in a number of instances it has been found that some board members are unaware

that they have the responsibility to hire the executive director and the power to fire him.

Training boards in their basic powers and responsibilities can have a significant impact on the image they have of themselves and consequently on their success in executing community action programs in their communities.

II. Overall Objectives

The overall objective of this chapter then, is for boards to develop a capacity and will to provide policy direction to a CAA by fulfilling specific legal and functional responsibilities. Most boards will require some training in this subject area. The topic A CAA BOARD: ITS POWERS AND RESPONSIBILITIES is an appropriate starting point for moving a board from consideration of the concepts and techniques of community action to developing its own capacities for serving as an effective instigator of community action. It will also aid members in identifying the functions their board needs to meet this task with greater force and zeal. All board members must understand that they are the board of directors of a non-profit corporation, and as such are the ultimate authority of that agency. They further need to understand that they can only exercise this authority as a corporate unit --- that they have authority only as a board, not as individuals. Most basically, they need to know the specific functions for which they are responsible, be able to carry them out, and be committed to carrying them out.

III. Specific Learning Goals

Most of the specific learning goals in this section involve being able to describe the responsibilities and powers of a board and utilizing such powers for the purpose of fulfilling the board's responsibilities. A few typical learning goals for this chapter are described below:

1. WHAT IS A CAA BOARD?

Members will be able to describe the major features of corporate organizations, to list the similarities of a CAA board to a commercial corporation's board, and to list the unique features of a CAA board.

2. WHAT ARE THE BOARD'S LEGAL RESPONSIBILITIES AND POWERS? HOW ARE THESE FULFILLED?

Members will be able to explain the 11 legal responsibilities of a board, described in Chapter I, and from a list of approximately twenty statements, be able to select those in which a board is meeting a legal responsibility and those in which it is not. They will also be able to develop a plan for a board to meet all of its legal responsibilities, and procedures to monitor its performance.

3. WHAT ARE THE FUNCTIONS OF A BOARD? HOW ARE THEY PERFORMED?

Members will be able to describe the role of planning in community action and describe the basic techniques for planning and coordinating programs, initiating new programs, working with the CAA director, increasing resident participation, and mobilizing resources.

4. WHAT IS POLICY MAKING? HOW IS IT DONE?

Members will be able to describe the importance of policy-making by a CAA board, as well as the differences between setting and implementing policy. They will also be able to analyze a typical problem of their CAA and develop an appropriate and clear policy for alleviating this situation.

5. WHAT ARE REPRESENTATION AND EVALUATION? HOW ARE THEY PROVIDED?

Members will be able to describe the four directions (discussed in Part II, Chapter I) of a board's representation functions and give examples of ways their board could provide representation in these four areas.

They will also be able to discuss the purpose of evaluation and list the three major sources of evaluative data (also discussed in Chapter I).

IV. Methodology

LEARNING GOAL # 1: What is a CAA board?

1. Locate a lawyer or professor of law to discuss with the board the corporate form of organization and the responsibilities and powers of corporate boards.
2. After this discussion, divide the board into groups of four or five and give each group 15 minutes to develop a list of ways their board is similar and dissimilar to commercial boards.
3. Lead a discussion of the group reports, emphasizing any items they overlooked regarding the powers and unique features of a CAA board.

There are a number of sources available on the duties and responsibilities of CAA boards and advisory groups. You may want to refer to these in preparing for this session. You could also make these available to members who are interested in learning more about this subject. Some of these issuances are:

OEO Manual Issuances

- 6108 - Head Start Child Development Programs - contains a description of the duties and responsibilities of Head Start Policy Advisory Groups;
- 6410-1 CAP Management Guide - CAA Organization - contains a section on the "Authority and Responsibility of the Board."

CAA Memos

- 81 The Organization of Community Action Agency Boards and Committees Under the 1967 Amendments to the Economic Opportunity Act. (Sec. 211). The authoritative source on CAA governing and administering boards. This memo is contained in "Organizing Communities for Action," OEO, Feb. 1968.

Other Issuances

- "Guidelines, OEO Healthright Programs" - page 6 takes up the powers and responsibilities of Neighborhood Health Councils;
- "Guidelines, Upward Bound" - pp. 11-13 covers the powers and responsibilities of Upward Bound Public Advisory Committees.

LEARNING GOAL #2: What are the board's legal responsibilities? How are these fulfilled?

This goal can be conveniently combined with Goal #1. The same lawyer, for example, could give a brief lecture on the legal responsibilities of boards. You could follow this by leading a discussion on the special responsibilities of CAA boards.

A more comprehensive method for accomplishing Learning Goal #2 could include the following steps:

1. Give the board members a list of approximately 20 statements, all of which are examples of actions boards could take in meeting their legal responsibilities. Ask members to check those actions which they feel boards should carry out. (Don't tell them all of the actions are appropriate actions for boards to take.)
2. Now lead a discussion on the legal responsibilities of a board using the checklist as a frame of reference. Give special attention to those areas where many board members do not realize the extent of their responsibilities. Encourage the members to compare their board's operations with its legal responsibilities. Develop a list of actions the board is not performing at all or incompletely.
3. Divide the board into small groups of four or five and assign each group the task of devising a plan by which the board could better meet its legal responsibilities.

LEARNING GOAL #3: What are the functions of a board? How are they performed?

1. Begin by showing the OEO slide presentation Crisis in the Night. Use the Discussion Leader's Guide to lead a discussion on the implications of its message for their board.
2. Next, ask the members for their views on the functions of a CAA board. For example, you could say "What are the functions of a CAA board? I don't think there is one complete definition of a CAA board functions, so let's begin by taking five minutes to list our ideas on the actions a CAA board should take to combat poverty." Write their ideas on a blackboard or flipchart.
3. Conduct the exercises, "Functions of a Board." Step one will have prompted the members to think about the functions of a board. This exercise will lead them to consider many activities, which were probably not included in their initial ideas, and to make discriminations between functions they should not perform as well as those they should.

You could state, "I have a checklist on the functions of a board which should help us in our discussion. Let's take five minutes to complete it. It is simply a checklist for you to keep." Go through it quickly checking "Yes" ☒ for things you think your board should do and "No" ☒ for things you think it should not.

4. Lead a discussion on the functions of a CAA board. First read off the standard answers so they can check their list. Since the check list is rather general, they will have many questions about the standard answers. This should provide a lively discussion and considerable soul-searching by board members on the functions of their board.

Make sure you are well acquainted with this chapter's section on the Functions of a Board - and the CAP Management Guide: CAA Organization (OEO Guidance 6410-1).

5. Summarize the session with a few comments which emphasize the following three points:
- a. A CAA board is a policy-making and policy-directing body.
 - b. A CAA board has adequate powers and authority for ensuring that its policies are effectively implemented.
 - c. This power and authority is exercised by the board as a unit; no one individual or group on the board possesses these powers.

FUNCTIONS OF A CAA BOARD

TRAINEE'S COPY

Instructions

This exercise is designed to focus attention on functions of a CAA board so you can then discuss and analyze the role of your board in community action. It is unlikely that board members will give the same responses, or all agree on the responses. This exercise simply lists things a board might do. After each statement check ☒ "Yes", if you feel it is probably something you board should do, and ☒ "No", if you think it is something your board shouldn't do.

YOUR CAA BOARD SHOULD:

	YES	NO
1. Identify needs of the community.		
2. Engage in joint programs with other agencies.		
3. Participate in internal management of the CAA.		
4. Appoint a Personnel Committee to hire and fire staff.		
5. Evaluate your CAA's program accomplishments.		
6. Implement programs to develop jobs for poor people.		
7. Prepare statements of your agency's functions.		

8. Arrange for local residents to present their views. _____
9. Obtain technical consultant assistance from OEO. _____
10. Give the director his authority. _____
11. Have the chairman give instructions to the CAA director. _____
12. Select the CAA staff. _____
13. Survey needs of the poor. _____
14. Formulate strategies for community action. _____
15. Have some agency units report to the board. _____
16. Plan the administration of projects. _____
17. Have board members represent constituents. _____
18. Develop personnel and fiscal policies. _____
19. Develop overall mission and goals of agency. _____
20. Ensure your agency eliminates poverty. _____
21. Hire the executive director. _____
22. Plan for agency programs to spin-off to other agencies. _____
23. Oversee work of delegate agencies. _____

- 24. Identify and mobilize community resources. _____
- 25. Become a firmly established community institution. _____
- 26. Serve as a forum to bring groups together. _____
- 27. Meet only to review projects and progress _____
- 28. Develop effective working committees. _____
- 29. Primarily provide services for the poor. _____
- 30. Establish a working committee for planning. _____
- 31. Obtain private financial support for the CAA. _____
- 32. Answer to OEO field representative. _____
- 33. Work on the grant application. _____

FUNCTIONS OF CAA BOARD MASTER COPY OF STANDARD ANSWERS

Note to Trainer

The following list of questions is identical to those listed on the Functions of a CAA Board exercise. However, for each question the answer column is checked either "Yes" ☒ or "No" ☒. These checks represent how each question is usually answered. They are not prescribed or "right" answers since each question is general and subject to a number of interpretations. See CAP Management Guide: CAA Organization (OEO Guidance 6410-1) ~~for~~ a discussion of each subject area.

The exercise is designed to stimulate discussion and prompt boards to evaluate their practices. For questions which state a desirable objective or necessary task ask: to what extent should we do this ourselves and to what extent should we delegate it to the CAA staff?

YOUR CAA BOARD SHOULD:

	YES	NO
1. Identify needs of the community.	X	
2. Engage in joint programs with other agencies.	X	
3. Participate in internal management of the CAA.		X
4. Appoint a Personnel Committee to hire and fire staff.	X	

	YES	NO
5. Evaluate your CAA's program accomplishments.	X	
6. Implement programs to develop jobs for low-income people.		X
7. Prepare statements of your agency's functions.		X
8. Arrange for local residents to present their views.	X	
9. Obtain technical consultant assistance from OEO.	X	
10. Give the director his authority.	X	
11. Have the chairman give instructions to the CAA director.		X
12. Select the CAA staff.		X
13. Survey needs of the low-income.	X	
14. Formulate strategies for community action.	X	
15. Have some of the CAA's units report to the board.		X
16. Plan the administration of projects.		X
17. Have members represent constituents on the board.	X	
18. Develop overall mission and goals of agency.	X	
19. Develop personnel and fiscal policies.	X	
20. Hire the executive director.	X	

	YES	NO
21. Ensure your agency eliminates poverty.		X
22. Plan for agency programs to spin-off to other agencies.	X	
23. Oversee work of delegate agencies.	X	
24. Identify and mobilize community resources	X	
25. Become a firmly established community institution.		X
26. Serve as a forum to bring groups together.	X	
27. Meet only to review projects and progress.		X
28. Develop effective working committees.	X	
29. Primarily provide services for the low-income.		X
30. Establish a working committee for planning.	X	
31. Obtain private financial support for the CAA.	X	
32. Answer to CEO field representative.		X
33. Work on the grant application.	X	

LEARNING GOAL #4: What is policy-making?
How is it done?

1. Whatever techniques you use to accomplish this objective, make sure that board members grasp the fact that policy-making involves giving general directions but not implementing them. Point out that policies are general guides which should shape day-to-day decisions and operations of the CAA staff. You might start by a brief talk on the basic criteria of policy-making, emphasizing that good policies are (1) clear and capable of being implemented, (2) contain no inherent contradictions, and (3) contribute to the goals of community action in a fair and just manner.
2. Select a basic CAA operations problem faced by the board and have small groups develop policies for meeting this problem. For example, the board may have little information on the operation of delegate agencies so that it is unable to assess their effectiveness and place in the community's overall attack on poverty.
3. Encourage the board to adopt the policy and set up machinery to communicate it to the CAA director and staff (after each group reports on its recommendations).
4. Make use of a consultant since this is an ideal topic for one. Many universities have professors who are skilled in conducting participant-centered learning sessions on policy-making. There are also a number of texts which discuss policy-making, such as Koontz and O'Donnell, Principles of Management.

LEARNING GOAL #5: What are "representation" and "evaluation?" How are they provided?

This entire chapter has dealt with fundamentals which are covered more extensively in other portions of the manual. Although a great deal of time could be spent on Learning Goal #5, it is probably best, at this point, simply to help the members obtain a working understanding of representation and evaluation. This goal could be met through a short session like the one outlined below:

1. Give a brief lecture on what is meant by the functions of representation, evaluation and facilitation. Include comments on aspects of the board's operations which you recognize as being related to these functions so they can think in terms of the effectiveness of their board's performance in these areas.
2. Divide the board into three groups. Have each group consider all of the functions and develop a proposal for improving the board's performance in these functions. Advise them to charge one member of their group with the responsibility of selling their proposal to the total board. Tell them this is a contest to see which group can develop the best proposal.
3. Finally, have the representatives of each group attempt to sell their proposal to the board in a question and answer session. Conclude the session with a voice vote to pick the best proposal presented; this group is the contest winner.

V. Evaluation

The success members have in the exercises in this section will do much to indicate the extent the objectives have been realized. One technique would be to have the members complete the Functions of a Board exercise at the end of the session. The results of this could be compared with Learning Goal #3. Another technique is to open the next training session with a discussion period in which you ask such questions as: What are the functions of a CAA board? What is policy-making? Since the Powers and Responsibilities of a board involves very basic training goals which all boards should accomplish, if you detect shortcomings find ways to meet these objectives in other training sessions and in day-to-day consultation with board members.

BIBLIOGRAPHY FOR "THE CAA BOARD - ITS POWERS
AND RESPONSIBILITIES"

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- 42-A, Service by OEO Employees and Other Federal Employees with Grantees and Delegate Agencies.
- 82, Compliance with Board Requirements of Section 211: CAP Form 75.
- 9-A, Revised Policy on funding of independent community action programs, appeals procedure, and neighborhood-based CAAs - Special Appeals Procedure.

Instructions:

- 6404-1, Proceedings of CAA Boards (draft).

Guidance:

- 6410-1, CAA Organization, CAP Management Guide.

INTERNAL DYNAMICS OF THE CAA BOARD

(Part II, Chapter 10)

INTERNAL DYNAMICS OF THE CAA BOARD

(Part II, Chapter 10)

- I. INTRODUCTION
- II. THE SETTING FOR OFFICIAL BOARD ACTION
 - A. Informal Group Norms
 - B. Committees
 - C. Majority Rule
- III. THE INDIVIDUAL BOARD MEMBER
 - A. The Role of a Board Member
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 - C. The Responsibilities of a Board Member
 - D. Limitations on a Board Member's Effectiveness
- IV. DEVELOPING PROPOSALS FOR THE BOARD
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 - B. The Support Stage
 - C. The Enactment Stage
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- V. BOARD MEETING PARTICIPATION
 - A. Strategy
- VI. BOARD OFFICERS AND COMMITTEE CHAIRMEN
 - A. Officers
 - B. Committee Chairmanships
- VII. SUMMARY

I. INTRODUCTION

"It is useless to suggest new ideas or to oppose certain people on the Board, because they have power and steamroll through what they want."

"Every time I try to make a contribution, it gets ignored or changed or defeated."

"Frankly, I wish that we had more opportunity to discuss matters with the elected representatives of the poor. They often have good ideas which fail simply because they aren't well prepared or because they fail to follow through."

"I'm ashamed to face the people who elected me to the Board since I can't seem to get anything done."

II. THE SETTING FOR OFFICIAL BOARD ACTION

Being an effective Board member is basically no different than being an effective member of any other group. The elements of effective group participation -- dedication to the aims of the group, persuasiveness, patience, hard work, and leadership -- are the elements required for effectiveness on a Board. For the most part these characteristics can be acquired (and they can all be sharpened) through training and practice. It is important first to have an understanding of the setting in which the Board's actions are taken.

The Board acts officially only in a legally constituted meeting. What that means is that it takes the agreement of a majority of the members present to make a decision on any matter that comes before the Board, and that the agreement must be reached in accordance with the rules and procedures the Board has approved. The Board's formal rules are adopted as an aid to the efficient handling of business. They are meant to be facilitators of action, not obstacles to accomplishment.

CAA Boards typically have a very heavy load of business to transact, making it essential that they develop efficient methods of operation. But efficiency must be matched by accuracy and responsiveness... the Board is the CAA's highest authority, and in most cases the community's most approachable representative body. It has a higher purpose than mere efficiency; it must be truly a vehicle for the improvement of local conditions.

A. Informal Group Norms

Before describing in more detail some of the concepts -- like majority rule -- that underlie the procedures by which a Board operates, it would be well to consider briefly some of the informal practices that naturally develop in any formal group. The Congress of the United States, as a deliberative body of

nearly three centuries' duration, has developed a very complex set of informal procedures. Members are expected to extend certain courtesies to each other, newly-elected members are seldom allowed much real authority, the disabilities of certain patriarchs enfeebled by age are ignored, and so on. Each of the hundreds of informal "customs" once had a practical value, and many still do.

Smaller groups often develop quite as complicated a set of "group norms," as the social scientists call them. Certain members may not be challenged, for example, or certain subjects may be taboo, or the group may tacitly recognize that member A doesn't get along with member C, so they're never assigned to the same committee. These group norms are almost never written down, nor are they even spoken of very often. But everyone knows they're there, and the norms have a real impact on the way a group handles its business.

The same is true of Boards: in addition to the by-laws and Robert's Rules of Order, the behavior of Board members is also controlled by group norms developed among the members. That is one reason why new members sometimes feel "out of it" at first -- they haven't yet caught on to the informal practices to which everyone has given unspoken consent, and which quickly grow into a very real form of Board tradition. The subtle influence of such factors as group norms will be noted in connection with other topics in this chapter. Let's return now to a review of the concepts behind the formal Board procedures.

B. Committees

The importance of committee meetings cannot be over-emphasized. Committee meetings are the setting for exploring a specific subject or point of interest in the depth which its importance warrants. The principle of efficiency is usually much less important to a committee than it is to the Board. Any additional meetings which may be needed are more easily scheduled, and involve a much smaller investment of the Board's available man-hours. Committees meet to prepare recommendations for the consideration of the whole Board. The committee therefore plays an important advisory role in the total context in which the Board officially acts, having as it does the dual opportunities of shaping the language of a proposal and influencing its passage. The committee's recommendations are likely to be enacted by the Board if it has confidence that the committee has done its work well. The committee members, being the ones who have studied the issue most closely, are likely to be regarded as "experts" on the subject by the rest of the Board, and consequently their views may be given more weight.

Equally important is the situation in which the committee is authorized to act as an agent of the Board. Although this authority is principally extended to the Executive Committee, other committees are occasionally authorized to act as an agent of the Board under specific circumstances which the Board defines. The importance of committee work under such circumstances is obvious. Another feature of committees, of course, is the requirement that each committee maintain the full Board's "balance of power" by having at least one-third of the members be representatives of the poor.

Committee meetings are usually less formal than board meetings. They offer an opportunity for members to develop an "in-depth" knowledge of specific CAA programs and operations. Generally, it is in committee meetings that much of the "action" will be found, and where the opportunity is greatest to directly involve community residents who have an interest in the subject of the meeting.

C. Majority Rule

A final element of the setting in which the Board operates is the concept of majority rule. Basically, majority rule is an organizational convenience that grew out of the recognition that members of a group will very seldom agree unanimously on anything; but that in their desire to act together they would be willing to abide by the views of most of the members.

A major implication of majority rule is that the minority, after all the agreed upon procedures have been followed, may not stand in the way of the decision. That does not mean that a minority faction ever has to agree with the majority. A vote can't be expected to change someone's mind. But it does mean that generally the minority is expected to accept the Board's decision, and refrain from actions that would undermine or discredit it.

Still, the opposition is free to continue efforts to establish its own position in a constructive manner. Robert's Rules of Order, for example, provide at least two remedies for the minority: a motion to reconsider a previous motion; and a motion to rescind or repeal a previous motion. It is also true that in some cases, a member of a group like a CAA Board has resigned from the group in order to be free to oppose the majority decision, organize forces against it, and so on. An extreme action like that is usually limited to very volatile issues about which people feel very strongly. The consequence, of course, is that one can no longer participate in future decisions of the group.

It is important to remember that acceding to the wishes of the majority does not constitute a "sellout" for the minority. The majority rule is a reasonable and workable way to channel the opinions on all sides of an issue toward a decision point, after which the different sides re-unite to support their common decision.

On certain important procedural issues, the Board will usually require more than a simple majority to make a decision. On a motion to suspend the Board's own rules, for example, agreement of two-thirds of those present is required.

The Board can never afford to be stalemated on operational issues since both services and jobs depend on their action. A decision is required, even when that decision may mean a compromise on one or more sides of the issue. Supporters of a particular point of view may find that they can only gain the support they need by recognizing the validity of an objection to their plan and modifying it; or by agreeing to support some other individual or group on a different matter. Seeking the required solution for operational problems can involve quite a bit of "trading" of interests between individuals and groups.

Consider the simple mathematics of obtaining a majority vote. It is not always necessary to gain the support of 51% of the entire Board membership. The majority necessary for a decision by the Board is figured on the basis of a quorum (50% of the members) which is the minimum number required at a meeting. It is seldom that all members attend every meeting, and this affects a majority vote in three ways, which can be illustrated by these examples:

Example 1. The CAA Board has 30 members, but at most meetings only about 17 attend. There are ten Board members who think alike on most issues. When those ten are all present at one meeting, they will probably constitute a majority, and their views will prevail on all issues considered by the Board at that meeting. (There are ways for the minority at that meeting to inhibit the ten members who think alike. Those methods are discussed in the section of this chapter called "Some Thoughts on Strategy.")

Example 2. Twenty-seven members of that same Board agree on an issue that they know is scheduled to come up at the meeting. But they don't attend the meeting, and when the vote is taken their position is defeated.

Example 3. Another CAA has a 36 member Board. The quorum needed to hold an official meeting is 18 (50%). So, for a 36 member Board, the minimum number of votes needed to pass an item can be as low as nine (if the chairman doesn't vote and cause a tie).

These examples demonstrate the importance of attending and participating in Board meetings, and they also illustrate the value of pre-meeting planning - making sure that all those who feel as you do about an issue that is to be voted on will attend the meeting. The examples also show how the balanced membership that has been built into CAA Boards can be upset at any particular meeting.

But remember that an action taken by a small group at one meeting might be revised or undone at another meeting, when different members are present. That kind of see-sawing from meeting to meeting can cause serious damage to the Board, and argues for a constant effort to get every member to attend every meeting.

A majority of members in agreement is the basic workable arrangement for making Board decisions. A higher degree of agreement is of course preferable, not only because it will help the Board to operate more harmoniously, but also because it indicates continued Board support for the decision.

III. THE INDIVIDUAL BOARD MEMBER

"I don't know whether I should vote on a matter according to my conscience or the things my neighbors think are important."

"The chairman runs the meeting so swiftly, I can't tell whether he is doing a good job or whether he is putting something over on us all."

"I don't really know what my responsibilities as a Board member are."

"I have tried to make a contribution once or twice, but my point was defeated. The whole Board is just a rubber stamp for the Executive Director."

Each member of a CAA Board has a number of rights, some very important responsibilities, and even some limitations on his or her effectiveness. A full understanding of these matters is essential to effective participation in the business of the Board.

A. The Role of a Board Member

Each of the members of the CAA Board is expected to represent a specific interest. That may mean that the Board member will be instructed by his constituents to act and vote in certain ways. Some members will be instructed to check with the groups they represent on all issues which come before the Board. When that is the case, the Board is genuinely "representational." The only practical disadvantage of this method of representation is that it takes a great deal of time and energy to constantly seek the constituency's advice. Not all Board members, of course, are required to represent their constituents in this manner.

A Board member is responsible for informing his constituency of all major items scheduled to come before the Board, and they should be informed in sufficient time for them to react if they wish. The group or institution which is represented should expect the Board

member to explain his votes, the reasons behind his votes, the options available, and the possibilities for subsequent action. What is often most important, the member should explain his votes in the context of the debates, the pressures, and the reasoning that went on in the Board at the time. To fully understand the consequences of a vote, often the members' constituents will need to know the atmosphere in which the vote was taken and the trade-offs that were made, the good or ill will that was created, and the like.

The representational plan which the Economic Opportunity Act sets out for CAA Boards calls for the specific inclusion of three important local interests. Each of these interests, represented on the Board in approximately equal proportions, may have differing perspectives on the social problems with which the CAA is concerned.

- Public officials may tend to focus their attention on making CAA activities conform to certain standards of efficiency; bringing the expenditure of CAA funds under at least the partial influence of the established local political processes; and coordinating CAA activities with other activities of local government (Model Cities, urban renewal, public health, etc.).
- Representatives of the poor might tend to focus their attention on insuring that CAA activities are conducted in direct response to the needs of their constituents, as seen by their constituents. This may mean that meaningful jobs are created for the persons and areas which they represent; that their interests and concerns are an integral part of the decision-making processes about CAA activities; that the greatest number of projects and services is obtained; and that the services which are provided are meaningful to the lives of the recipients.
- As a group, the representatives of other relevant community interests on the CAA Board may have a much wider range of interests including all of those mentioned above. They may also include the concern for employment in business and commerce, application of established standards of professional practice to CAA activities, and the simple broadening of the base of services made available to the community.

The effective CAA Board will have all of these interests, and will surely include a wide range of other interests within its own membership. Each of these interests must eventually be involved if there is to be any lasting progress toward eliminating the causes of poverty within the community served by the CAA.

It would be unrealistic to suggest that there are not some very clear areas of potential conflict in the interests briefly sketched above. There is no natural harmony to be expected when persons who look at problems and opportunities with such widely variant interests are brought together to guide the course of an agency. However, many of the conflicts which will arise in the CAA Board simply reflect the inequities and unsolved problems of the community which produced and perpetuate the problems of poverty. To be ultimately effective, the Board should recognize that all of these interests must be represented if the CAA goals are to be reached.

B. The Rights of a Board Member

Each member of the Board has, by virtue of the fact that he is a member, a number of very important rights. Fundamentally, each member is entitled to participate in the Board's deliberations and actions to the same extent as every other member. This is modified only for officers of the Board and committee chairmen, all of whom are members who are given some extra authority by the other Board members.

The basic rights of each Board member include at least the following:

- the right to bring any concern about CAA activities to the attention of the whole Board, whether the concern originates in the group the member represents, or is his own concern.
- to initiate any relevant new business for the Board's consideration through a motion in a Board or committee meeting.
- to express opinions about issues or proposed items of business before they are placed before the Board for a vote (except in cases where debate has been limited in advance and the member is not recognized during the allotted time).
- to request additional information on any subject under consideration, and to personally question anyone who testifies before the Board, before a vote is called.
- to organize support for or against any matter which is brought before the Board for a vote, either before or during a meeting.
- to be able to obtain a complete and up-to-date list of Board members, and to have their voting records compiled.
- to question or recommend any other matter necessary to effective organization of the Board or conduct of its business.
- to ask the Chairman to clarify the way in which a meeting is being conducted at any time.

- to request that a vote be taken in a particular manner (roll call, hands, voice, or secret ballot).
- to request a summary of the internal policies and procedures which the Board has developed throughout its history.
- to request changes in minutes as printed before they are approved, to make them more accurately reflect what actually happened in the meeting.
- to request that a member's opposition to an item passed by majority vote be noted in minutes.
- to move to defer action on any item of business to a later date.
- to be informed of business scheduled to be considered and conducted at a meeting in sufficient time to allow it to be presented to constituents for their advice before action is required.
- to discuss what has happened or is expected to happen at Board meetings with other Board members, the press, the Executive Director or other CAA staff, neighborhood residents, or any other interested party.
- to marshall forces, within or outside the Board, to support or oppose a measure scheduled for consideration.
- to seek re-consideration, under the rules of the Board, of any measure previously passed.
- to ask to be appointed to a committee the member is interested in. (This is most wisely done before a different appointment is made, since it might not be permissible to refuse an appointment).

To take just one of these rights and explore it in depth, let's consider the matter of requesting a particular committee assignment. A member might have a strong interest in the work of a certain committee, or his constituency may be directly affected by that committee, or he may have special expertise that will help the committee. But there may well be other reasons for requesting assignment to a committee. Certain committees, for example, have slowed down over time, and need to be reformed or re-invigorated. Assignment to such a committee may well result in providing the member with a new, more manageable forum in which to present his idea, and a well-established platform from which to influence the whole Board.

Here another concept of the social scientist may be helpful: the concept of "informal leadership." It is true that committee chairmen are appointed or elected, but every group also has its natural leader, who may be someone other than the chairman. It is not unusual to find a natural leader assuming many of the duties and privileges of the official chairman -- not because he has usurped them -- but because all the other committee members (the chairman included) recognize and welcome his capable leadership.

Hopefully, this discussion of just one of the Board member's rights will illustrate the value and importance of insisting on all of one's rights.

This has been just a partial listing of the rights of a Board member -- but the list is broad enough to suggest the wide range of personal rights each member has. Rights, however, are seldom discussed without some mention of the responsibilities that go with them. The Board member's responsibilities are discussed in detail below, but one overriding responsibility is to see that the rights of all other Board members are extended in full.

C. The Responsibilities of a Board Member

The role and rights of a Board member are matched by responsibilities crucial to the progress of the Board. One primary responsibility is to make every effort to move the CAA toward fulfillment of its promise to the poor. Furthermore, it is legally necessary for the Board to fulfill its operational and program responsibilities, and this is an individual obligation on each Board member. All of the specific responsibilities mentioned below originate from these.

It is hard to overestimate the difficulty of being a fully informed and effective Board member. The Board member must take his task seriously, and spend considerable time and effort in discharging his obligations. And he should expect every other Board member to do the same.

The individual Board member should accept assignments of committee membership or other tasks in a cooperative spirit of doing the best possible job. He should expect that other Board members will accept their assignments in the same spirit. In the absence of assignment to a particular committee, the member should still feel a strong obligation to become more familiar with various CAA activities. He must actively interest himself in CAA matters if he is to be able to fulfill his broad and important responsibilities.

Board members are responsible for seeing to it that the Board receives all the information it needs, when it needs it. Information should come to the Board regularly, to be sure that the CAA is meeting its contractual obligations and any special conditions on its grant. Board members also have to make certain that the CAA is pursuing the policies set by the Board, accomplishing its stated program objectives, and administering its operations effectively and properly. Much of the information comes from regular activity reports on CAA and delegate agency projects, but periodic checks should be made of the accuracy of the reports. Inadequate or incomplete reports, or reports furnished too late for any corrective action to be taken, are not simply a matter to get angry with the staff about; they may indicate a lack of clear direction or supervision on the part of the Board.

Although each Board member represents a specific interest on the Board, there is a clear responsibility to work out solutions to any difficulties which threaten to deadlock the Board. It is the Board, after all, which is legally responsible to OEO for the CAA's performance.

Each Board member is also responsible for being a two way channel of communication between the group or institution he represents, and the full Board. Matters of community concern or matters of concern to the smaller group of constituents should be faithfully brought to the attention of the Board. Conversely, the Board and its actions should be interpreted to the community and to constituents on a regular and systematic basis. Board members have occasionally used their participation on the Board as a way of suggesting that they are "in" on matters of great importance, and assumed a superior attitude toward others. It is true that Board members hold very important, influential positions, but their responsibility is to share their influence with their constituents. Board members should remember their representative roles, and stress the community service side of their position.

Finally, each Board member should continually assess whether the Board is organized adequately to fulfill its role of community leadership. No organizational form will be permanently adequate, and each member should therefore review the present form from time to time. Inability to produce accurate information without the help of the staff, the same issues recurring regularly, lack of action on matters of immediate concern to the poor, and the like, are indications that the Board may be poorly organized. Each Board member should feel the responsibility to propose changes that will correct any organizational problems.

D. Limitations on a Board Member's Effectiveness

The effectiveness of a Board member is measured by three main factors: dedication; group participation skills; and knowledge of local social issues. Very few persons are fully accomplished members when first installed on the Board. Most will need to learn a wide variety of things before they can make their maximum contribution.

The key factor is probably dedication, since a person determined to become an effective contributor to the Board can learn the skills that will help him do it. A dedicated Board member feels that the Board has an important role to play in the life of the community; and he feels that he and those whom he represents are important to the Board.

Skills in group participation are not inborn talents: they are learned. The new member's familiarity with these skills, and his practice in using them, will determine his initial effectiveness on the Board. These skills are fairly easily developed in training exercises and, more importantly, through practice in actual Board meetings. What will determine their ultimate usefulness is the strategies with which they are exercised in meetings.

Of equal importance is knowledge of the Board's purposes, by-laws, procedures, and tradition. A new member needs to know the history of the Board and its committees --how they have operated; which committees tend to be conservative and which ones imaginative, which members are excitable and which never show emotion. Part of this body of knowledge can be found in published by-laws and rules and in the minutes of past meetings. But the rest must be learned through observation and through patient-- though persistent-- participation in Board meetings. It is also helpful, naturally, to talk with others who have been on the Board for some time, to learn from them what was really happening beneath the surface of a meeting.

The final limitation on Board members results from ignorance both of current social problems generally, and of local problems in particular. A Board member needs to know the national social problems and the local ones, and what remedies have been put forth to ease them. This kind of knowledge can also be acquired, but not so easily. Immediate knowledge of local problems is available to the Board from its own membership and its constituencies. This, however, may not be fully representative of the total range of problems which accompany poverty. Those Board members now in their middle years who were poor in their childhood may draw correct assumptions about the poverty which they experienced, but this may have no relevance to present situations.

There is no clearly marked path for gaining relevant knowledge of poverty and the courses of action which may eliminate it, but the members of a Board are obligated to search for it. They need to work out methods for analyzing proposed solutions to well-identified problems, and they need to determine the nature and extent of special problems within the target area. That knowledge -- of local conditions -- is obviously necessary to making appropriate plans to correct the conditions, and to stimulating the voluntary cooperation of the community.

IV. DEVELOPING PROPOSALS FOR THE BOARD

Any member, as we have said, may bring any relevant idea to the attention of the Board. But it is usually not enough to just make a motion or raise a question. To be successful, an idea should be well thought out in advance, well prepared and presented, and then followed-up once it has been approved by the Board. For convenience, the process has been separated into four stages: ideas, support, enactment, and follow-through.

Each of the stages is discussed separately below. It is important, however, to see the process as a whole, because in developing one's strategy for presenting a suggestion or raising a question, it is necessary to reflect on the effects that gathering support, let us say, may have on the follow-through stage. For example, if a proponent of a measure is seeking supporters who will vote favorably at the meeting, he should keep in mind that those same supporters will probably have a say in any amendments to the motion. Furthermore, the supporters may have a strong interest in the measure once it has passed, and will involve themselves in the follow-through stage. The point is that each of the stages is interconnected, and what happens in one stage of developing a proposal may influence other stages.

A. The Idea Stage

Ideas about poverty problems may come from a variety of sources -- persons who are presently living in circumstances defined as poverty; professionals and their writings; area surveys; etc. The development of these ideas into sound plans that the Board can deal with requires a good bit of effort.

The idea should be researched thoroughly-- a function of the planning committee of the Board--and discussed with the widest possible range of persons. This should include neighborhood residents and groups, CAA and delegate agency staff members, experts, and others. Discussions should lead to a rough plan to deal with the problem, which might be based on a "model" program such as those published by OEO. Research should also discover what success others have had in dealing with similar problems, and whether similar efforts have been undertaken locally or discussed previously by the Board.

The knowledge gained from these efforts should help to formulate the idea into a specific plan indicating the size and nature of the problem; the scope and cost of the plan; any predictable pitfalls; and an estimate of the probable consequences of the plan. Depending on the subject matter, a great many other details may need to be worked out. In sum, it is not enough to simply have an idea, all the reasons for it and all its possible ramifications should also be worked out.

B. The Support Stage

The next step is to gain supporters and allies to have the plan approved. The first resource should be other members of the Board. If no particular committee has been involved up to this time, bringing it to the attention of the most appropriate committee might be the first step (if an assessment of its members indicates that it would receive thoughtful consideration). Gaining the individual support of other Board members is an obvious advantage for eventually getting the plan approved. It might be wise to inform the Chairman-- if he can be expected to react favorably-- at the outset, and ask him for advice and guidance. All three: committees, members, and the Chairman; might be approached simultaneously.

Support from sources other than the CAA Board is also advisable for many proposed activities. Potential recipients, residents, and neighbors who might be affected should be contacted when possible to learn their views and attitudes toward the plan. Any organized neighborhood groups which might have an interest in the plan should be contacted and their support solicited. The same goes for both public and private agencies and individuals who have an interest in the plan. Solicitation of this support can also go on at the same time. To receive support-- to convince individuals and groups that the plan has merit-- it is often useful to prepare a summary of the plan's main features, so they can quickly grasp its intent.

At the outset, the groups and individuals who are being contacted should be asked to express their opinions, reservations, etc., about the plan. Whenever possible, this input should be incorporated into the plan. At the same time, the group's or individual's likely reactions should be anticipated. In seeking the Chamber of Commerce's support for a job-development plan, for example, one should be prepared to answer questions about additional costs for employers, training they would be expected to contribute, and the like.

That is why, in writing up a summary or prospectus of the plan, it is often useful to tailor the presentation to the group or individual who is to be persuaded. In seeking broad-based support for a welfare plan, for instance, one would stress certain features of the plan in talking with the head of the Welfare Department and different features in talking with the members of a welfare rights group. There may be advantages for both groups in the plan, but it is not good strategy to dwell too long on any disadvantages one group might find in the plan.

After the groundwork has been laid, the supporting individuals and groups should be coordinated in such a way that the plan will have the best-- and most influential-- support when it is introduced. It may be useful to work out a schedule for implementing the plan, and for calling on different supporters at the appropriate time... when their support can be most effective. That might mean asking the head of the Welfare Department to speak to other Board members about the plan, and later asking welfare mothers to announce to the press that they also support the plan. The timing and orchestration of support for a plan is a judgment that has to be made according to the circumstances. Experience in Board meetings will help to develop judgment about this kind of timing.

C. The Enactment Stage

Official enactment of the plan is, after all, the purpose of the efforts which precede it. Previous adoption of the plan by a committee or a neighborhood group is often the most desirable course for complex, important, or controversial plans. This gives the plan a more official and more formal standing which means that it must be taken more seriously by the Board.

In presenting the plan, there are a number of things to keep in mind. One is that the motion for adoption should clearly spell out what the Board is expected to do. There should be no doubt in any member's mind about what he's being asked to vote on, so that discussion of the plan can proceed logically and in the manner that the supporters think will best contribute to its adoption. A hazy or confusing proposal can leave room for too many embarrassing questions, or for a debate that gets off the subject.

When the plan comes before the Board, it is subject to the rules the Board has agreed on. Often a group of supporters can enhance the chances of passage by carefully outlining the parliamentary strategy they will use. For example, it is possible, under Robert's Rules of Order, to test the sentiment of the Board before actually allowing the motion to be voted on. This is done by moving to postpone indefinitely consideration of the proposal.

The supporters don't really want it postponed, but a motion to postpone indefinitely is debatable, and the supporters of the main motion can give all their arguments in debating the motion to postpone indefinitely. During the debate, they learn who favors and who opposes this motion. Then if the Board actually does vote to postpone consideration of the motion, they will not have lost, but can bring it up again (with a motion to reconsider) after they have persuaded enough of the opposition to change their minds, or at a later meeting when supporters are in the majority. If the motion to postpone fails, then the main motion can safely be brought to a vote if a majority seem to favor it, or some tactic may have to be used to prevent a vote if it appears the plan will fail. (Delaying tactics are discussed in a later section of this Chapter.)

In any case, if a plan is voted down by the Board, and the originator still feels it has merit, the process of winning support can begin all over. It may also be necessary to modify the proposal to meet specific objections to it, or disguise the same proposal in another proposal that will generally receive more favor on the Board.

Stage-managing the enactment of a plan is often crucial to its adoption. Thus, it is important to marshal outside forces that may not have a vote on the Board, but that can influence certain Board members. And sometimes it is wise to think of the setting, too. Inviting the Board to hold its meeting at an inner-city location, for example, may help create the sympathy (and perhaps anxiety) that will contribute to the passage of the plan.

Another time-honored practice is "packing the gallery," a device we have all watched our political parties practice every four years. It is perfectly legitimate to set the stage in this way, perhaps by inviting welfare mothers to attend a meeting in which a welfare-related plan will come up (and, of course, providing transportation for them) or by publicizing the meeting to a group of suburban homeowners who may have an interest in a particular CAA action to be considered at the meeting. Board meetings are open to the public, and there is no denying the psychological pressure that members will feel if the public in attendance is strongly for or against a particular measure.

D. The Follow-Through Stage

The final stage is in many ways the most critical. A plan, once enacted by the Board, must then be implemented. It is the particular responsibility of the proponent of the plan to oversee its implementation, for two reasons. First, because the proponent obviously has an interest in making sure his original intent is not diluted or altered. And second, because if the plan is

successful, the originator will have an even better chance of getting other proposals accepted by the Board. He will have established a "track record" of developing plans that will work.

Another element of follow-through is the concept of evaluation, which simply means to form a judgment about whether the plan is producing the desired results. A plan may be carried out exactly in the intended manner, but be producing effects which were not expected and which might even be contrary to the original purpose. Good evaluation of an activity will uncover any undesired results, and lead to conclusions about how well the activity works and what changes would improve it.

V. BOARD MEETING PARTICIPATION

We have previously noted that the Board meeting is governed by rules which the members have adopted. These rules provide a common understanding of the procedures the Board will follow to transact its business with the greatest degree of efficiency. Most regular business meetings of a Board will have limitations on debate, unorganized comments, and speeches simply to preserve the available time for its required business. CAA Board meetings are characteristically short on time.

There are many major CAA issues which can and should be debated at length. Ordinarily this should be accomplished in "hearings" or in committee meetings called specifically for that purpose. In this way, attention can be focused on a particular issue and time limitations will not prevent a thorough consideration.

A well planned meeting of a well organized Board is a work of art. The business conducted during the meeting is like the one-eighth of an iceberg visible above the surface of the water - the tip of the iceberg is supported by a great deal of previous work in committee and by individual efforts of Board members. In a well organized and smoothly functioning Board, items of immediate importance have already been considered by committees prior to the meeting, and recommendations have been prepared. In such cases, the Board only needs to determine whether the committee presentation represents the results of adequate and proper review, and whether the rest of the Board understands the issue on which it must vote. The Chairman should allow time for questions for both of these purposes. There should be little need, under these circumstances, for general discussion of basic issues. Board members have been notified in advance of all important matters scheduled for the meeting, to allow time for independent investigation and study.

All matters of importance to the Board should be put in writing and distributed by the committee prior to the meeting. When the bulk of written material is great, the committee should also provide the Board with a summary. Advance notice of any item the committee will bring to the Board for action is a basic necessity, as is providing any necessary explanatory material.

There is a minimum number of steps usually required to transact an item of business. Even the simplest Board process consists of at least these nine separate steps:

- Meeting officially called to order and the presence of a quorum confirmed.
- Minutes of the previous meeting read and approved or corrected.
- Agenda items required by the By-laws are taken up first.
- Presentation of a "Main motion" on the required agenda item, a scheduled agenda item, or an unscheduled item of interest to a Board member.
- Second to the motion from a Board member.
- Chairman opens the motion to discussion from the floor. Non-Board members may be recognized to speak on this issue at the Chairman's discretion, or by majority vote of the Board.
- A number of other things may happen at this point according to the most widely accepted rules of parliamentary procedure. These are discussed in the Chapter "How to Conduct a Meeting."
- The motion is voted up or down.
- Motion to adjourn.

Any Board may require more than this and can enact more complex procedures than these.

A. Strategy

The Board meeting is the forum in which ideas, plans, goals, all are translated into action--or fail to be enacted. Board members are expected to have ideas, to make plans, and to set goals. What they must then do to fulfill their responsibility is work for the adoption of measures they support. And the way a Board member does that is through the use of strategy, which simply means choosing the best ways to present a measure and working in every legitimate way to get it passed.

There is no substitute for preparation in guiding a properly developed proposal through a Board meeting. The key factor in the meeting itself is the balance between the support which has been developed (and how many of the supporters are present) and the possible opposition to the proposal. Proposals with broad support and narrowly based opposition are likely to be enacted without much

trouble, but even under the best of circumstances there are some pitfalls to be avoided:

Opponents of a proposal might be successful in having the matter tabled or postponed indefinitely simply by raising questions which cannot be answered sufficiently during the meeting.

The effect of a clear and commanding speech in opposition to a proposal should never be discounted. Even when there is only one person opposing a proposal, a powerful speech might erode support significantly.

The proposal might be referred to a committee, which would be unacceptable if there is a tight time schedule.

Amendments might be proposed which would substantially change the original idea. Even if the amendment is not accepted, it may confuse supporters who are less than clear about their support of the item.

The item might be objected to on the grounds that all established Board policies have not been met. A proposal which has not been reviewed and evaluated by the Planning Committee might fail to gain approval for this reason only.

A proposal not prepared in time to have it placed on the agenda might fail to be introduced simply because the meeting is adjourned before its sponsor is recognized.

If the item is not well prepared, debate on it might be ended before some important concept has been presented, resulting in a vote on an incorrect - or at least incomplete - understanding.

Proper preparation can avoid all or most of these situations. The question of who will be in attendance at the meeting when the proposal is introduced is also crucial. Even if it has the support of 40% of the Board (enough under most circumstances) but none of the supporters show up at the meeting, the proposal may very well be defeated.

There have been concern and questions about "bloc-voting" on CAA Boards since the enactment of the "Green Amendment," which specifically provided for inclusion of local government officials. There is ample theoretical basis for this fear, but often no practical or real basis. Still, the astute Board member will be aware of the balance of power on his Board, and will watch to see whether bloc voting has developed on all, or just certain issues. This may be difficult when voice vote is used, and impossible when secret ballots are used.

As for other strategies, we have already discussed the importance of getting supporters to the meeting, and the use of certain parliamentary techniques. But much more can be said about parliamentary strategy. Often, for example, it is necessary to prevent a motion from coming to a vote, either because an undesirable motion is sure to pass or because a desirable one will fail.

There are the conventional parliamentary motions-- to table, for example, or to recommit-- which may be used for delaying a vote. But there are some other perfectly legitimate strategies for delaying or preventing a vote. One is the simple tactic of removing a quorum. The opponents of a measure that is pretty sure to pass need only send all but one of their number out of the meeting. The remaining opponent rises to a point of order (for which he may interrupt someone else who has the floor) and says to the chair that the meeting cannot proceed because there is not a quorum present. It will have to be calculated in advance, of course, to be sure it will work, but at most Board meetings only a few members need to walk out to drop the number below one-half of the entire Board.

The chair will have to rule the rest of the meeting out of order unless some accommodation can be made with those who have walked out. There might be an agreement, for example, to vote to recommit the proposal to committee, or to postpone consideration until the next meeting.

Another frequently effective delaying tactic is the perfectly legitimate device of drawing out the meeting. Not every Board member can remain until two or three in the morning, and if a meeting can be prolonged by a determined minority, either the quorum will dwindle away or, perhaps, enough of the majority will leave that the minority becomes the new majority. To delay a meeting in such a way, and at the same time avoid allowing the unacceptable measure to come to a vote, takes considerable organization and parliamentary skill.

It is not sufficient simply to take every allowable minute for debate-- that is often limited anyway. But innumerable points of information, of order, and of personal privilege can be raised. These are decided by the chair, but every decision of the chair may then be appealed to the entire Board and a vote taken, all before it is permissible to return to the motion on the floor. These points, of course, should be raised by several different members so that it does not appear to the chair that one member is simply being frivolous or obstreperous.

Another common parliamentary trick involves the use of the motion to reconsider. If, for example, a group of Board members finds themselves in the majority at one meeting and passes some resolutions they don't want reconsidered at the next meeting (when they probably will not be in the majority), they may themselves move to reconsider a motion they have just passed. This is done because a motion cannot be reconsidered twice. Thus, they reconsider their own motion, vote to let it stand just as they have passed it, and then leave the opposition at the next meeting with only a motion to rescind available to them. A motion to rescind is more difficult to pass than a motion to reconsider. This device, then, is just a way of removing one of the opposition's easier alternatives. It is referred to in parliamentary circles as "clinching the motion."

Another whole range of strategic factors may be considered by Board members. These have to do with the physical arrangements and preparations for the meeting. We have already mentioned the importance of getting together with other Board members in advance of the meeting to sound them out, to persuade them, or to plan strategy for the meeting. Some essentials include:

- Make sure your proposed motion gets on the agenda so you can be sure it will be taken up.
- Identify those who agree with you, and make sure they can get to the meeting-- if someone needs a ride or a babysitter, offer him a ride or get her a babysitter.
- If there are others-- residents of the target area or employees of the school system or whatever-- who are concerned with what will happen at the meeting, make sure they have a way to get there.
- Remember the effect the location of the meeting may have on Board members, and don't let a meeting be scheduled for a site that would be difficult for you or other Board members to reach.

B. Informal Strategies

Beyond these formal strategies--of parliamentary practice, site selection, etc.--there is another system of equally legitimate, but informal, strategies. These informal strategies are well known to those who work in large organizations, and to many who have been in military service. They have to do with recognizing the pressures that already exist, the structures of influence, the natural inclinations and disinclinations of individuals, and using all these to benefit the CAA.

For example, one might find that a Board member who has been named to the Board by a local church group has become a disruptive force on the Board, opposing good ideas and sometimes even undermining CAA programs. It is important in such a situation to remember that the disruptive member does have a constituency, and that he is supposed to represent that constituency. It might be useful to talk with the church elders or the minister or others in his constituency to see whether they agree that he is representing them properly by being disruptive. If they do not, it is quite possible that the constituents can influence a member to reform his behavior far more easily than other Board members could influence him.

Some might describe the preceding example as a case of "going over the member's head" to his constituency. Sometimes that is an excellent - and well-justified--approach. The same approach can be used to appeal to the poor who are represented by certain Board members, or to appeal to any other organization or group that has some influence over a member.

Another example is best described as it applies to representatives of local governments, because it is a leaf taken from the bureaucrat's book of influence. This involves calling public attention to the work of such a Board member as it relates to his official position. It is axiomatic in government circles at all levels that civil servants, who are hired for their professional competence, would prefer to be left alone to do their jobs quietly and without too much public attention. Sometimes the mere threat of a press release or similar public announcement will be very persuasive. A school superintendent for example, would not like to read in the local paper that his fellow Board members accuse him of standing in the way of improved education for the poor, any more than he would like them going over his head to the Board of Education.

Another very powerful form of informal influence is a threatened lawsuit. (We are discussing only "threatened" lawsuits here because actual lawsuits are formal, not informal, strategies.) Lawsuits should not be threatened frivolously, nor can they even

be discussed without solid legal grounds, but they can be very persuasive for two reasons. First, many Board members, having had years of experience with the law in connection with their public or private enterprises, have great reverence for the law, and may be influenced more by suggesting that a proposed action is illegal than that it is detrimental to the interests of the poor. Secondly, lawsuits are a lot of trouble, and any lawyer can testify to the large number of cases that are settled out of court because the defendant is unwilling to go to all the expense and bother a formal legal action would require.

Some issues over which a suit may arise (or be threatened) include: to compel the Board to abide by its own by-laws; to challenge actions the Board has taken improperly; to enforce Board compliance with all the provisions of the Economic Opportunity Act and relevant amendments. The courts are available as a sort of last resort to help any legal entity--which the CAA is--to adhere to the laws and its own legally-adopted procedures. CAA's may be enjoined from doing illegal or harmful things, just as the Welfare Department, the school system, a business, or any other institution may be enjoined by a court upon proper petition.

Other methods of influence that have proved to be effective in similar situations come under the heading of "campaigning." Everyone is familiar with the customary types of campaigns, usually for individuals, that are associated with elections. But there can be campaigns for issues, too. For example, if some Board members favor a CAA program that they suspect the full Board will not accept, they can mount a campaign to convince their Board colleagues by using the traditional campaign methods: talk to their constituencies (their bosses, in a sense), talk to their clergymen or others who have influence with them, seek editorial support for the program, talk to the Board members individually or get others who know them to talk to them, etc. Throughout this process, the arguments for adopting the CAA program must be well-reasoned and well-presented, or of course they will have no effect.

In using any of these informal tactics, it is important to keep in mind a few other notions in addition to the need for well-reasoned and well-presented arguments. Board members should remember that their fellow members act and react at two levels--they play the role required of them in representing their constituency, which might be an extremely militant role for a representative of the poor or a very conservative role for a local businessman; and they play their own personal roles, in which their human behavior is affected by their own experience and attitudes. This phenomenon sometimes causes confusion when it is not recognized. Often Board members can't understand why another member seems so agreeable in private but difficult in the meeting. It may be that he feels constrained to play a different public role to satisfy his constituency.

Another important factor to keep in mind is the value of every

member to the Board. Some members will have impressive academic credentials, or wealth, or social standing. Others have valuable experience, or insights into the needs of the poor which are every bit as necessary to the proper functioning of the Board. All the informal tactics we have discussed, and others that Board members will devise for themselves, must be applied in the light of these factors.

VI. BOARD OFFICERS AND COMMITTEE CHAIRMEN

Each Board has several key positions which it creates as part of its internal organization. These fall into two general categories: Board officers and committee chairmen. Members of an Executive Committee, who do not fall into either of these categories, should also be considered to hold key positions if the Executive Committee performs an important role for the Board. Every Board member should be aware of the authority and duties of the persons holding key positions, and should continually evaluate their performance. Assumption of greater authority than is proper for a position should be watched as carefully as failure to perform the duties of office. The authority and duties of all officers and committee chairmen should be written down and distributed to all Board members. Authority should also be spelled out in the by-laws (except for the chairmen of "special" committees).

A. Officers

Most Boards have four officers: Chairman, Vice-Chairman, Secretary, and Treasurer. Some get along with three either by omitting the vice-chairman, or by combining the roles of secretary and treasurer. Many Boards have more than four officers through increasing the number of vice-chairmen and/or adding assistants to the secretary or treasurer positions. It is clear that the intent of the existing Federal legislation is to have all three general categories of Board membership reflected in any important sub-unit of the Board. All three categories of membership should be represented approximately equally as officers and chairmen, so that the balance of power is truly maintained on the Board. All officers are customarily elected by the Board, from the Board.

Chairman The Chairman is a CAA Board's leader. To provide that leadership he is usually given broad authority to make appointments to committees, to propose methods of organization through proper means, to represent the corporation in public, and to execute documents of obligation in behalf of the corporation. All of the specific authorities given to the Chairman should be stated in the By-laws.

The Chairman's responsibilities include presiding at meetings of the Board according to commonly accepted practices or specific policies enacted by the Board. The Chairman is also usually the chairman of the Executive Committee and an ex-officio member of all committees except the Nominating Committee. (When he is ineligible to be re-elected, he may be allowed to participate in Nominating Committee business as well.) The Board Chairman should be the primary person to deal with OEO on any matters not covered by established policy (in which case the executive director can be authorized to deal with OEO). He should be expected to be in regular contact with the executive director in the intervals between meetings. He is responsible for the formation of the agenda for meetings, for monitoring annual and periodic reports from the CAA, and for handling the Board's major financial transactions.

Vice-Chairman The vice-chairman of the Board should be a person capable of filling the role of Chairman in his absence. The same sort of leadership ability which is sought in the Chairman should be sought for the vice-chairman. There are many ways to give the vice-chairman a meaningful role to play in the leadership of the Board. He may be given specific duties either by the Chairman or by the Board in describing the position.

Additional Vice-Chairman Many Boards find it advisable to have additional vice-chairmen to be responsible for specific geographical or program areas. A rural CAA may have a vice-chairman for each of the counties which it serves. Another CAA may have a vice-chairman for planning, one for personnel, one for CAA operations, etc. In such cases, the role of each of the vice-chairmen should be accurately described in the By-laws. The method used by one large non-profit corporation is to make the chairman of every standing committee a vice-chairman of the Board.

Secretary The secretary of the Board is responsible for keeping an accurate permanent record of all proceedings of the Board. The position usually carries little direct authority but the office is important as the official custodian of Board records. Not infrequently, a Board will create two positions; one for "Recording Secretary" and one for "Corresponding Secretary," in order to more equitably distribute the sometimes burdensome workload.

Treasurer The treasurer, like the secretary, might be selected on a different basis from the Chairman and vice-chairman since the leadership requirements are different and the technical competence required is greater. The treasurer is responsible for all funds and property of the organization and for supervising the way in which financial records are maintained. In even a medium sized CAA, this becomes a formidable task due to the fact that project accounts must be kept separately. The treasurer will ordinarily be authorized to sign financial commitments along with the Chairman and will be responsible for insuring that periodic financial statements are distributed and an annual audit performed. The treasurer is the most appropriate person to serve as chairman of a finance or budget committee if the Board has created one. The By-laws should require that the treasurer and any other person authorized to make financial transactions for the Board be bonded to an appropriate amount of liability (for their own protection).

B. Committee Chairmanships

Committee chairmen are key persons within a CAA Board, because much of the business of the Board will be developed as recommendations in meetings of their committees. In addition, the Board may authorize a committee to act as its agent in certain

circumstances. The chairman's ability to guide the committee so that the expectations of the Board can be realized may be crucial to the total CAA operation. The group of committee chairmen should reflect the composition of the whole Board, and the membership of each committee should include representation from each category of Board membership.

A chairman should be given a clear statement of the duties and expectations for the committee. The time schedule for duties assigned to the committee should be equally clear, as should the method for making appointments to the committee (and whether any non-Board members can be included on the committee).

Within the limits of what is expected, the personnel resources of the committee, and the time schedule, the committee chairman is responsible for organizing the work of the committee. The nature and extent of staff support for the committee will vary greatly from committee to committee, but it is likely that some support will be necessary. This can be arranged through the Board Chairman if not otherwise provided for. The committee chairman is responsible for seeing that the tasks assigned to the committee are fulfilled, and the Board Chairman is responsible for checking to insure that the committee is making adequate progress. The delegation of responsibility to a committee should be taken very seriously by other Board members, and all should have an interest in what progress and results the committee is able to show at periodic intervals.

In the event that a committee chairman is too busy to provide the necessary leadership, he should inform the Board Chairman in writing. Boards which have a number of committees might be wise to require reports from each meeting of a committee as a means of assessing the committee's progress.

The relationship of the Board to Policy advisory committees formed to help supervise the activities of specific projects often needs to be clearly defined in the same way as are the relationships and expectations for standing committees.

VII. SUMMARY

The CAA Board is the only source of official action on behalf of the CAA. The Board only acts in meetings attended by at least one-half of its members, and when a majority of those present agree. In some specific instances, the Board may authorize a committee to act for it - the agent role - but usually reserves the right to review, approve and change the actions of the agent if it feels that such action is necessary. The Board is the

legally responsible entity and the final authority for all CAA activities.

Each Board member represents a specified interest on the CAA Board, and has a number of rights and responsibilities which are only limited by his skill in conducting Board business, his dedication, and his knowledge of local social issues.

Any Board member can develop ideas into plans and then into specific proposals which will merit support and enactment by the Board. Each Board member also has a responsibility to form an individual judgment on how policies are being implemented and to propose changes when necessary.

Committee work is very important to the effectiveness of the Board and many of the major decisions of a Board are the result of good committee work.

Participation in the Board meeting should be based on an understanding that the rules under which the Board operates were developed to expedite the work of the Board and at the same time protect the interest of minority positions. The process by which the Board takes action involves several steps which must be understood by each individual Board member. A full understanding of parliamentary procedures is not absolutely necessary, but it is certainly desirable. Various strategies may be used to obtain desired results within this formal structure; the most important of these is advance preparation.

The officers and committee chairmen of the CAA Board hold key positions which should be clearly understood by every Board member. Finally, each member must keep in mind the purposes of the CAA to end the conditions which give rise to poverty. That is why he must take his job seriously...it is very serious business, affecting the lives of thousands of people. Few positions offer such great opportunities for genuine human service.

I. Introduction

In a general sense, the entire Board Training Manual is concerned with internal dynamics; every chapter in some way calls for improved internal policy-making and problem-solving efforts which will make CAAs more responsive to the needs of their clients. This chapter, however, is directed exclusively to the internal dynamics of boards. It is concerned with interaction between individuals and subgroups on boards which occurs during their policy-making and problem-solving efforts.

Legally a board exercises its powers only as a single corporate unit, regardless of its internal dynamics. At the same time a board can exercise its powers as a responsive and representative body only if its internal dynamics provide for the full participation of all members. Board's decisions should frequently reflect a consensus of the entire board, and in all cases should stem from a consideration of all points of view and constitute the judgment of a majority.

In many cases the ideal of full participation is not realized, especially among representatives of low-income groups. Cultural and environmental differences can create communications and value barriers between members so that some are excluded from an equal role in the group processes of their board. Different backgrounds may provide some members with more experience in acquiring a position of influence in a group and in employing strategies for promoting their viewpoints.

Serving as a productive and cooperative board member is essentially no different from functioning as a useful member of any group. Members need to be aware of their individual biases and accept their responsibilities to help their board be effective. Mem-

bers should see themselves as one in the sense that they all share the goal of combating the root causes of poverty and the task of acting together to accomplish this goal.

In a very real sense a board is a mini-version of the total community it serves. In turn, it exists to prompt the total community into changing its social patterns and practices. You will often find the basic social divisions which exclude low-income groups from community life replicated on the board itself. We mention this only to point out that in developing internal dynamics, you frequently must cope with deep rooted divisions which reside in the total community. For this reason progress will be slow; patience and good judgment will be essential.

II. Overall Objectives

Your overall objectives include improving the members' understanding of group processes and awareness of the impact of their behavior in group settings. These objectives are closely linked to the basic charter of a board development specialist: to mold the board into a unified group which engenders a community-wide response to the needs of its primary constituents, namely the low-income citizens of its community.

The development of group skills in board members who do not have them is an intermediary objective or a hurdle which must be vaulted before a unified group can be developed. You will also have intermediary objectives for various subgroups. As a trainer you will also be concerned with developing the roles of specific individuals. The training needs of boards in this area will vary widely. Obviously a board which is dominated by a few members will have much greater group development needs than one in which there is active participation by most members and a capacity for conflict resolution.

An objective for some members might be to develop their skills for influencing the board through a variety of political and parliamentary strategies.

For other members your objective might be to develop their awareness of their impact on other members and their skill in eliciting confidence and acceptance of other members. You may want to confront others with the gap between their group responsibilities and their actual conduct. Some members may be completely oblivious to their responsibility to really represent their constituents. Some may be unaware of their potential to apply political techniques, such as forming alliances, bartering on issues and appealing to other member's constituencies.

III. Specific Learning Goals

1. WHAT IS A GROUP? WHAT KIND OF GROUP IS A BOARD?

Members will be able to give examples of group norms and processes, and identify five group norms and processes of their board.

2. HOW DOES REPRESENTATION APPLY TO CAA BOARDS? IS THIS BOARD REPRESENTING ITS CONSTITUENTS EFFECTIVELY?

Members will be able to describe their role as representatives of constituent groups and five measures of effectiveness in representing constituents. More nebulous, but inextricably tied to this objective, is developing their acceptance of representation as a responsibility of both the board and themselves as individuals.

3. WHAT IS REQUIRED FOR AN INDIVIDUAL TO BE AN EFFECTIVE GROUP MEMBER? WHAT CHANGES DO I WANT TO MAKE IN MY GROUP PERFORMANCE?

Members will be able to list the basic rights and responsibilities members can exercise in board meetings. These are stated in this chapter, Internal Dynamics of the CAA Board. They will also identify their own group skills and deficiencies and, as a minimum, be prepared to begin overcoming these deficiencies.

4. HOW IS INFLUENCE EXERTED ON A BOARD? WHAT CAN AN INDIVIDUAL DO TO BE AN INFLUENTIAL BOARD MEMBER?

Members will acquire some very specific group skills. They will be able to describe at least three techniques to be employed for each of the stages discussed in this chapter for developing and selling proposals.

5. WHAT IS THE RELATIONSHIP BETWEEN FORMAL PROCEDURES FOR MEETINGS AND INFORMAL STRATEGIES FOR SELLING PROPOSALS? HOW DO YOU USE ONE IN SUPPORT OF THE OTHER?

(In this instance, we are concerned with more than formal meeting procedures). Members will be able to combine formal procedures with informal strategies for influencing board decision-making. They will be able to describe the purpose and responsibilities of board officers and committee chairmen.

IV. Methodology

LEARNING GOAL #1: What is a group? What kind of group is our board?

1. A psychologist who specializes in conducting group dynamics sessions would be an excellent consultant to use for this goal. He could lead a discussion on group dynamics and conduct a number of exercises which demonstrate the dynamics of groups. If you use a consultant, have him observe one or two regular board meetings before he conducts his session. This will enable him to learn the group practices of the board so he can help the members identify their own group processes, structure, and norms.
2. In some cases, you yourself may choose to lead a discussion after the board members have read a short description of group dynamics. Recommended is a short book by Malcolm Knowles

entitled Group Dynamics, or L. P. Bradford's Group Development (National Education Association, 1961). Another excellent reading by Bradford is entitled Leadership and Participation in Large Meetings (National Education Association, 1951).

3. A technique for helping members learn about group processes of their own board involves having them record observations at a regular board meeting. Behaviors and processes they can observe are described in the reading (attachment one) What to Observe in a Group. A consultant in group dynamics could guide them in analyzing their observations. They should be urged to evaluate the effectiveness of their group processes and to begin setting improved norms and processes.
4. A number of media resources are available on groups and problem-solving. For example, an excellent film which will help a board understand the kind of group it should be is entitled "Problem-Solving in Groups." It discusses how committees usually deal with problems and how their methods can be improved (University of California Media Center, Berkeley, California). Check with your local library and university to see what they have available.

Especially helpful is the film "Twelve Angry Men" produced by United Artists. You can rent it by contacting your local United Artists office or by writing United Artists at 729 7th Street, New York, N. Y. 10019. This film, one of the best illustrations of group processes, is about the interpersonal dynamics and roles of a jury. It has an excellent cast with Henry Fonda and Lee J. Cobb in the starring roles.

LEARNING GOAL # 2: How does representation apply to CAA boards? Is this board representing its constituents effectively?

1. Start by leading a discussion on representing your constituency. You will want to mention that the function of any board member is, in part, to represent the interests of some constituency (people and organizations to whom he is responsible) while sitting on a CAA board. This implies, among other things, that:
 - a. He has a constituency which is definable.
 - b. He knows their interests and concerns.
 - c. He communicates with them regularly.
 - d. He reflects their interests at board meetings.
 - e. He is empowered to make decisions on their behalf.

Also mention some of the problems which face board members, such as:

- a. Being pressured by their respective constituency to act in a certain manner on the board, vote a certain way, or push for particular programs which benefit that group.
 - b. Having no definable constituency to whom he is responsible.
 - c. Disagreeing with his constituency on particular issues.
 - d. Acting on behalf of a differing constituencies makes consensus difficult to reach.
2. Conduct a role reversal exercise. To do this have each board member represent a particular constituency in the community. He should let this constituency shape his views and define the political constraints governing his behavior. A role reversal exercise,

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in which one board member fills the shoes of another member, is designed to increase board awareness of its responsibilities to its constituents.

With the help of the training committee, assign role reversals for all participants. Preferably assign individuals to roles as far removed as possible from their own experience, e.g., let the neighborhood council representative assume the role of the county or city representative, and vice versa.

Select an issue or problem currently faced by the board vis-a-vis the community. Issues selected for the exercise should be as specific and relevant as possible. (General topic suggestions: How to meet community demands for new or different programs; how to increase community participation in board deliberations).

Outline the issue in general terms and then ask each participant to sketch on paper how he would approach the problem in his newly assumed role. Allow participants 10 to 15 minutes to do this. When time is up, ask each participant to describe the approach he would take, allowing the discussion to run its course.

3. Follow the role reversal exercise with a discussion on roles. Lead the board in a discussion which centers on how each participant perceives the role he assumed and how it varies from the way his counterpart actually exercises that role at board meetings. Structure the discussion by eliciting reactions of the other board members to each participant's perception of his assumed role.
4. Assign one board member the task of drawing conclusions about the discussion and assist him in summarizing points that the group has learned in the course of the exercise.

Things to look for:

- how board members perceive each other and the extent to which such perceptions may differ from reality;
- how attitudes and points of view shape perceptions of community problems and approaches to their solution;
- how the participants might apply what they have learned here to future board deliberations (emphasize the importance of understanding not only their own constituencies, but also those of their fellow board members).

5. Before you hold a final discussion, conduct the self-analysis exercise (Attachment Two). Here you would have each participant complete the brief self-analysis exercise. These written exercises should be kept anonymous. They should be confidential and this should be made clear to them. The purpose of the exercise is to provide stimuli for discussion in order to take a look at the role and function of board members in terms of "representing others," and attempt to have them develop some perception of how well they are carrying out that role. With some it will provide a way of evaluating themselves in order to reach some decisions as to any changes they want to effect. The participants should be interested in the total group response. Their answers to these questions will serve as an effective stimulus for your wrap-up discussion.

Have board members discuss the experiences and insights they have gained at this seminar, and guide them in developing a list of actions they could take, both as a board and as individuals, to improve their role as representatives..

LEARNING GOAL #3 What is required for an individual to be an effective group member? What changes do I want to make in my group performance?

1. Open this session by asking board members to develop a list of their rights and responsibilities during board meetings. You can use those listed in this chapter to prompt them when necessary and to add those they omit. Write the list on the board and then ask each member to privately write down the three which he would like most to improve.

2. Move them on to a more introspective analysis of their personal group skills. Mention that improving the exercise of rights and responsibilities typically requires improved inter-personal skills; also mention that you would now like them to complete an analysis of their own skills so they can choose those skill areas which they would like to improve. Have each member complete the attached exercise, Analysis of Skills in Groups (Attachment Three).
3. Have board members indicate (anonymously if they wish) their perceptions of other members strengths and weaknesses on the form Members of Inter-Personal Skills Inventory (Attachment Four). This will help members learn the impact of their behavior on others and identify changes they would like to make in their inter-personal practices.

There are a number of ways to use this instrument. For example, give each participant five copies of the instrument and the names of five different members. They could complete them before the next session. Each member would then be given the five copies for which he was the subject.

Discussion and analysis of this exercise should be led by someone who is highly skilled in group dynamics training. This person could lead small group discussions on the results, suggest reasons for one person's perception of another and impact on others, and generally help the members take a constructive approach to feedback and use it to begin improving their inter-personal skills.

4. Use silent member plan for guiding members to analyze their skill and willingness to involve all members of the board in its decision-making.

This technique is appropriate for helping board members to analyze their own interaction and group effectiveness--particularly their skill and willingness to involve all members of the board in decision-making. An example of this technique would be to assign a problem to be solved to groups of five or six board members. Make this a competitive selection. Talk privately with one member from each group and ask him to remain silent during the discussion, except when asked a question. In many cases, it would be most appropriate to select members who are normally fairly quiet and don't hold a prominent position on the board's influence structure.

5. Use films to illustrate this approach.

There are a number which will help both individual board members and the board as a whole become more effective in interpersonal and group processes. Be careful to select a film which is closely linked to the objectives of the training session. Two films which are available include:

- a. Some Personal Learnings About Interpersonal Relationships. The commentator is Dr. Carl R. Rogers. (University of California, Media Center, Berkeley, California.)
- b. Effective Leadership. Robert Tannenbaum describes the skills a person needs to be an effective leader in a group and ways to overcome barriers to effective leadership. (Same source as a.).

LEARNING GOAL #4: How is influence exerted on a board?
What can an individual do to be an
influential board member?

Once you begin working on this goal, you are dealing with specific techniques for developing and selling proposals to develop skills in this area. You may want to actually serve as a coach for a group of board members who wish to master these techniques.

1. Work with a group of members over a period of several months to help them develop and sell a proposal to the board that alleviates a critical problem, for example. This is the Idea Stage. During this idea stage help them check with neighborhood groups, experts, agency staff, neighborhood residents, etc. in developing their proposal. Help them formulate the idea into a specific plan which indicates the size and nature of the problem, the scope and cost of the plan, and an estimate of the probable consequences of the plan. Find experts who will help them refine the plan to ensure its soundness and completion.
2. Counsel them during the Support Stage on techniques for gaining allies on the board for their plan. Help them develop strategies to sell the plan to members through individual discussion meetings with the board chairman. Also advise them on techniques for conducting a public relations campaign for building support in the community. You might find it helpful to put them in touch with experienced community organizers who would be willing to support the effort.
3. Help them during the Enactment Stage develop a plan for guiding it through the decision-making process of the board.

Throughout this on-the-job training experience, meet with them frequently to help them assess their failures and successes. Keep in mind that they should be learning to be self-sufficient in these influence techniques.

LEARNING GOAL #5: What is the relationship between formal procedures for meetings and informal strategies for selling proposals? How do you use one in support of the other?

1. Continue the on-the-job approach outline for Learning Goal #4. This involves helping a group of board members employ strategies within a meeting to have the measures they support adopted. This in turn involves coaching them on such actions as developing a plan for guiding the proposal to adoption; polling the members to identify supporters; deciding how to present the measure to the board; identifying legitimate parliamentary tactics that can be used.

Coaching in this area does, however, have certain restrictions. As a board development specialist you will not want to alienate other members of the board. There is a fine line between helping members develop their group skills and serving as a member of one faction or supporter of one viewpoint on the board. Your job is to develop effective CAA boards and not to take positions on issues boards are considering; as such you can help members develop techniques for promoting a proposal without supporting or opposing it.

During board meetings, especially, you will not want to do anything which gives the appearance that you are part of a faction on the board. Your role as a development specialist will be seriously restricted if you interfere with a board's decision-making processes. You can do much to avoid this pitfall by building positive relationships and a clear understanding of your role during your first few weeks with a board.

2. Develop member's skills in board meetings through a number of alternative ways. One of these is to hold a mock meeting of the board.

The board would be divided into about four or five groups depending, of course, on the size of the board. You may choose to mix members from various segments of the communities so they can learn from one another.

- The meeting would be devoted to a current issue or problem familiar to the members.
- Each group would be given instructions which contain its objectives and positions on the issue. The instructions would also give some facts they could use to support this position and possible parliamentary strategies which could be used to push for board acceptance.
- The groups would compete with one another to see which one could come closest to having its position adopted by the board.
- The competition would involve three stages. A time limit would be set for each stage and the mock meeting would close with a vote by the board on the motion and amendments on the floor.
 - Stage one allows groups time to read their instructions and plan a strategy for selling their position to the board. They would do such things as assign responsibilities to individual members, plan compromises that might be appealing to other groups, and plan possible alignments with other groups.
 - Stage two would allow the groups to contact one another so they could work out possible understandings, identify groups holding a position in sharp conflict with theirs, and refine their parliamentary plans.
 - Stage three would be devoted to decision-making through the presentation of proposals, debate, and the making of motions. The groups would also be permitted to continue their contacts and arrange compromises.
- 3. Have yourself and other trainers serve as advisers to groups and as observers of group dynamics during the mock meeting.
- 4. Hold a wrap-up discussion after the mock meeting in which groups and individuals assess their experiences and identify practices they could employ in regular board meetings.

V. EVALUATION

Your evaluation in the area of internal dynamics will depend largely on your observations of actual board meetings. However there are a number of devices you can use to measure the immediate impact of training in this area.

1. For example you could observe the role reversal exercise under Learning Goal #2 and list the interpersonal skills the participants demonstrate which are related to this goal. The discussion at the end of the above section, in which members list actions their board will take, will also indicate their overall grasp of their responsibilities.
2. Under Learning Goal #3, after the Roger's film, lead a discussion on what constitutes interpersonal skills and what needs to be done to improve group processes on this board. Their responses will indicate the extent they have reached this learning goal. You could also ask each member to complete an anonymous statement which lists the major interpersonal skills and the changes he plans to make in his group performance.

ATTACHMENT ONE

WHAT TO OBSERVE IN A GROUP (Part II, Chapter II)

One way to learn group processes is to observe and analyze what happens on one's board. Everyone has spent his life in groups of various sorts -- the family, "gang", team, work group, etc., but rarely has he taken the time to observe what happens in the group, or why members behave as they do. One of the main goals here is to become better observers and better participants.

But what is there to see in a group?

I. Content vs. Process

To observe what the board is talking about, focus on content. To observe how the board is handling its communication, i.e., who talks how much or who talks to whom, focus on group process.

Most topics about the CAA's programs emphasize the content (i.e. "what is succeeding?" "how can staff abilities be improved?") and concern issues which are "then and there" in the sense of being abstract, future or past oriented. In focusing on group process, at what the group is doing in the "here and now," how it works in terms of its present procedures and processes.

Looking at process really means to focus on what is going on in the group and trying to understand it in terms of other things that have gone on in the group.

II. Communication

One of the easiest aspects of group process to observe is the pattern of communication:

1. Who talks? For how long? How often?
2. Who do people look at when they talk?
 - a. One individual or potential supporters
 - b. Everyone by scanning the group
 - c. No one.
3. Who talks after whom, or who interrupts whom?
4. What style of communication is used (assertions, questions, tone of voice, gestures, etc.)?
5. What non-verbal communication is taking place: Whose giving a wink or nod to whom?

The kinds of observations made give us clues to other important things which occur in the board, such as who leads whom or who influences whom.

III. Decision-Making Procedures

Groups make decisions all the time, some of them consciously and in reference to the major tasks at hand; some of them without much awareness, and in reference to group procedures or standards of operation. It is important to observe group decision-making in order to assess the appropriateness of the decision to the subject decided upon, and the consequences of the given methods.

Board decisions are notoriously hard to rescind. When someone says, "Well, we decided to do it, didn't we?" any budding opposition is quickly immobilized. The decision can be rescinded only if it is reconstructed, understood, and the method tested.

IV. Task - Maintenance - Self-oriented Behavior

Behavior in the group can be looked at in terms of purpose or function. When a member says something, is he primarily trying to get the group task accomplished (task), or is he trying to improve or patch up some relationships among members (maintenance), or is he primarily meeting some personal need or goal without regard to the board's problem (self-oriented)?

As the board grows and member needs become integrated with group goals, there will be less self-oriented behavior and more task or maintenance behavior. What kinds of categories can be identified?

A. Types of behavior relevant to the board's fulfillment of its tasks:

1. Initiating: Proposing tasks or goals; defining a group problem; suggesting a procedure or ideas for solving a problem...
2. Seeking information or opinions: Requesting facts; seeking relevant information about group concern ... Asking for expressions of feeling; requesting a statement or estimate; soliciting expressions of value; seeking suggestions and ideas ...
3. Giving information or opinion: Offering facts; providing relevant information about group concern... Stating a belief about a matter before the group; giving suggestions and ideas.
4. Clarifying and Elaborating: Interpreting ideas or suggestions; clearing up confusions; defining terms; indicating alternatives and issues before the group....

5. Summarizing: Pulling together related ideas; restating suggestions after the group has discussed them; offering a decision or conclusion for the group to accept or reject ...
 6. Consensus Testing: Asking to see if the group is nearing a decision; sending up trial balloons to test a possible conclusion ...
- B. Types of behavior relevant to the board's remaining in good working order, having a good climate for task work, and good relationships which permit maximum use of member resources, i.e., group maintenance:
1. Harmonizing: Attempting to reconcile disagreements; reducing tensions; getting people to explore differences ...
 2. Gate Keeping: Helping to keep communication channels open; facilitating the participation of others; suggesting procedures that permit sharing remarks...
 3. Encouraging: Being friendly, warm, and responsive to others; indicating by facial expression or remark the acceptance of others' contributions...
 4. Compromising: When a personal idea or status is involved in a conflict, offering a compromise which yields status; admitting error; modifying positions in interest of group cohesion or growth...
 5. Standard Setting and Testing: Testing whether the group is satisfied with its procedures or suggesting procedures; pointing out explicit or implicit norms which have been set to make them available for testing ...

Every board needs both kinds of behavior and needs to work out an adequate balance of task and maintenance activities.

V. Emotional Issues; Causes of Self-Oriented Emotional Behavior

The processes described so far deal with the board's attempts to work, to solve problems of task and maintenance, but there are many forces active in groups which disturb work, which represent a kind of emotional underworld or under-current in the stream of group life. These underlying emotional issues produce a variety of emotional behaviors which interfere with or are destructive of effective group functioning. They cannot be ignored or wished away, however. Rather, they must be recognized, their causes must be understood; and, as the group develops, conditions must be created which permit these same emotional energies to be channelled in the direction of group effort.

What are these issues or basic causes?

1. The problem of identity: Who am I on this board? Where do I fit in? What kind of behavior is acceptable here?
2. The problem of goals and needs: What do I want from the group? Can the group goals be made consistent with my goals? What have I to offer to the group?
3. The problem of power, control, and influence: Who will control what we do? How much power and influence do I have?
4. The problem of intimacy: How close will we get to each other? How personal? How much can we trust each other and how can we achieve a greater level of trust?

What kinds of behaviours are produced in response to these problems?

1. Dependency-counter-dependency: Leaning on or resisting anyone in the group who represents authority, especially the trainer.
2. Fighting and Controlling: Asserting personal dominance, attempting to get your way regardless of others.
3. Withdrawing: Trying to remove the sources of uncomfortable feelings by psychologically leaving the board.
4. Pairing Up: Seeking out one or two supporters and forming a kind of emotional sub-group in which the members protect and support each other.

These are not the only kinds of things which can be observed in a group. What it is important to observe will vary with what the group is doing, the needs of the observer and his purposes, and many other factors. The main point, however, is that improving our skills in observing the board will provide us with important data for understanding our board and increasing our board's effectiveness.

ATTACHMENT TWO

SELF-ANALYSIS EXERCISE
ON
REPRESENTING CONSTITUENTS

1. Do you report to your constituents effectively?
2. Do you know their views?
3. Do you represent their views on the board?
4. Did you learn of their views by meeting regularly with them?
5. Do you know the leaders of your constituents?
6. Do you know many of your constituents?
7. Can you describe the main problems of the constituents you know?
8. Do you meet with your constituents on a regular, scheduled basis?
9. Do you resolve differences between your personal interest and those of your constituents?
10. Do you evaluate your effectiveness as a representative?
11. Are you:

Very effective	Okay	Need to Improve	Poor Ineffective

ANALYSIS OF SKILLS IN GROUPS

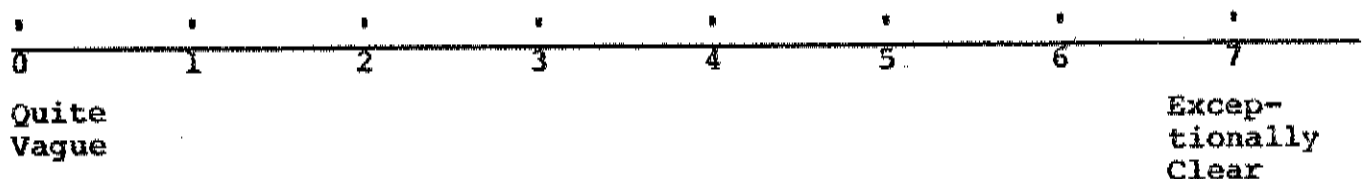
(Part II, Chapter II)

Instructions:

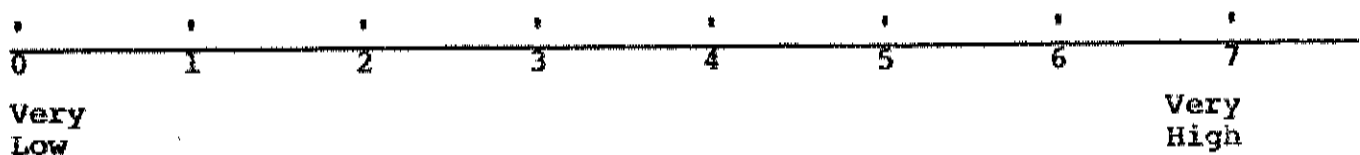
This form is designed to help you think about your attitudes and behavior in groups (board meetings, committees, consultations, etc.). First, read over the scales and on each one place a check mark pointing to the place on the scale that describes you when you are at your best. Label this mark "B". Do the same for the point that describes you when you are at your worst. Mark this check "W".

After marking all the scales, pick out the 3 or 4 attitudes you would most like to change. On these scales draw an arrow above the line to indicate the direction you would like to enlarge, contract or shift the range of your attitudes or behaviors.

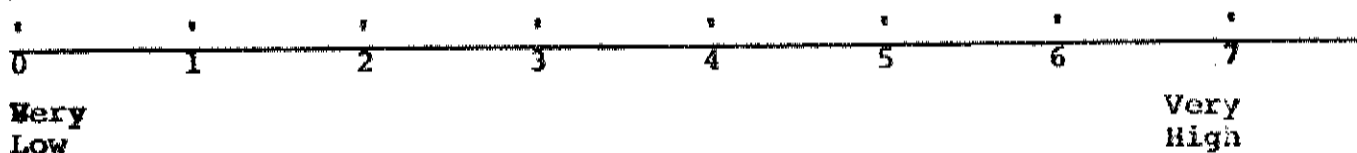
1. Clarity in expressing my thoughts



2. Ability to listen in an alert and understanding way



3. Ability to present ideas forcefully and persuasively



4. Ability to "stay with" the topic being discussed



0 1 2 3 4 5 6 7

Quite Suspicious

Extremely Trusting

0 1 2 3 4 5 6 7

Conceal Everything

Reveal Everything

0 1 2 3 4 5 6 7

Very Reluctant Like to Very Much

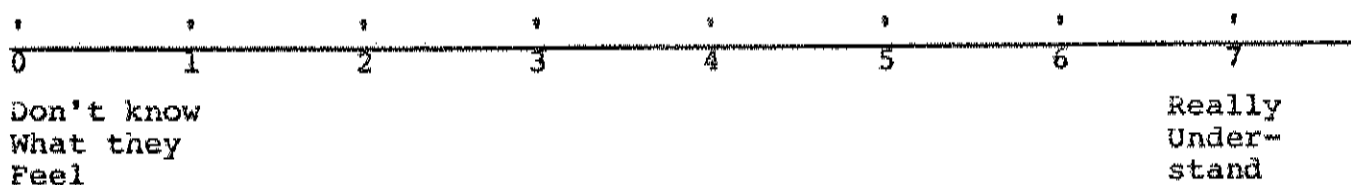
	1	2	3	4	5	6	7
Don't							Try
Try							Very
							Hard

A horizontal number line with tick marks at 0, 1, 2, 3, 4, 5, 6, and 7. The word "Cool" is written below the line near the 0 mark, and the word "Warm" is written below the line near the 7 mark.

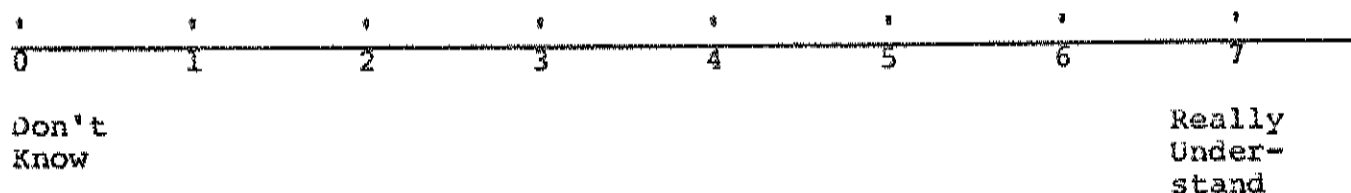
0 1 2 3 4 5 6 7

Ignore Take
Them Them
Very
Seriously

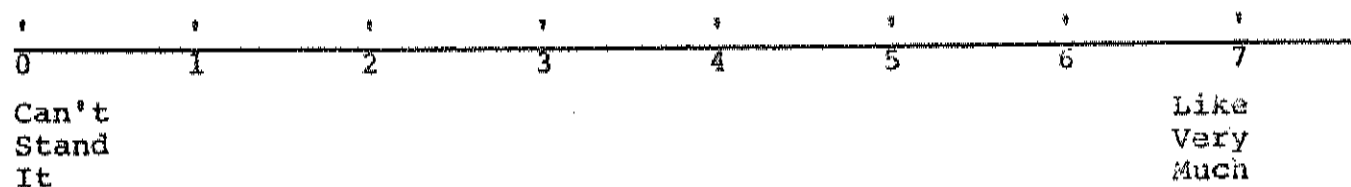
11. Understanding of the feelings of others (empathy)



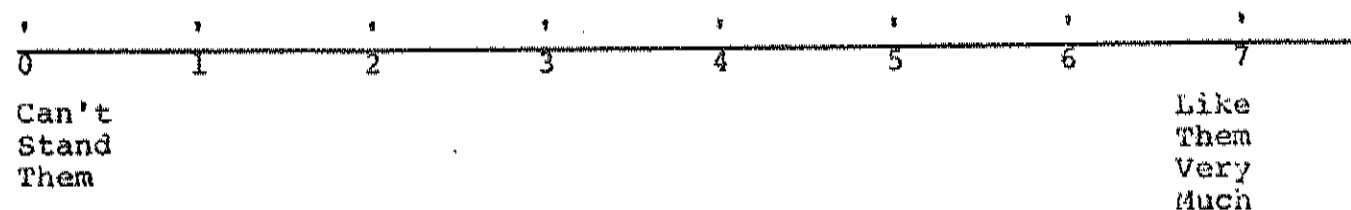
12. Understanding why I do what I do (insight)



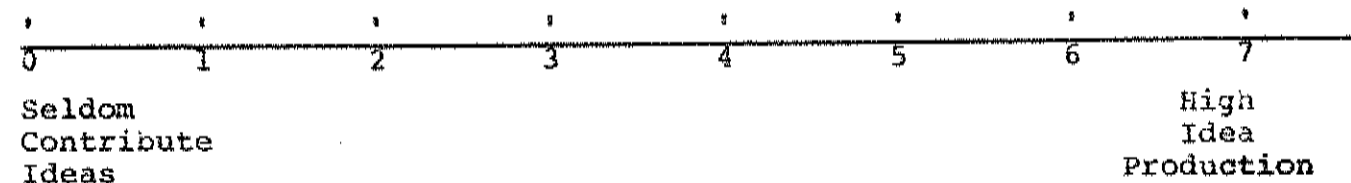
13. Tolerance for conflict and antagonism in the group



14. Tolerance for expressions of affection and warmth



15. Thinking creatively in groups



16. Tolerance of opposing opinions



ATTACHMENT FOUR

BOARD MEMBERS INTERPERSONAL SKILLS INVENTORY
INSTRUCTIONS
(Part II, Chapter II)

Please answer each question in two ways. First indicate by "✓" the response which most closely represents your impression of the board member as he typically functions. If you have not directly observed him in the area covered by any questions, record your impression based on what you expect would be the case from what you do know about him. If any of your responses reach pure or nearly pure guesswork, please circle the response as "⓪".

Second, indicate by "X" the response to each question which represents your opinion of the most effective possible practice. There are always exceptions but indicate what you think effective practice is in general.

The board member you are considering is:

BOARD MEMBERS INTERPERSONAL SKILLS INVENTORY

(Part II, Chapter II)

1. Extent to which he behaves so that I feel free to discuss important things with him.
 - a. I feel reluctant to discuss things about the board with him.
 - b. I feel a little reluctant to discuss things about the board with him.
 - c. I feel rather free to discuss things about the board with him.
 - d. I feel completely free to discuss things about the board with him.
2. Part of the nature of an effective board is taking risks and investing time and resources in promising ideas which might provide a better product or service. If you initiated a new method or service and invested valuable time on it, what would he most likely do if the project were not productive.
 - a. He would criticize me in such a way that it would injure my position on the board.
 - b. Some criticism and little acceptance of my ideas in the future.
 - c. He would give some criticism but would want me to continue promoting such ideas.
 - d. We would be responsive to my views and collaborate with me on other projects.

3. With regard to seeking useful ideas that I might have, he
- a. ___ Doesn't appear to be interested in my ideas.
 - b. ___ Doesn't seek my ideas but will listen to them if I initiate.
 - c. ___ Sometimes seeks my ideas and sometimes uses them.
 - d. ___ Actively seeks my ideas and tries to use them.
4. To what extent does he spend time working with others in ways that develop their skills and solve problems.
- a. ___ Spends a great deal of time helping them.
 - b. ___ Spends some time helping.
 - c. ___ Spends a little time.
 - d. ___ Almost never spends time.
5. In terms of giving others recognition for their contributions, he
- a. ___ almost never does this.
 - b. ___ sometimes does this, but not really genuinely.
 - c. ___ occasionally does this, and usually genuinely.
 - d. ___ consistently and genuinely does this.
6. When I have a strong personal reaction to him, it is usually because
- a. ___ He makes me feel guilty, angry or outclassed.
 - b. ___ He generates personal friendship and personal loyalty.
 - c. ___ He is persuasive or clever,
 - d. ___ He involves me and shows concern for my viewpoints.

7. The kinds of attitudes he produces in me are
- a. ___ Often hostile and counter to doing what he wants to do.
 - b. ___ A sense of obligation to him.
 - c. ___ A sense of surface cooperation and expedience.
 - d. ___ A sense of real commitment on my part.
8. When working with him, he makes me feel
- a. ___ Defensive, deflated, inferior.
 - b. ___ Relaxed, friendly, somewhat controlled.
 - c. ___ Unsure, manipulative, persuasive.
 - d. ___ Involved, important, satisfied.
9. How willing are you to trust him with information that might be potentially harmful to you?
- a. ___ Would be very reluctant to do so.
 - b. ___ Somewhat, but with strong reservations.
 - c. ___ Sometimes very willing, sometimes not. A good deal of discretion is required.
 - d. ___ Quite willing, particularly about board problems.
10. When I try to communicate with him, he
- a. ___ Distorts my words and meanings, usually to his advantage.
 - b. ___ Accepts what I am saying but then tries to get me to accept his position.

- c. ____Tries to understand me, but at times will subtly change the emphasis of my remarks.
- d. ____Tries to understand me fully, even when he is in disagreement.
11. In meetings we both attend, I generally have the feeling he
- a. ____Doesn't really listen to me, except to find holes in my logic.
- b. ____Listens somewhat, but seems to have his mind made up.
- c. ____Listens enough to follow me, at the same time seems to be weighing my thoughts against his.
- d. ____Fully listens to both my words and their meaning.
12. The degree to which he levels with me about his thoughts, feelings or intentions is
- a. ____Very low; seldom levels except to put me off guard.
- b. ____Low, will level about things I like to hear.
- c. ____Moderate; it is sometimes difficult to determine when he is or isn't levelling.
- d. ____Very high; I usually know what he is really thinking and where I stand with him.
13. Willingness to be influenced by me is
- a. ____Very low most of the time.
- b. ____Low most of the time.
- c. ____Somewhat high, varies based upon what he is trying to get from me.
- d. ____Quite high and open for consideration.

14. When we are jointly involved in a problem, he

- a. ___ Strongly wants to have the greater influence.
- b. ___ Prefers to have the greater influence.
- c. ___ Will trade off; will let me win some if I let him win some.
- d. ___ Is more interested in the best solution than in being influential.

15. The kind of discussion required for me to influence him is

- a. ___ Positive, assertive, hard-headed argument.
- b. ___ Careful, friendly, subtle soft sell.
- c. ___ Give and take; one that lets him compromise.
- d. ___ A thorough, deep analysis of the problem.

16. To what extent are other board members involved in his decision.

- a. ___ He decides himself rather exclusively.
- b. ___ Usually he consults with others but ordinarily does not involve them in the decision making.
- c. ___ He works jointly with others, trying to persuade them to his point of view.
- d. ___ Others are fully involved with him in seeking the best decision.

17. In making decisions with him, I find him to be.

- a. ☐ Overpowering.
- b. ☐ Tasteful and courteous, but not very flexible.
- c. ☐ Expedient, not sufficiently thorough, short sighted.
- d. ☐ Flexible, open to all viewpoints and considerate.

18. With regard to deviating from tradition, and taking risks, he

- a. ☐ Deviates and takes risks himself, but doesn't like other to do so.
- b. ☐ Is very conservative; prefers established ways.
- c. ☐ Takes some risks, but usually when he can cover himself.
- d. ☐ Takes responsible risks easily and openly faces the consequences.

19. As you see it, what seems to be his reaction to people who have authority over him?

- a. ☐ He is somewhat rebellious to authorities.
- b. ☐ He is somewhat submissive.
- c. ☐ He is somewhat apprehensive and cautious.
- d. ☐ They do not affect him in any special way.

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- 24, Standards of Eligibility for Members of Governing Bodies and Policy Advisory Committees of CAA's and Single Purpose Agencies: Policy and Procedures.
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THE RELATIONSHIP OF THE CAA BOARD TO THE CAA
DIRECTOR AND STAFF

(Part II, Chapter 11)

THE RELATIONSHIP OF THE CAA BOARD TO THE CAA
DIRECTOR AND STAFF

(Part II, Chapter 11)

- I. INTRODUCTION
- II. THE AUTHORITY OF THE BOARD
- III. THE DERIVATION OF THE BOARD'S AUTHORITY
- IV. THE RELATIONSHIP OF BOARD TO STAFF
- V. THE RELATIONSHIP OF BOARD COMMITTEES TO THE ENTIRE BOARD AND TO THE STAFF
- VI. AUTHORITY AND RESPONSIBILITY OF THE EXECUTIVE DIRECTOR
- VII. THE CAA STAFF AS A SOURCE OF INFORMATION
- VIII. OEO RESTRICTIONS
- IX. THE "TWO HAT" PROBLEM
- X. SUMMARY

I. INTRODUCTION

"Poverty Chief Resigns in Dispute with Board"

"CAA Staff Protests New Board Chairman"

"Factions Split Local Economic Opportunity Agency"

"Director Challenges Board in Firing of Poverty Aide"

Headlines such as these are found increasingly in daily and weekly newspapers throughout the U. S. They underline a problem that is all too common to community action agencies -- the problem of Board-staff relationships. The CAA Board's understanding of its relationship to the Executive Director and his staff must be viewed as critical to the whole style of operation of the CAA and, ultimately, to the success or failure of its program. It determines whether the local antipoverty agency operates as a smooth functioning and effective team or as a loose misalliance of two power bases (Board and staff) neither of which properly understands its own role or the proper relationship of the one to the other. To varying degrees, the problem is of equal importance to the other representative structures within the CAA framework such as neighborhood and area boards and councils, program advisory committees, and so forth.

In this chapter we shall try to provide a basis for such an understanding for members of CAA Boards and similar representative groups. Hopefully too, CAA and delegate agency staff can benefit from the discussion for no one can reach understanding on a one-way street. The next few sections deal with the matter of relationships from several perspectives:

- The Authority of the Board
- The Derivation of the Board's Authority
- The Relationship of Board to Staff
- The Relationship of Board Committees to the entire Board and to the Staff
- Authority and Responsibility of the Executive Director, and
- Staff as a source of Information.

The final sections, titled:

- OEO Restrictions and
- The "Two Hat" Problem

will deal with the general question of conflict of interest.

II. THE AUTHORITY OF THE BOARD

In discussing the authority of the Board, some distinctions must be made at the outset among: (1) Governing Boards, (2) Administering

Boards, and (3) Advisory Boards. The word "Board" here is intended to include all representative committees, councils, and similar groups which are part of the overall CAA network.

The principal, policy-making body of a private, non-profit community action agency is called a Governing Board. The Boards of some neighborhood corporations and delegate agencies may be in fact governing boards with respect to their own organizations, though they are usually called something else in OEO terminology (e.g. neighborhood councils).

The Governing Board of a community action agency has full policy and decision making authority for the CAA, and, consequently, it bears the full responsibility for any and all actions taken by the agency. Legally speaking, the Governing Board is the CAA. This point is particularly important when considering the relationship between the CAA and OEO (as well as other funding sources). This relationship is based on a grant from OEO to the Board, and it is the Board, not the Executive Director and his staff, that OEO holds responsible for abiding by the terms of that grant.

This "fact of life" is often misunderstood by both Board and staff members alike. How many Executive Directors, for example, speak of the governing body as "my Board?" How many speak of "using" their Board in this way or that? Unfortunately, the problem is not simply one of terminology. Too many Executive Directors manipulate the Governing Boards of their CAA's, and too many Boards serve simply as a rubber stamp for the Executive Director and his staff. This is a complete reversal of the proper relationship between the two. The Executive Director and his staff are employees of the Board whose charge is to carry out plans and policies determined by the Board.

The cause of such a reversal of roles is not always the Executive Director. Many a Board expects its Director and staff to "tell us what to do." This kind of arrangement may appear to be working fine in a community with a strong and competent Executive Director. Appearances can be deceiving, however, and since it is the Board which is representative of all segments of the community, it is the Board, and not the Executive Director, that should ultimately determine what is best for the community. Another factor to be considered is the high rate of turnover (roughly one-third annually) among CAA Directors, nationwide. No matter how effective a Director may be, or how keen his perception of community needs, the Board must be in control, at all times, to assure a continuity of policy, if and when the Director leaves the agency. This is not to imply that Board members should not encourage creativity from the Executive Director, give significant weight to his point of view, and support his personnel staff decisions, for in the success of the Executive Director lies the true success of the Board.

In those few communities where the local political jurisdiction (city, county, etc.) has designated itself as the community action agency, the governing officials are required to establish an Administering Board. Unlike the Governing Board, the Administering Board is not the source of all authority in the CAA, nor is it the legal embodiment of the CAA. Its actual authority depends on the powers delegated to it by the governing

officials of the political jurisdiction. Thus, at one extreme, it may function in all respects as a Governing Board, or, if the governing officials choose to withhold all substantive decision making authority (other than those minimum powers required by CA Memo 81), it will be, in reality, a consulting body or an advisory board.

An advisory board is formed to make certain that the views of those immediately affected by antipoverty programs and other interested groups are fully considered in the planning and decision-making process. For example, many OEO and non-OEO programs (e.g. Head Start, Upward Bound Foster Grandparents, and Comprehensive Neighborhood Health Services) all require the establishment of various kinds of advisory boards. These groups, generally, have some role in the selection of the Program Director and his staff. The requirement may simply be that they be consulted in the selection process, or it may be that there be a "consensus" between the Advisory board and the administering agency. In general it can be said, however, that the authority of the advisory board is an "authority of ideas" rather than decision-making authority as found in a CAA Governing Board.

We have distinguished carefully in this section among Governing Boards, Administering Boards, and Advisory Boards, because they differ from one another in their relationship to staff chiefly with regard to the amount and kind of authority they possess. The sections that follow will, by and large, ignore these distinctions since the principles discussed will, for the most part, be applicable to all Boards; whether Governing, Administering, or Advisory. Accordingly, in the succeeding sections, the word "Board" applies with equal force to CAA Governing Boards, Head Start Policy Advisory Committees, Neighborhood Councils, etc., and the term "Executive Director" can be extended to include Program Directors, Neighborhood Center Directors, etc.

III. DERIVATION OF THE BOARD'S AUTHORITY

Because of the unique role of the Board Chairman with respect to the CAA, a situation can occur where, in effect, the Chairman, and not the Board, directs the agency. Often, too, a Board member with a strong interest in certain program areas may be tempted to make his own policy "decisions" in these areas without consulting other Board members. Such practices undermine good Board-staff relationships, and, more importantly, can undermine the confidence of the community in the CAA.

An important principle to remember is that the authority of the Board results from its group action. No individual Board member (or clique) represents the Board or has any authority over the CAA. Individual Board members who want action which the Executive Director is unwilling or unable to support should take their concerns to the Board. As suggested above, the relationship between the Board Chairman and the Executive Director can sometimes lead to a violation of this principle.

The Chairman is usually a community leader with strong interests in the problems of the poor. His primary function is to preside at meetings of the Board and Executive Committee, and to provide the leadership for these organizations. As the principal representative of the Board, however, he frequently will have a need to communicate with the Executive Director. He will want to be advised on the status of program applications, program implementation, operating problems and other factors relating to CAA operation. The Board Chairman may suggest alternative solutions to operating problems, and the Executive Director may request his advice. In most CAAs Board Chairmen and their Executive Directors enjoy a high degree of rapport. They communicate with each other freely and cordially. The relationship is informal and productive. The Executive Director generally welcomes the advice and suggestions of the Board Chairman. To this extent the relationship is good and even desirable.

Nevertheless, it should be remembered that the Board Chairman is still an individual (although an influential) Board member. He does not have the authority to determine CAA policy by himself or to issue operating directives to the Executive Director. The Board Chairman must be extremely careful in presenting suggestions so as not to imply a directive.

IV. THE RELATIONSHIP OF BOARD TO STAFF

As suggested in the preceding section, proper Board-staff relationships are dependent, in part, on 'individual Board members' (including the Chairman) remembering that the Board's authority is vested in the entire body, and that they have personal authority over the CAA only to the extent that they are empowered to speak for the entire Board. Board and staff must also be aware, however, of two other important principles of Board-staff relationships:

1. The Board is primarily and fundamentally a policy making body, as distinguished from the Executive Director and his staff who are charged with implementing and executing policy.
2. The Board and individual Board members should never bypass the Executive Director in dealing with subordinate CAA or delegate agency staff.

The first principle means, simply that; while the Board must observe, question, and evaluate the operational functions of the CAA; it should refrain, insofar as possible, from direct participation in these functions.

In its policy making role, the Board is responsible for:

- identifying the needs of the community,
- establishing the long and short range goals of the CAA,
- formulating strategic plans for community action,
- approving overall program plans and priorities,
- approving proposals for financial assistance, and
- hiring and firing the Executive Director.

By way of contrast, the Executive Director is responsible for the administrative leadership of the CAA. He

- hires, fires, and supervises the staff;
- plans how projects will be run;
- obtains equipment and supplies;
- schedules activities;
- evaluates staff performance; and
- monitors projects.

An effective Community action agency is a partnership between the Board and its Executive Director with each playing a distinct but necessary role. When these roles become confused or overlap, it cripples the entire decision making process in the CAA and makes it that much more difficult for its programs to succeed. Neither the Board nor the Director should allow the other to intrude in its (or his) proper area of responsibility. The best way of assuring that neither the Board nor the Executive Director intrude on the others' proper area of responsibility is to define those areas clearly, in writing, either in the charter or in a delegation of authority from the Board to its staff.

It's not easy for Board members to restrict themselves to matters of policy. Most of us like to "be where the action is," to get involved with the "nitty-gritty." The Board must be aware, of course, of "what's happening," and it must always maintain open channels of communication to and from the community it serves. To the extent, however, that a Board views the "nitty-gritty" as the day-to-day business of the CAA, it must resist the temptation to get involved.

Just as a Board Chairman is sometimes tempted to issue directives to the Executive Director without consulting his fellow Board members, so he (and other members) occasionally want to deal directly with subordinate CAA staff without consulting, or working through, the Executive Director or (in his absence) his designate. Where this takes place, it often takes the form of:

1. Direct communications with staff members without the knowledge or presence of the Executive Director.
2. Issuing operating instructions to staff personnel.
3. Having CAA project components answer directly to the Board Chairman rather than the Executive Director, and similar actions.

These practices are detrimental to the mission of the CAA because, by making staff members responsible to two bosses, they undermine the authority of the Executive Director and, as a consequence, weaken the entire organization. Moreover, they tend most often to work to the advantage of individual Board members rather than the entire CAA, and can, on occasion, undermine the basic strategy of the CAA. Take, for example, the case of the Board member who is also President of the local Jaycees. His third hat might be

Chairman of the Board of the largest department store in town. CAA strategy (backed by the Board) is to give first priority to training and employment opportunities for males, particularly in construction and other blue collar occupations. Though his heart may be pure, the Board member may have missed a few Board meetings, and thus, be unaware of CAA strategy. Bypassing the Executive Director, he goes directly to the Chief of the Manpower Program with the following problem. "I've got 25 vacancies in my stores for salesgirls, but I can't find people with the basic arithmetic skills to total a sales check. We've tried to provide training programs for applicants, but it just hasn't worked out. Couldn't you give us a hand?"

It's the unusual Manpower Director who won't strive to please, even though he may (or may not) realize that this runs counter to the CAA's current strategy.

In a later section we'll be discussing the "Two Hat" problem (e.g., the School Superintendent who sits on the CAA Board and also directs a delegated Head Start Program). In a case such as this, it must be remembered that when the School Superintendent speaks (for example) to the Manpower Director, he speaks, not as a Board member, but as another program director. His requests and suggestions should be weighed in that regard.

V. THE RELATIONSHIP OF BOARD COMMITTEES TO THE ENTIRE BOARD AND STAFF

Most Boards organize themselves into committees in order to (1) divide the workload, (2) develop expertise among its members, or (3) permit decision making in between meetings of the full Board. The latter reason has the greatest implications for Board-staff relationships.

A clear distinction must be made between those committees which are empowered to act for the full Board and those which are advisory committees. Unless such distinctions are made and clearly understood by all concerned, the Board runs the risk of losing its control over the CAA to cliques or special interest groups. It is generally good policy for the Board to state the exact limits of each committee's authority and responsibility in a written charge to the committee which should be distributed, as a minimum to all committee members, the Board Chairman and the Executive Director. If the authority and responsibility of a committee is changed in any way by action of the Board, the written charge should be promptly altered to reflect the changes.

The committee most commonly empowered to act with the authority of the full Board is the Executive Committee. An Executive Committee must fairly reflect the composition of the full Board in terms of representation of the poor, public officials, private interests, etc. Other committees (e.g. Personnel) may occasionally be given limited powers to act for the full Board. Ideally, however, the Personnel Committee's (and other committees') role should be limited to recommending general policy to the Board. The Personnel Committee may, on occasion, exercise a concurrent responsibility with the Executive Director with regard to hiring

and firing. The major point to be remembered is that Board committees, like their parent bodies, are policy making (or policy advisory) and should not participate in the internal management of the CAA.

VI. AUTHORITY AND RESPONSIBILITY OF THE EXECUTIVE DIRECTOR

A CAA Executive Director is the chief executive and top manager of the CAA. His role is similar to that of the president of a company in which the company Board of Directors sets policy, and the president executes it. As we noted earlier, the Executive Director is an employee of the Board of Directors. As an employee he is not expected to be in total agreement with his employer. Board members should recognize, however, that if an Executive Director is forced to spend a great amount of time and energy cajoling, pleading, fighting with an unmotivated or recalcitrant Board, little time and energy will remain for the Director to motivate his staff or implement programs. The Director is responsible for discussing significant differences with the Board and, if he is not in at least general agreement with the Board's policies, he should resign.

The effectiveness of the Executive Director will be based in part, however, on his image. In some instances this can mean that, in order to retain his credibility with the poverty community, the Director must keep his "public" relationship with the Board distantly polite. Board members would be well advised to recognize this need also with regard to the CAA staff's image of the Executive Director, for parts of the staff are frequently an articulate grapevine back into the community.

The Executive Director derives his authority from the Board and is responsible to it for his performance. The basic measure of his performance is, of course, the CAA's success in bringing people out of poverty. This, in turn, is measured by such factors as the provision of self-help opportunities for poor people to attain better education, housing, employment, etc., and by the success of the entire community action program in ending the system of poverty.

The Executive Director is responsible for the administrative leadership of the CAA. Within the CAA he should organize his staff to most effectively subdivide the work, assign responsibilities, and delegate authority to his second echelon managers. He should insure that no organizational faults occur; that no gaps in responsibility are left; that no overlapping of authority exists; that well defined systems and procedures are instituted; that individual staff members know their jobs, know their responsibility and authority, and know to whom they are to report and from whom they are to receive instructions.

The Executive Director's relationship to other staff members is subject to policies developed by the Board. The most desirable policy is to give the Director full responsibility and authority to make all staff appointments. Any responsibility which the Board retains in this regard tends to undercut the authority of the Executive Director over his staff. A Board cannot retain hiring and firing authority and then hold the Director responsible for the performance of the staff which looks to the Board as its employer.

VII. THE CAA STAFF AS A SOURCE OF INFORMATION

We've stressed the policy-making role of the Board and insisted that it not involve itself in the day-to-day operations of the CAA. If the Board is to exercise its authority responsibly, however, it must keep itself fully informed about these day-to-day operations. Recently, a staff assistant in a certain CAA observed that he was preparing two monthly financial reports; one for the Executive Director and the other for the Board. When asked the reason for this, he replied that the Board didn't want and didn't have time to be burdened with details. Actually, the report the Board was getting not only lacked detail, it was clearly incomplete. The fault in such cases lies, not with the Executive Director or his staff, but with the Board. The Board must insist upon complete information, whether in status reports, briefings, quarterly or monthly reviews, etc. This does not mean that the Board should receive raw data or that summaries should not be permitted. Any information must be presented in such a way that it is not only complete, but also understandable and useful to the Board. Information should not be restricted to "hot" problems, but should also cover matters of general concern (how staff recruitment is progressing, etc.). The staff should not wait for its monthly (or other periodic) report, however, to inform the Board of major difficulties. Even though the Board may not be able to take any immediate corrective action, it is better that it first learn of trouble from its own staff rather than through the public media.

The Board must not only insist on complete information, it must also require timely information. The surest path to a "rubber stamp" relationship between Board and Staff is the practice of deluging the Board with paperwork a day or so before a Board meeting. The Board cannot permit this practice, even if it means postponing a meeting until it has had a chance to digest the proposals and reports placed before it.

Keeping the Board adequately supplied with information can, of course, be time-consuming. While he has a duty to be responsive to the Board, an Executive Director should not spend so much time preparing for meetings that he neglects his other responsibilities. When a Director finds himself spending an inordinate amount of time preparing reports and supplying the general informational needs of the Board, he should take matters up with them, and discuss the possibility of an Administrative Assistant or Executive Secretariat taking over these duties.

In some cases it may not be the Executive Director, but members of his staff, who spend an inordinate amount of time arranging for meetings, preparing reports, agenda, etc. for the Board and its committees. Planning and Personnel Committees, for example, may tend to rely excessively on their staff counterparts (Planning and Personnel Officers) for strictly administrative support. When these demands hamper staff personnel in accomplishing their functional responsibilities, serious consideration should be given to the appointment of an Administrative Assistant to take over all work of an administrative nature, freeing regular staff to work full time on their respective programs.

In a small CAA where these alternatives may not exist, the Board and the Director will simply have to come to an understanding as to what constitutes a reasonable balance between the Board's need for information and the Director's need for time to administer the agency.

VIII. OEO RESTRICTIONS

Proper Board-staff relationships imply the absence of conflict of interest. OEO Instruction 6900-1 (draft) establishes some general restrictions in this regard. Briefly, they are as follows:

- "No person shall hold a job while either he or a member of his immediate family serves on a board, council, committee, or other major policy-making body of a grantee or delegate agency which, either by rule or by practice, regularly nominates, recommends, screens or selects candidates for the particular agency or program in which he is employed. For example, a person could work for a Head Start project and serve on the Neighborhood Health Council for a Comprehensive Neighborhood Health Services project since that council would not participate in the selection of Head Start staff. He could not, however, serve on the Head Start Advisory Council if that group had the above powers.
- "A member of an immediate family shall include any of the following persons:

Husband	Wife
Father	Father-in-law
Mother	Mother-in-law
Brother	Brother-in-law
Sister	Sister-in-law
Son	Son-in-law
Daughter	Daughter-in-law

"In the case in which a member of a board or other major policy-making body wishes to apply for a staff position which would result in one of the conflicts of interest prohibited in ... above, he may apply for the position provided the following procedures are observed:

- He does not participate in any way in the nomination, screening or selection process.
- The vacancy is widely advertised and all qualified candidates are fully considered on an equal basis.
- He resigns from the board or other policy-making group immediately upon notification of selection to the position, if he is selected."

For a complete discussion of conflicts of interest and nepotism in the CAA, including special provisions for Indian and Migrant Programs, see OEO Instruction 6900-1 (draft).

IX. THE "TWO HAT" PROBLEM

An unusual problem of conflict of interest occurs when a Board member wears, in effect, two hats. An example would be the Superintendent of Schools who sits on the Board and, at the same time, directs the Head Start Program for the CAA. This kind of situation is rather common and is not really a conflict of interest in the same sense as the examples given in section VIII of this chapter. Nevertheless, the Board member should at least be aware that he does wear two hats; one as a public jurisdiction representative of the school system on the Board, the other as the chief official of an agency with which the CAA has a contractual relationship to run a delegated program. Suppose, for example, the school system runs not only Head Start, but also an adult skills training program. When the School Superintendent (or one of his employees) goes to the Manpower Director with a request for jobs for 30 graduates, he goes not as a Board member (or a Board member's representative) but as another Project Director, coordinating work within the CAA. Both Board and staff should take note of this basic distinction and try to prevent the two roles from becoming confused.

X. SUMMARY

There is no simple formula which adds up to good Board-staff relationships. Such variables as political climate, historical circumstances, and personalities are important determinants, and solutions to problems will, of necessity, differ from one locale to another. Nevertheless, the needs and the challenges are the same in every CAA in every part of the country. The staff's need for broad-based support from the Board are equalled by the Board's need for a competent and dedicated staff. The Board ought to recognize the Executive Director as another very valuable and reliable source concerning the needs of poverty for he will be in daily touch with the poverty community. In return, the Executive Director should view the Board as additional interpreters of the poverty community, as well as resources and voices of the total community. Always, there must be a free flow of communications from Board to staff and vice-versa. Finally, and perhaps most importantly, there must be an awareness on the part of both Board and staff of the proper role of each, and the willingness and self-discipline to live and work within these roles.

TRAINING METHODOLOGY

I. Introduction

This chapter deals with key relationships under which a community action agency should operate. For a CAA to meet community needs, the CAA board must do its job. As a board development specialist, it is your job to make sure that CAA board members know and fulfill their responsibilities. Much of a board's responsibility relates to the way the board deals with its executive director and his staff. Therefore, you should train the community action board to be an effective overseer of its executive director and his staff.

This chapter deals with a maze of CAA board-executive director-staff relationship problems. Depending on the extent to which you find each of these problems in any particular CAA board, you will have to tailor and modify the training for this chapter. For example, if you find a CAA executive director who dominates the board, you may want to put emphasis on training the board to supervise the executive director. On other boards, you may find that individual board members (including the board chairman) are interfering with the executive director's work (for example by-passing him and directing his staff). In this case you will probably train the board to concentrate on its policy-making and evaluating responsibilities and give the executive director authority to supervise his staff. So, before you conduct training on the subject matter in this chapter, be sure to identify the specific problems of a given board so you can orient your training to solve these problems.

II. Overall Objectives

Through the training in this chapter, you should help board members identify and implement productive working relationships between the board, the executive director, and his staff. By the end of the training session you should have helped board members describe good relationships among the CAA's parts and obtain commitments from them to establish good relationships.

To make sure that a particular CAA board does its job of policy-making, planning, and evaluating the work of the CAA, you will likely have to do much more than conduct a training session. You will probably want to supplement this session by periodically providing technical assistance and counselling with individual board and staff members.

III. Specific Learning Goals

1. WHAT IS THE PROPER RELATIONSHIP BETWEEN A BOARD AND ITS STAFF?

Given a list of CAA functions, board members will be able to identify the ones for which they are directly responsible and the ones for which their staffs are directly responsible. For each of these responsibilities, board members will be able to provide a rationale, for the responsibility is their's and not the executive directors or his staff.

2. WHAT IS THE ROLE OF THE INDIVIDUAL BOARD MEMBER BOARD CHAIRMAN, COMMITTEE CHAIRMAN ?

Given a list of responsibilities for a board chairman , board members will be able to select the responsibilities within their own scope of authority. Given a list of responsibilities of a program committee chairman or an interested individual board member, board members will be able to select the responsibilities within the scope of their authority,

Board members will be able to explain their reasons for selecting or not selecting each item.

3. WHAT IS THE AUTHORITY OF THE EXECUTIVE DIRECTOR?

Given a set of duties representing the major responsibilities of the board's executive director and a list of the authority the director needs to do his job, board members will be able to explain the reasons he needs them to meet his responsibilities.

4. WHAT PROBLEMS DO WE FACE IN BOARD-STAFF RELATIONSHIPS?

Members will be able to identify and analyze the most critical problems in the area of board-staff relationships confronting their CAA.

5. HOW CAN WE SOLVE THESE PROBLEMS?

Members, in conjunction with CAA staff employees, will be able to develop a plan for alleviating these problems and enhancing cooperation and communication between the board and CAA staff.

IV. Methodology

This chapter deals with the relationships of a board with its own CAA staff. The problems you are seeking to alleviate require a joint effort by board members and staff employees. For this reason, consider including staff members, either in the entire training session or in some less involved way. For example, the executive director could be included in the entire session and other staff members in a short problem-resolution workshop led by the executive director. Another alternative is to have board members meet with key staff members on their own time to develop better board-staff relationships.

LEARNING GOAL #1: What is the relationship between a board and its staff?

1. Begin by explaining the objectives of Learning Goal #1 to the board members. Ask them if they feel it is important for them to accomplish their objectives. If they have reservations, ask them to explain the modifications they want to make.
2. Break the board into some cluster groups. Give each member a copy of the relationship list--Duties of a Community Action Agency.

RELATIONSHIP LIST: DUTIES OF A COMMUNITY ACTION AGENCY

We know that the board has overall responsibility for the whole CAA. For each of these duties, does the direct responsibility belong to the board or to the executive director?

<u>Responsibility</u>	<u>Belongs to Board</u>	<u>Belongs to Exec. Dir.</u>
To decide on the long-and short-range goals of the CAA	_____	_____
To hire and fire the staff	_____	_____
To hire and fire the executive director	_____	_____
To supervise the staff	_____	_____
To determine community needs	_____	_____
To supervise delegate agencies	_____	_____
To get equipment and supplies	_____	_____
To evaluate the work of the executive director	_____	_____
To monitor projects	_____	_____
To plan the execution of projects	_____	_____
To approve overall program plans and priorities	_____	_____
To promote members of the staff	_____	_____
To set up strategic plans for community action	_____	_____
To approve proposals for financial assistance	_____	_____

For each item have the break-out groups decide whether the CAA board should be directly responsible or whether the board should delegate the duty to its executive director and his staff. Be sure the groups discuss each of their decisions.

3. Show the 15 minute film strip presentation "Staff-Board Relationships." (This was produced by Creative Arts for OEO and is available through your Regional Training Office. This film strip demonstrates that board-staff relationships are essentially a partnership.)
4. Lead a discussion on this topic using the views recorded by the work groups and the main point of the film strip for reference. You will want to concentrate on those areas where you observe basic differences between member's views and recommended practices, as well as differences among the members themselves.

LEARNING GOAL #2: What is the role of individual board members?

1. Arrange to have the board chairman and the executive director perform a role play (skit) for the group well ahead of this training session. Also arrange for some other influential board (maybe a committee chairman) and staff members or delegate representative to put on another role play or skit.
2. Select some issues with which board members are familiar for each of these role plays. In the board chairman-executive director role play you could have the board chairman try to give an order to the executive director. The executive director should ascertain the source of the chairman's power.

If the chairman were not empowered by the board to give the order, the director should remind him that he is employed by the whole board, not exclusively by the chairman. Therefore, the chairman acting alone has no authority over him.

3. For the board committee chairman-staff member (or delegate agency representative) role play, have the influential board member make a suggestion to the staff. Have the staff member sincerely promise to consider the suggestion. Have the board member put pressure on the staff member by trying to force him to accept his "suggestion." At this point, the staff member will remind the board members that he works for the executive director and not any individual board member. Therefore, if the board member's suggestion were to have the force of an order, the whole board would have to issue instructions to the executive director.
4. Be sure you have seen both teams of role players do their skits before the start of the training session.
5. Discuss the objectives in parts A and B at the start of this part of the training session.
6. Explain briefly the relationship that should exist between board members and the board's executive director and his staff. Answer any questions.
7. Introduce the first role play by summarizing its key points - that the board chairman has no inherent control over the executive director, but that the executive director is responsible to the whole board.
8. Conduct the first role play. Afterwards, ask the board members if they felt the chairman was at fault. Ask for discussion; answer questions.
9. Introduce the second role play by summarizing its points: only the executive director (not board members) can give orders to his staff or to delegate agencies; on the other hand,

the whole board can ask staff members to do what it wants by issuing orders to the executive director.

10. Conduct the second role play. Afterwards ask where board members may have been at fault. Ask for comments; answer questions.
11. Break the audience into discussion groups once again. Select a spokesman for each group. Give each group the exercise entitled The Role of the Individual Board Member (See attachment).
12. Have each group go through the Individual Board Member exercise by answering the Yes-No questions about what board members should do.
13. Reconvene the group; compare their answers; have discussions and give correct explanations whenever the groups are wrong or unsure about the correct answer.

LEARNING GOAL #3: What is the authority of the executive director?

1. Have the board's executive director compose a brief list of his interpretation of his major responsibilities before this training begins.
2. Have the executive director list the kinds of authority (the powers) he feels he needs to meet his responsibilities for each responsibility (or for all of them).
3. Have the executive director explain to the board his major responsibilities. Ask board members if they approve or agree with what he is saying. Lead a discussion using the director's job description as a guide.
4. Have the executive director list each of the powers he needs. Ask board members to comment on why the executive director needs or does not need each power.

THE ROLE OF THE INDIVIDUAL BOARD MEMBER

Is it proper for either individual board members
or board chairman to do these things? Check Yes or No.

	<u>Yes</u>	<u>No</u>
Make suggestions to the executive director	_____	_____
Issue orders to the executive director	_____	_____
Issue orders to staff members	_____	_____
Follow the advice of the executive director	_____	_____
Take orders from the executive director	_____	_____
Get information about community needs	_____	_____
Make proposals to the whole board	_____	_____
Ask the executive director questions	_____	_____
Ask staff members questions	_____	_____

LEARNING GOAL #4: What problems do we face in board-staff relationships?

1. Start a session on this learning goal with a consultant who is an authority on board-staff relationships. To be more general, in policy-making-policy-implementing group relationships. Consultants in this area can often be located in university management or business departments. The problems faced by boards in this area are quite similar to those which many commercial businesses face. For this reason many training courses for managers cover these problems. Have your consultant discuss the causes of these problems and techniques a board can employ to improve relationships with its staff.
2. Be prepared to develop a list of the primary board-staff relationship problems. Pass out this list to the board members and have them rate each one from the most to the least serious. Also have them add other items that have been omitted and scratch out items they do not think are problems.
3. Have members of the CAA staff rate the same list of problems. Ideally, you should have members of the staff participate in the training program. If this is not possible, have them complete their rating sometime before the training session.
4. Develop a chart to compare the board's rating with that of the staff. Lead a discussion on these results. It should highlight the problems rated most serious and analyze the differences between board and staff member's ratings.

LEARNING GOAL #5: How can we solve these problems?

1. Pick five or six of the most serious problems identified under Learning Goal #4. These should be used as case problems by the board. If you have time, write a statement describing the major characteristics of each problem.
2. Have members of the CAA staff either participate in problem-resolution work groups with

board members or have them write out their recommendations for solving these problems. In either case, you want board members to develop solutions to these problems in a way which is responsive to the considerations of both them and their staff.

3. Look to the board members to develop a specific plan for solving problems, in this case, board-staff relationship problems. This may seem repetitious. However, it is unlikely that a board will move to alleviate problems unless it makes a commitment to take specific steps which it has originated. In this instance it would be very helpful to use the same consultant you used for Learning Goal #1 to help the members develop and evaluate their action plan.

A final note: include CAA staff members in this training, particularly in the development of action plans. This way you will obtain plans to which the staff, as well as the board are committed. Obviously this approach may require considerable time outside board meetings so that your objectives for this chapter may take some months to accomplish. Lengthy periods of time are to be expected for this and other training objectives you seek to help boards accomplish.

V. Evaluation

To evaluate the learnings of the board members in board-staff relationships, develop a technique for measuring the extent problems were alleviated. At the end of the training session, lead the board members in a short evaluation of the action plan they developed to solve their board-staff relationship problems.

Ask them if their action plan is in line with the appropriate responsibilities for a board and its chairman on the one hand and the CAA staff and its director on the other. If they think it is, ask them why. These types of questions will demonstrate the extent they have accomplished the learning goals for this chapter.

To measure the long-term effectiveness of the training, carry a list of the problems you designed the training to alleviate. Also prepare a schedule of people with whom you will check biweekly to discuss their work. During these discussions, ask questions that will indicate whether or not these problems have been alleviated.

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THE RELATIONSHIP OF THE CAA BOARD TO DELEGATE AGENCIES

(Part II, Chapter 12)

THE RELATIONSHIP OF THE CAA BOARD TO DELEGATE AGENCIES

(Part II, Chapter 12)

I. INTRODUCTION

II. WHY DELEGATE?

- A. To Capitalize on Existing Resources
- B. To Avoid Duplication
- C. To Decentralize Decision-Making
- D. To Free the CAA's Resources
- E. To Broaden the Base of Community Involvement
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III. ORGANIZING THE CAA BOARD FOR DELEGATION

- A. The Process of Delegation
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IV. SUMMARY

I. INTRODUCTION

This chapter is designed to assist the CAA Board in understanding its role with regard to delegation of community action programs, in organizing itself for delegation and in developing a close working partnership with the CAA staff in improving delegate agency performance.

A delegate agency is a government agency or private non-profit corporation which has contracted operational responsibility for a program funded and sponsored by a community action agency. In accepting operational responsibility and the allotment of funds, the delegate agency agrees to:

- . Work towards specified objectives
- . Comply with policies and procedures of the CAA
- . Comply with any special conditions.

To accomplish the aims of this chapter we will discuss the process of delegation as the Board is involved in it. A far more detailed explanation of the purpose of delegation and the role it plays in overall CAP strategy will be explored in the forthcoming manual, "Managing Delegated Community Action Programs," which will be distributed in the Fall of 1969.

A large percentage of the projects made available to local communities by OEO have been delegated through community action agencies to be operated by other agencies or community groups. For example, a great variety of projects have been operated by established community agencies, both public and private. Still others have been operated by new agencies formed as a result of funding availability and the willingness of the CAA to delegate operational responsibility to them.

The relationship of the CAA to its delegate agencies is based on a contract, a written agreement between the two parties which clearly describes their mutual responsibilities. After this contract has been signed by both parties, it forms the basis of the relationship between the CAA and its delegate agency. Omissions from this document or mistakes in its preparation can be very important, since the CAA will legally be able to enforce only the conditions covered in the contract. Regardless of how good or bad the contract is, the CAA remains ultimately responsible to OEO for performance of the project. For this reason, the CAA Board must consider all the factors connected with the delegation of operational authority for a project to another agency. (a sample delegation contract is printed in the OEO publication "Applying for a CAP Grant.")

The first concern, of course, is to make sure that all the terms of the contract are clearly understood by both parties. The other factors that must be considered are discussed in this chapter.

But it is of primary importance that Board members keep in mind the fact that delegated programs are programs of the CAA, no matter who runs them. That does not mean that a CAA Board should be looking over the delegate agency's shoulder, or interfering in the operation of the program....it means that the Board should always stand ready to help the delegate agency make the program succeed.

II. WHY DELEGATE?

The CAA Board is ultimately responsible to the community and to the Office of Economic Opportunity for all its programs, including the ones it has delegated. This responsibility is exercised in a series of actions beginning with the decision to delegate or to retain operating control over a program. Once the Board has decided to delegate a program, it then must establish clear performance criteria (what goals the program is expected to accomplish, and how well); develop procedures for evaluating the delegate agency's performance in terms of those criteria; select the outside agency that will operate the program; ensure that the performance criteria and the terms of the contract are fully understood by both the Board and the delegate agency; and, finally, take whatever follow-up or corrective actions may be necessary.

Why would a Board go to all that trouble? What are the reasons that would impel a Board to delegate any of its programs or authority? Most often, the reason for delegation is that the Board feels it can obtain superior results that way. A good example is the delegation of most Head Start programs to local public school systems. But beyond the general purpose of obtaining superior results, there are several more specific reasons why better results may be obtained through delegation.

A. To Capitalize on Existing Resources

All CAA's are limited to some extent, and no CAA has all the personnel, all the facilities, all the experience it needs. One way for a CAA to capitalize on the resources which already exist in the community is to delegate some CAA programs to groups or agencies that have the personnel or facilities that the CAA lacks. Or it may simply be that it would take too long for the CAA to develop the necessary resources for a particular program, and by delegating it to an experienced agency the program can be put into operation months or perhaps years earlier. That is a persuasive reason indeed for delegating CAA programs.

For example, a local employment service office may already have job developers, aides, counsellors; and it surely has office space, contacts with employers, and an experienced staff. All these features make it a natural candidate for delegation of a manpower program. This is not to say that it is always the best policy to delegate manpower programs to the local employment service; but the personnel and facilities are obviously there to start immediately. It might take the CAA itself or another agency many months to acquire similar facilities and assemble an equally qualified staff. And in the meantime, hundreds might remain unemployed for another year.

B. To Avoid Duplication

In order to avoid duplicating the efforts of another agency or group--or worse, establishing a competing program--it is often desirable to delegate a CAA program. To illustrate, if a non-profit housing group already exists in a community, it might be better to delegate the CAA's housing program to the established group, rather than have the CAA operate the program itself.

Not only might there be a duplication of effort, but a natural competitiveness is bound to spring up between two agencies doing work that is roughly similar. In some cases, of course, competition may be healthy but often it produces, not results, but confusion, jealousy, and public apathy. By delegating a CAA program to a competent agency that is already working in the same field, these problems can very often be avoided. (It is important to remember, though, that competition can sometimes result in improved performance on the part of the established agency. This is discussed in the chapter on Institutional Change.)

C. To Decentralize Decision-Making

Many CAA programs, if not all, are intimately connected with the welfare and interests of individual residents of the community. Because the impact of CAA programs is so personal, an elaborate system has been devised to guarantee the residents a voice in planning and operating the programs that affect them. One element of that system is the provision for delegating operational responsibility for CAA programs.

Through delegation, a program that has local (say, neighborhood) impact may be operated locally. A program may be delegated to a neighborhood council or a neighborhood corporation, or programs may be delegated to agencies, like settlement houses, that have been active in the neighborhood for years. The consequence of delegation in this case is that then the delegate agency's board of directors and residents of the target area may have more say in the day-to-day operations of the program, and a real influence on decisions that are made about those programs. Of course, those decisions are made according to the standards set by the CAA Board, but the standards typically relate to performance--the anticipated outcome of the program--more than to operations.

This is the operational authority diffused, the Board's power shared with the community, and decision-making authority brought closer to the action. The result in most cases is more responsible, responsive, and effective programs, because the CAA Board has wisely used one of the devices available to it to involve community residents in the administration of their own program.

D. To Free the CAA's Resources

Just as we said that there never has been a CAA with all the staff it needs or all the resources it could use, so we can say with equal certainty that there will never be a CAA--or a Board--that has all the time it needs. Because of the strictures on a Board member's time, many practices such as dividing the Board into committees and applying sound management techniques have been adopted, all of them aimed at making the best possible use of the Board member's time. The CAA staff is faced with the same problem--hundreds of things to be done and not enough time to do them in. The result is that it is very difficult to get new programs going when the present programs requires so much attention.

One way that the Board's and the CAA's efforts can be freed for other activities is through delegation. As suitable delegate agencies are found to accept and administer the CAA's present programs, the Board can then turn more of its attention to new programs. In this way a finite amount of energy--and no organization has unlimited energy--can be used over and over again to develop new programs, get them going, find a suitable delegate agency, and then return to developing new programs.

This use of delegation places the CAA in one of the roles prescribed for it by Congress--the role of a catalyst. In that role the CAA is expected to stimulate action. To be sure, there should not be a complete turnover of CAA programs, nor can there be, since the Board retains responsibility for evaluating (and, if necessary, re-delegating or un-delegating) programs it has delegated.

E. To Broaden the Base of Community Involvement

In this use of delegation, the purpose is to treat the delegate agency as an ally and often in the process actually make an ally of an agency that formerly was not. For example, a neighborhood organization that has wide influence in the community may not be very cooperative with the CAA, or may actually be competing. In many cases that would be quite natural. But if that agency were asked to accept the responsibility for a program delegated to it by the CAA, it might see all sorts of advantages in cooperating with the CAA, and not just in respect to the delegated program.

Using delegation in this way is not just a form of "buying off" a present or potential competitor in the community. It is a way of securing the cooperation of other groups, establishing credibility, winning allies and broadening the support for CAA programs in the community. Just as delegation may be used to decentralize decision-making (described in c, above), it may also be used to decentralize participation.

F. To Strengthen Other Groups

Another reason for delegating CAA programs, and one that deserves close attention because it blends so well with the purpose of a CAA, is that through delegation it may be possible to strengthen neighborhood or other local groups that need help. For example, there may be a very fine neighborhood group, with wide-spread community interest and participation, that has been floundering for lack of a unifying theme or because its finances are low or for any of a number of other reasons. To delegate a program in which it was interested, and which it could adequately administer, to such a group might well be the way to keep the group from falling apart.

The infusion of a delegated program (and the money and authority it carries with it) may be all that is needed for a weak group to find itself. It has happened in some parts of the country that neighborhood residents were fairly well organized by the CAA staff, only to find that there was nothing for them to do once they were organized. In a case like that the CAA Board obviously has an even greater responsibility for considering the delegation of a program to such a group.

The six reasons listed here are just a sampling of the reasons a CAA may have for delegating programs. Whether a program is delegated to an existing agency or a new delegate agency is formed, the purposes of the CAA and the best interests of the community may, many times, be served through delegation.

III. ORGANIZING THE CAA BOARD FOR DELEGATION

There are many pros and cons to be weighed at each of the three steps in the process of delegation: whether to delegate any program or programs; what programs to delegate; and what agencies to delegate to. Each of these steps may involve a number of advantages and a number of disadvantages. The overriding question is, is it in the interests of the poor and of the community at large to delegate? That question should be in the minds of Board members at every step in the process.

A. The Process of Delegation

Even with significant support from the CAA staff, the Board may find it advantageous to assign specific tasks--or total responsibility for delegating a program--to a special committee. If there are a number

of delegate agencies, or if the delegated programs come from more than one source (e.g., a Concentrated Employment Program funded by the Department of Labor, a Head Start program funded by the Department of Health, Education, and Welfare, and day-care program funded with OEO money), then it probably would be useful to create a Board committee to focus attention on delegated programs, review reports, give assistance, etc. Such a committee could:

1. Achieve greater use of Board member's time through assuming specific responsibility for weighing all the pros and cons and making a recommendation to the full Board.
2. Assume the responsibility for overseeing the actual delegation.
3. Carry on a more detailed review of the delegate agency's performance.

Once delegation is decided upon, a committee such as this (or the full Board if no committee is created) would be principally concerned with selecting the delegate agency and then reviewing and evaluating its activities. This ongoing review typically is accomplished through the CAA staff. The tasks involved in delegating a program are briefly outlined below.

1. Effective delegation of programs begins with identifying those key program elements which the delegate must do very well in order to be successful. That is, the CAA Board should define what the delegate would be expected to accomplish, what standards of performance are to be maintained, what deadlines are to be met, etc. Against these expectations, the delegate would be monitored in step #5 below.
2. The next step involves translating all these expectations into a "request for a proposal," which is sent to agencies and groups that the committee or the Board feels may be interested in submitting a proposal to operate the program. The request for proposal should be carefully spelled out to be sure it reflects the Board's decision accurately, and that it gives potential delegate agencies enough information to allow them to submit adequately detailed proposals.
3. When proposals come in to the CAA from the agencies that seek to become the delegate agency, the Board or its committee has the responsibility for carefully reviewing each proposal and deciding on the best agency to operate the program. It is usually best to establish selection criteria in advance, so that the delegate agency can be chosen more objectively.
4. Negotiation of the contract is the next step, and a critical one. It is at this stage that the specific performance requirements must be laid out clearly and agreed upon by both the CAA and the delegate agency. This is the beginning of the relationship between a delegate agency and the CAA and the tone set during negotiations is likely to influence the relationship for the balance of the term of the contract. Negotiations should be positive, cooperative, and open.

5. The most time-consuming and potentially most troublesome phase is the ongoing review of the delegate agency's performance. This monitoring function is, as we have noted, usually carried on by the CAA staff. But the Board must stay in touch with developments in the delegate agency, review regularly submitted reports, require special reports when necessary, and evaluate the overall effectiveness of the delegate agency's performance of its contract.

6. A parallel responsibility, sometimes overlooked by CAAs, is the Board's responsibility to see to it that the CAA is providing all the support the delegate agency needs, and generally living up to its side of the bargain. In this connection, it is the Board's responsibility to see to it that the CAA assigns adequate and well-trained staff to support the delegate agency by providing technical assistance, and to oversee the operation of the program.

7. As a result of deficiencies uncovered in the delegate agency's performance in the course of monitoring it, it may be necessary to follow-up, even after the contract has expired, to correct mistakes or non-compliance. On the other hand, follow-up may consist of renegotiating the contract to give more authority to a delegate agency that is doing an excellent job. In any case, a decision needs to be made at the end of the contract period on whether or not the delegate agency should continue to operate the CAA's program. The delegation process outlined here should conform to the grant application process, at least to the extent that the evaluation and follow-up steps should be completed before submitting the next year's grant application package.

(All of these points are covered in greater detail in the forthcoming OEO Delegate Agency Manual.)

B. CAA-Delegate Agency Relationships

The reasons for maintaining close and mutually-supportive relations between the CAA and the delegate agency are numerous (and most of them are obvious). But we will cite a few here to illustrate the general theme that the CAA Board must ensure that relations with delegate agencies are harmonious, and that both agencies must keep each other informed and assist each other to make the program work.

First, it is important to consider the delegated program as a CAA program. That is, even though a program is delegated, it is still part of the overall activity of the CAA in the community, and must be coordinated and integrated with other CAA programs. For example, a manpower training program, even though it is delegated, must still be closely coordinated with a job development program run by the CAA, so that the CAA can have lead time to find openings for graduates of the delegated program.

A second reason for close coordination lies in the danger, however remote, that delegate agencies may take a different tack from the CAA. That is certainly not bad in itself, but if a development like that goes too far it may result in competition between the CAA and the delegate agency. The antidote to competition is not suppression but coordination.

In addition to the working relationship that the CAA staff should have with a delegate agency, there remains a need for members of the CAA Board to have direct access to the delegate and its key decision-makers. This direct access is desirable for several reasons, including the following:

1. The Board members, through direct contact with delegate agency officials, can gain a deeper understanding-- a "feel for"--the operations of the program, its problems, and the extent of its impact on the lives of the people served by the delegate agency.
2. Direct contact by Board members will also help the CAA and the delegate agency develop a more cohesive team effort, beyond mere contract compliance.
3. Personal contact through its own members gives the Board another feedback mechanism to assess delegate agency performance, and another vehicle through which to influence the delegate agency's actions.
4. Finally, this form of personal contact will enable the Board to assess the feasibility of permanently spinning-off the delegated program to the delegate agency.

The CAA must remain alert, in its relationship with delegate agencies, to avoid one common pitfall. The top staff of the delegate agency may not take kindly to operating a delegated program under close scrutiny. It may insult their sense of responsibility, just as it surely will limit their freedom, if they are being too closely monitored or if the CAA Board or staff indulge in "monday morning quarterbacking." Furthermore, the director of a delegated program may be a fairly high-level official, and if a junior CAA staff member is assigned to monitor and give technical assistance, there may be some resentment because it looks like a breach of the chain-of-command, or an affront to the director's status. The point is not that a junior staff member should not be assigned; only that that there may be delicate relationships problems which call for tact and diplomacy.

IV. SUMMARY

Delegating programs presupposes a willingness to establish a solid working team relationship between the CAA and its delegate. Achieving this relationship is indeed difficult, but the benefits to those served will more than offset the time spent in thinking through the process of delegation, monitoring the program, lending support to the delegate and upgrading the team's performance.

TRAINING METHODOLOGY

I. Introduction

Many of the projects under the jurisdiction of CAAS either cannot or should not actually be carried out by the CAA itself. It is important that board members understand the reasons for delegating such projects and their resulting responsibilities. To instruct board members in this area, first be certain that they understand the relationship of possible delegate agencies to their community. They have to be prepared to work with existing groups rather than compete with them. They must develop good working relationships with these groups and be able to encourage community development through a definite plan to reach specific goals.

The CAA board is the agent in the community with responsibility to develop and carry out this plan. Board members need to know the extent to which they can use delegate agencies as one of the resources available to them to work toward community action goals. The better the member's understanding of the working of delegate agencies and their capabilities within the community, the better board members will be able to carry out their overall objectives.

II. Overall Objectives

The overall objectives of this chapter are for board members to understand the board's role in relation to delegate agencies and the necessity for delegating community action programs.

In general, since the objective of this chapter is for board members to understand the reasons for delegating

programs, it will be valuable for them to learn as much as possible about local delegate agencies. Thus, their training could logically include visits with delegate agencies and perhaps some group discussion with delegate agency leaders.

III. Specific Learning Goals

1. WHY DELEGATE?

Board members will be able to list and discuss six major reasons for delegation.

2. WHAT IS THE BOARD'S RESPONSIBILITY FOR DELEGATED PROGRAMS?

Board members will be able to describe their responsibility for delegation and ways they can exercise it.

3. WHAT KIND OF RELATIONSHIP SHOULD EXIST BETWEEN THE CAA BOARD AND DELEGATE AGENCIES?

Board members will be able to describe the relationship which would be most effective in delegate agency performance. They will also be able to develop with their delegate agencies action plans to improve working relationships.

IV. Methodology

Whenever possible, use training techniques which will involve board members more deeply in delegate agencies' programs. Emphasize the board's association to these programs. For example, use field trips or visits by board members to delegate agencies so they can see firsthand some of these programs and their administration. Following this kind of approach, you may want to build training around actual program contacts the board members have with delegate agencies.

LEARNING GOAL #1: Why delegate?

1. Use an appropriate film for opening the board's considerations of delegate agencies. You could use the film "Breaking the Delegation Barrier," which deals specifically with delegation in the context of a business organization. Nevertheless, the basic principles it outlines concerning barriers to effective delegation and techniques for overcoming these barriers are very relevant to the relationship between a CAA and its delegate agencies.
2. Have members describe, after showing this film, the film's basic principles and ways these are related to their supervisory and coordinating relationships to delegate agencies.
3. Give a short talk outlining the six specific reasons for delegating listed in this chapter.
4. Break the board into six groups and ask each group to come up with an example for the application of each reason. These examples should be similar to real situations in the community. Give the groups about fifteen to thirty minutes to decide on an example.

LEARNING GOAL #2: What is the board's responsibility for delegated programs?

1. Divide the board into small groups (if you restrict training on this goal to the classroom). Ask each group to study a particular delegated program. Have the groups become familiar with the reason for the delegation, the program's goal, and the amount and kind of control exercised by the CAA board.
2. Stretch this particular training over a period of a month or two. (In some cases this approach might be best.) Divide the board into a number of work groups. During its free time over a period of a few weeks, assign each group to a delegate agency to work on:
 - Studying the background which led to a decision to delegate, including discussions with the people involved;

- Analyzing the work of the delegate program and its accomplishments thus far;
- Reviewing the administration and operation of this program, especially the CAP monitoring and controlling practices; and
- Interviewing both CAA and delegate staff to identify communication and coordination problems they had.

3. Tell the board about the processes by which it can supervise delegated programs. Suggest techniques, such as setting up a committee responsible for delegation, and have the CAA staff conduct on-going reviews.
4. Lead a discussion in which board members look at one or two specific programs in terms of the ways the CAA board should exercise control.

LEARNING GOAL #3: What kind of relationship should exist between the CAA board and the delegate agency?

1. (This is largely an extension of Learning Goal #2 above.) Break the members into small groups; do not use the same groups. Using a case study (preferably built around one of the projects the board members studied), ask the groups to discuss the extent to which the CAA board should maintain close relationships with delegate agencies. Also ask them the amount and kind of control boards should exercise. (It is preferable that the case study be built around one of the projects they studied.)
2. Encourage the board to move beyond merely discussing what should be done in its relationships with delegate agencies to taking action.
 - a. Develop a policy statement which describes the working relationship it would like to have with delegate agencies.

- b. Assign each work group (which reviewed the work of a delegate agency under Learning Goal #3) to meet with this agency's director to develop a plan for improving working relationships and procedures.
- c. After one month, each group should report to the board on the progress and problems it has encountered and what remains to be done to improve working relationships with that delegate agency.

V. Evaluation

Evaluation of the members' accomplishments during an assembled session can be done in a number of ways. For example, the wrap-up discussion under Learning Goal #2 could be used to measure their learning. You could distribute a short true or false questionnaire. The statements on it would describe appropriate and inappropriate actions a board could take to supervise a delegate agency. Another alternative would be to use such a checklist as a discussion stimulator. Check each item which the discussion indicates the board has learned.

On more extensive goals, such as action plans to improve delegation, you should initially help the members evaluate the plans they develop. This alone will indicate some measure of their learning. After they begin to implement these plans, meet periodically with them to check on the extent to which they are actually acting to improve their working relationships with delegate agencies.

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THE RELATIONSHIP OF CAA BOARDS

TO NEIGHBORHOOD GROUPS

(Part II, Chapter 13)

THE RELATIONSHIP OF CAA BOARDS TO NEIGHBORHOOD GROUPS

(Part II, Chapter 13)

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I. INTRODUCTION

There has been a curious development in this country over the last three or four hundred years...a nation that was founded by people seeking to control their own lives free of the domination of emperors and kings and feudal lords, has in the name of efficiency and expediency developed to the point where people once again are virtually powerless, having no practical influence over their own destinies. That is what militants are talking about, and conservatives have long complained about, and young people are disturbed over, and even southern "states' rights" advocates complain about. The nation has become so large and complex that most of us are alienated, in one way or another, from the "democratic" forces that shape our fortunes and our futures.

This is not to say that there weren't many factors that made it necessary to create large bureaucracies and intricate political and economic structures. There were, and each of the changes over the years has had its beneficial purposes. Still, though the growth of an industrial nation has been a good thing overall, like any good thing it has its drawbacks. And one of those drawbacks -- the absence of personal or even community influence -- is the subject and the purpose of this chapter.

"Each community action agency," says the Economic Opportunity Act, "shall involve neighborhood-based organizations composed of residents of the area or members of the groups served to assist such agency in the planning, conduct, and evaluation of components of the community action program." One of the purposes, then, of community action is to return to individuals and their neighborhoods some measure of control over what happens to them.

The importance of neighborhood groups is that they are the much-discussed grass roots of the nation, and as such they may bring with them many of the virtues of the town meetings that centuries ago gave strength and relevance to the then-new idea of democracy.

A CAA Board can profit greatly from healthy and active neighborhood groups; but more important, the neighborhoods themselves will profit, and in a way that the CAA could never accomplish entirely by itself. It is not so much that neighborhood groups need the CAA-- the neighborhood itself needs both the CAA and, very often, one or more neighborhood groups.

II. THE BENEFITS OF GOOD RELATIONS

First, it is a truism to say that any organization benefits from good relations with any other group with which it works. There is nothing startling in that, anymore than there is anything new in the idea that a CAA in particular must have good relations with all the individuals and groups with which it works because a CAA must rely so heavily on cooperation, coordination, volunteers, and general good will. We are not saying that there should not be controversy, conflict, and tension--sometimes these are very desirable. But we are saying that conflicts should be managed within the framework of a good, cooperative, understanding relationship, and that such a relationship between a CAA and neighborhood groups is absolutely essential for the CAA, and for the neighborhood group as well.

A. Closeness To the People

The neighborhood group is usually in a much better position to command the allegiance of the people in the community; it typically has more local influence as a result; it also may be expected to be better informed as to the desires of the neighborhood residents; and finally, it may well be more representative, more democratic, than the CAA. All these features and more are among the values that a neighborhood organization may bring to the CAA. They are the same values and strengths, incidentally, that could be turned against the CAA in the absence of a good working relationship.

B. Maximum Feasible Participation

It is also important to recognize that neighborhood groups offer an excellent means of implementing the concept of maximum feasible participation of the poor. While CAA Boards are required merely to be composed of a minimum of one-third low-income members, OEO requires neighborhood groups organized under its (or the CAA's) auspices to have at least a 50% representation of low-income persons on their boards.

C. The Freedom of Neighborhood Groups

Other benefits that neighborhood groups may bring to the overall anti-poverty effort in a community range from a simple increase in relevance to and communication with the people of the community, to a larger degree of freedom to engage in activities and support causes that the CAA itself might be unable (or unwilling) to promote. This point bears a little discussion before going on to a description of the various kinds of neighborhood groups. The freedom which neighborhood groups enjoy, to be more controversial, more militant, or more outspoken, may give pause to some CAA Boards.

It ought not to, however, since a fundamental purpose of the CAA is to promote full and active discussion of important community issues. Often discussion can only come from a passionate and partisan exposition of one side of the issue, so that the lines can be drawn, all sides can be heard and the community can be informed. A CAA should never be afraid of controversy, and never hesitant about working closely with any group that is the focus of controversy. All CAA Boards will make their own judgments about cooperating with controversial neighborhood groups, but that judgment should always be made on the basis of what is best for the people of the community as seen by the people of the community, and not in reaction to outside criticism or on the basis of what might be said by the enemies of the CAA or the neighborhood.

D. Source of Information

Finally, mention should be made of the fact that neighborhood groups provide an excellent vehicle for establishing priorities for the CAA, based on the needs of the people in the community as they are expressed through neighborhood groups. Such groups are ready-made channels of basic planning information, a source from which the CAA Board can reliably determine the aspirations and needs of the people. It is often the case that no other channel exists to so completely and accurately represent the desires of the poor.

III. KINDS OF NEIGHBORHOOD GROUPS

Most neighborhood groups fall into one of the following categories:

(1) CAA Affiliated Groups, (2) "Model Cities" Councils and Community Development Agencies, (3) Local Affiliates of National Organizations, (4) Local Special Interest Groups, (5) Rural Groups, (6) Neighborhood Corporations, (7) Delegate Agencies.

A. CAA Affiliated Groups

Created to meet legislative requirements or OEO stipulations, these groups are primarily advisory councils established to serve a specific geographic or program area. They are usually dependent, in some way, on CAAs for their existence if only because they come into existence to work with the CAA. Due to this fact, CAA councils primarily serve only to advise CAAs on programs. Furthermore, few CAA-affiliated groups have the training or technical skill required to become self-sufficient and independent from CAAs, and in many cases they should not be independent--they are part of the CAA.

Such groups were usually formed for a particular purpose, such as organizing a given neighborhood or, for another example, providing an advisory group of concerned parents to help the CAA set policy for youth programs. Their limited purposes make them somewhat limited in the degree to which they can be independent. A worse problem by far, however, is the occasional failure of CAAs to assign an important enough staff member as representative to the group. This gives the group a feeling of inferiority or unimportance. In reverse, sometimes these groups are unable to find persons with enough skill to represent them on the CAA Board. Yet skillful representation is vital in giving any neighborhood group a new role and importance.

Despite the uneven performances of some of them, CAA-affiliated groups represent a valuable undeveloped asset for most CAAs, and would probably respond well to the appropriate investments of effort and guidance. In some cases appropriate CAA support to this end would require a change by the Board in the allocation of its resources.

B. "Model Cities" Councils and Community Development Agencies

Many of the observations made about CAA-affiliated groups are applicable to Model Cities councils, since their role too, is ordinarily an advisory one. Through staff effort, Model Cities Councils were created in response to specific legislation; and representatives were elected in much the same manner as CAA advisory groups. Though these councils usually have a representative on the Community Development Agency Board (similar in many respects to the CAA Board), their task encompasses consideration of a much broader range of factors within their area than CAA-affiliated groups consider. In addition, they are more tightly restricted to one area of the city, whereas the CAA-related groups may have far more geographic freedom.

It is probably too soon to draw conclusions about the value of such groups, but their potential will not be realized until some of the same opportunities recommended as necessary for the CAA-related groups become a reality. Councils need tangible evidence that their efforts are important, and they require training and technical assistance of superior quality to help them become effective forces for change in the community.

C. Local Affiliates of National Organizations

In most communities, there are a number of local units or affiliates of larger groups of various sorts. Some of these are organized on the basis of racial or ethnic interests (CORE, Urban League, NAACP, American G.I Forum) and some are organized on the basis of a special interest (National Welfare Rights). The size and effectiveness of such groups vary a great deal from one community to another, as a result of their leadership, history and acceptance in the community. Such organizations share many of the same problems as the CAA. Many CAAs have developed fruitful relationships with them.

The characteristics of affiliate membership groups are quite different from those previously mentioned, for affiliate membership is often voluntary, and the leadership may be appointed, not elected. Membership is usually dispersed over a much broader area than the target areas of the CAA and may include a fair to large percentage of persons who are not poor. Though such groups relate to much broader social issues than those within the major focus of the CAA, the groups usually have a representative on the CAA Board.

D. Local Special Interest Groups

Such groups are almost always spontaneous in origin and rarely develop into national organizations although they are sometimes assimilated by them. In recent years many tenant organizations have been formed to negotiate with landlords. Some of these continue on at least a semi-permanent basis. Their performance is directly related to the problem they are trying to solve. Civic improvement groups may develop and expire over the years but they quite often make a real contribution. Most of the various types of cooperatives focus on consumer problems.

The CAA Board should recognize the existence of these local special interest groups and pay close heed as their successes and failures can be instructive to CAAs just as their cooperation can frequently be mutually beneficial.

E. Rural Groups

In rural areas, the Grange and other farmers' groups are still an important part of the American social and economic structure, though the number of small farms is steadily decreasing. Rural churches remain influential and are representative of a large percentage of residents. Indeed some churches have established special committees to attack the problems of poverty.

The cooperatives which exist in any rural area are often representative of the economic life of the area, and should be regarded as important influences (whether or not they are given a place within the CAA structure). Town governments, too, play an important part in the life of many rural communities, and can act as a real barrier or benefit to poor people. In addition, organized civic improvement groups which already exist in rural areas should be given attention.

F. Neighborhood Corporations

An entirely new type of corporate entity is developing in primarily urban communities. This is the Neighborhood Corporation which concerns itself with a wide range of social and economic concerns in a specified area. A distinguishing feature of the Neighborhood Corporation is that it may be completely separate and independent from the CAA, funded directly by a government agency or agencies. Some Neighborhood Corporations have been funded through CAAs, but they are rare.

The Neighborhood Corporation promises to be a major influence in community life in the years immediately ahead, with the support of the "Community Self-Determination Act" in the economic field, and the decentralization plans of CAAs in the social area.

G. Delegate Agencies

It is important to remember that the Board can make any of these groups a delegate agency for the purposes of carrying out its own program or a program the Board asks it to undertake. The pros and cons of delegation are discussed in the chapter on Delegate Agencies.

IV. NEIGHBORHOOD GROUPS AND MAXIMUM FEASIBLE PARTICIPATION

The CAA's commitment to a neighborhood group should be directly related to the group's present and potential value to the community. Any relationship which the CAA establishes with neighborhood groups should be designed to help them fulfill their potential role in the community.

The most important commitment neighborhood organizations can undertake is to foster the concept of personal, individual participation. Even limited-purpose groups have an important part in assuring that the interests of their constituents are given a chance for expression. Neighborhood groups can generally reduce problems and issues to understandable terms and then suggest relevant courses of action. It is this type of meaningful participation in our nation's democratic processes that has been lost over the recent years as our environment has become

dominated by impersonal, technical oriented decision-making. Today, there are few equivalents to the "town meeting." Now planning is done by the "experts" working in isolation from the very people whose lives will be affected. Therefore, a great value of neighborhood groups is in their ability to provide an arena for local determination and participation for those affected by CAA planning.

Neighborhood organizations can significantly broaden the base of interest and involvement of residents affected by physical, economic and social planning. They can increase participation by communicating the issues, by designing strategies in which citizens participate, and by establishing competent services which draw on the residents' support. All these function to engage residents more directly in planning their own futures, and as a result the residents contribute the resources, such as energy and votes, which are found in the neighborhood. The implementation of these resources can challenge those who hold political positions and neglect the needs of residents. The more neighborhood groups studying problems, forming their own conclusions and giving expression to them, the less likelihood of those outsiders prevailing.

Other benefits of having active, broad based neighborhood groups lie chiefly in (1) the protection of the democratic process, (2) the guarantee of grass roots impact on decision making, and (3) the fostering of a sense of community cohesiveness and identity.

To give just one example, let us consider a neighborhood where there is a serious need for a day care educational center. All requests go unheeded, but a bond issue is being considered on another public project in the same area. Neighborhood groups can make known the bond issue, devise strategies whereby residents could register dissent, and go beyond this to guide the residents in establishing their own ~~cooperative~~ day care unit. This gives tangible evidence of the residents' unwillingness to see public funds misdirected, while moving to cope with their own problems, thereby attracting favorable attention to their efforts.

V. RECOGNITION, REPRESENTATION AND ROLE GIVEN TO NEIGHBORHOOD GROUPS

There are three important areas the CAA Board should consider in its relationship to neighborhood groups. These have to do with:

1. a two-way advisory role
2. provision for formal representation in the CAA policy-making structure, and
3. selection of neighborhood groups for representation on the Board.

A. The Advisory Role

The advisory role for neighborhood groups is well established for CAAs and required by legislation. The advantages of having a neighborhood group advise the CAA have been previously outlined.

At the same time, the disadvantages of limiting neighborhood groups to merely an advisory capacity should be recognized. If they are limited solely to an advisory role, dissatisfaction and disinterest grow because the advisory role is usually devoid of any authority. Individuals or groups desire greater authority and responsibility as their sense of understanding and involvement increases. Failure to recognize that need by developing a structure responsive to this growing capability will result in a negative reaction by those advisors toward the CAA.

As a result, they will either lose interest or seek another method of utilizing their increased skills and awareness. It may be hard to avoid the temptation to use a neighborhood advisory group, and have it act as an arm of the CAA. But such manipulation will eventually be perceived by its members. All of that can be avoided if the initial design plans for the escalation of authority and responsibilities for neighborhood groups as their experience and competence increase.

B. Formal Representation

Some neighborhood groups are represented (on CAA leadership units) at either the neighborhood or community level. In addition, most CAA-created groups, with a geographical area of responsibility, have representatives on the CAA Board. Occasionally, project advisory groups are also represented on the Board. The advantage of this representation can be the group's ability to directly inject its perceptions and proposals into CAA policies - in addition to the right to vote on these and other matters of importance. This representation gives neighborhood groups responsibility beyond the simple advisory role and provides the CAA Board with a direct link to the people affected by its programs.

The formal representation of neighborhood groups on CAA Boards and in other leadership groups should be the subject of careful planning and serious scrutiny. Occasionally groups are given representation on CAA Boards before they are prepared, or before CAA Boards can provide them with meaningful roles.

C. The Selection Process

The process of selecting neighborhood groups for formal representation on CAA Boards or in leadership groups can generate controversy. Neighborhood councils and other groups created by the CAA are usually given the first consideration for such representation. However, project advisory groups are not as often given such representation -- a situation which most CAA Boards would be well advised to reconsider. The Economic Opportunity Act requires that each Board must:

"...establish procedures under which community agencies and representative groups of the poor which feel themselves inadequately represented on the...board may petition for adequate representation."

Sec. 211 (d) (1)

Any neighborhood group which has demonstrated a committed involvement with the problems and persons of an area served by a CAA should be considered eligible for formal representation on the CAA Board. There may be neighborhood groups which have demonstrated more interest and effectiveness than the CAA-created groups. In other instances, new groups may form with a more realistic potential for performing than those already represented in the policy-making process of the CAA.

For this reason, the CAA Board should develop policies which will permit due recognition and inclusion of those groups which reflect the widest and most relevant base of representation. This will almost certainly require that neighborhood groups other than those the CAA has created should be formally represented.

The CAA Board may follow several strategies to include heretofore unrepresented neighborhood groups. One is to compare the basis of support various groups are able to demonstrate through a petition procedure with a required minimum number of signatures. A neighborhood hearing or even a referendum type of election is also possible. Persons from various neighborhood groups could be identified on the ballot of the

annual elections held in the area. A policy of revolving membership for various groups might also be tried, though this has the practical disadvantage of producing high turnover among Board members.

A possible final strategy is for the Board to establish a neighborhood group committee. This committee would welcome all to membership who represent a neighborhood group trying to effect social and political change. Two or three Board representatives would act as coordinators between the CAA Board and the neighborhood group committee. At neighborhood group committee meetings, Board coordinators would present program strategies and ideas in which some of those represented might have an interest and they could participate in planning, revising or criticizing the CAA Board's proposals. This would give equal recognition to all neighborhood groups while providing the Board with instant reaction to the activities it is proposing.

Whatever method is used to select groups for representation, it should be widely publicized in the affected area and be open to extensive public dialogue before it becomes policy.

VI. TECHNICAL ASSISTANCE TO NEIGHBORHOOD GROUPS

Problems and Requirements

The CAA should accept as one of its basic responsibilities, furnishing technical assistance to neighborhood groups. If it is not staffed to provide this type of aid, it should provide for the services of consultants on a volunteer or paid basis.

The initial problems are: (1) how groups accept this assistance and (2) at what stage of development is technical assistance made available. More basic a problem is supply, for there are not enough resources to provide organizational assistance to all groups. (Say, to small groups of five or six people.) Therefore, the Board must develop basic requirements for assistance. One requirement would be that any group wishing technical assistance must have goals and objectives compatible with the CAA's. Another requirement might be evidence of interest and determination to achieve the goals described. A provision for matching assistance should be part of the criteria for providing technical assistance. (The right to establish requirements for assistance should probably be retained by the CAA Board.)

The purpose of technical assistance to neighborhood groups should correspond to the general purposes which are described in the Economic Opportunity Act (Sec. 201 (a)) -- development of self-sufficiency, through growth of skills and experience.

There are many types of technical assistance which CAA Boards should provide to neighborhood groups. Technical assistance implies guidance and expertise in those areas of operations in which neighborhood groups might function. Therefore, CAA Boards and their staffs should be able to assist and advise neighborhood groups as to the role, function and requirements of (a) corporation structures - profit and nonprofit, related documents, (b) meeting formats, agendas, minutes, by-laws, constitution, (c) local, state and Federal requirements concerning various functions projected for neighborhood group activities, (d) finance and budgetary record keeping methods and (e) procedures for obtaining funding-loans, grants, proposal preparation. There are many other related areas where technical assistance might prove beneficial in helping neighborhood groups operate effectively for social change. Not every CAA has experts on every phase of neighborhood groups' activities. However, the expertise of Board members, in addition to CAA staff, is a resource not to be neglected.

Technical assistance cannot produce instant miracles--those skills needed to transform a neighborhood group into a broadly based and stable organization are not acquired overnight. There will be limitations on the time and expertise which can be made available. In addition, the complexities of the problems in which the neighborhood groups are involved must be recognized as well as the magnitude of efforts necessary to make an impact on these problems.

VII. SUMMARY

A good rapport between the CAA and neighborhood groups is one of the most crucial areas for the CAA. The relationship the CAA develops with both formal and informal groups will determine the extent of maximum feasible participation permitted in the CAA policy making process.

Identifying, giving due recognition and some degree of influence to neighborhood groups within the CAA's organizational structure, will indeed reflect the degree of commitment Boards have to the residents they are to serve. If the CAA does not recognize such groups or refuses to support their legitimate aspirations, encourage the development of their skills, or willingly entertain their ideas, then it has failed in its responsibilities.

The final measure of how seriously the CAA is committed to maximum feasible participation will be shown in the allocation of Board resources to support neighborhood groups. When technical assistance and resources are employed in a fashion which ultimately reduces the need for CAA assistance, the CAA can properly be regarded as acting in a constructive, non-paternalistic manner.

A CAA Board has a great opportunity in this age of disenchantment and alienation, to return to a segment of the population some measure of control over their own lives. This is genuine reform, a fundamental change in the way certain decisions are made, and an extension of democracy to the very people who need it most.

TRAINING METHODOLOGY

I. Introduction

One very important way to change a community action agency board from being just another poverty agency into a community action catalyst and leader is to improve the relationship between the CAA board and neighborhood groups. You can do this by helping a CAA board think of itself as a representative of neighborhood groups and a source of support for these groups. Once a CAA board decides to help neighborhood groups with their community development activities, you can then train the board in specific techniques for helping these groups.

As with most training in this manual, a great deal of preliminary work is necessary before training the board on relationships with neighborhood groups. You must first determine the relationships existing between the CAA board and the various neighborhood groups. Finally, you must investigate the potential areas for improvement in the relationship between the CAA and community groups. Once you have all this information you can then determine the extent and scope of training neighborhood group needed by a board.

II. Overall Objectives

As a result of training board members and counselling them and neighborhood groups leaders, you should help create new improved relationships between CAA boards and neighborhood groups. CAA boards should encourage and support neighborhood groups when these groups get involved in community development activities. They should seek out and use the advice of neighborhood groups when making policy decisions or performing evaluations.

III. Specific Learning Goals

1. WHY SHOULD THE CAA GET INVOLVED WITH NEIGHBORHOOD GROUPS?

Board members will be able to identify at least one problem highlighted in hypothet-

ical case studies on neighborhood groups. They will be able to suggest at least one way they can help solve problems.

2. HOW CAN A CAA HELP NEIGHBORHOOD GROUPS?

Board members will state at least one way their agency can help the neighborhood groups that might deal with CAA. They will suggest at least one way their board can use the advice of neighborhood groups.

III. Methodology

LEARNING GOAL #1: Why should the CAA get involved with neighborhood groups?

1. Briefly discuss the overall objectives for this session with the board members. Explain to them why it is important for their board to meet these. Ask if they agree. Also ask them what training they feel might be helpful to meet this learning goal. Base the rest of the session on their answer.
2. State the first specific learning goal to the participants. Ask if they think it valuable that they receive this training in order to meet the goal. If you receive an uncertain or negative response, spend some time trying to convince them of the general importance of neighborhood groups. Use specific examples of incidents with neighborhood groups in the community. If you get a positive response, go on to step three.
3. Distribute the "Neighborhood Group Exercise" hand-out (see attachment).
4. Ask board members to look for a problem for each item in this exercise. Ask them how the CAA can help solve this problem. Include in your comments a brief outline of the most important relationships between a CAA and neighborhood groups (i.e., increasing maximum feasible participation, the two-way advisory role, formal representation, technical assistance).

5. Have the members read the first item in the set of case studies. Discuss the problems and what the board can do to help solve them. Then go on to the next item.
6. Lead a great deal of the discussion yourself during the first one or two items. Afterwards, encourage all board members to participate, especially the representatives who tend to be shy or reluctant to speak.
7. The Neighborhoods is an appropriate film for emphasizing the importance and potential of neighborhood groups. It covers the formulation of neighborhood groups to conserve and improve their own localities. Several successful examples are shown. (Produced by SPUR, 26 Post Street, San Francisco, California, 94108.)
8. A Voice from the Street shows how leadership for neighborhood group action can be built. A number of examples are drawn from Pittsburgh experiments (Produced by KDKA Television, 1 Gateway Center, Pittsburgh, Pennsylvania, 15222 - Available also from the Department of Housing and Urban Development Library, 451 7th Street, N. W., Washington, D. C. 20410).

LEARNING GOAL #2: What can our CAA do with the neighborhood groups in our community?

1. Discuss this specific learning goal with the group as in A-2.
2. Have the board members compose a list of all the neighborhood groups in their community. Put the names of these groups on a flipchart or chalk board.
3. Develop a fairly complete list of neighborhood groups and suggest to the board members that they learn more about what they could do for these neighborhood groups and what these groups could do for the CAA board.
4. Suggest that the participants form small informal committees of roughly three to six people to spend approximately an hour interviewing the members or leaders of neighborhood groups. Each informal

committee could interview one neighborhood group to discuss:

- a. What the CAA might do for the group.
 - b. What the group could do for the CAA.
 - c. How the two groups could provide for permanent communications and a system of cooperation.
5. Have the informal committees report on their meetings with neighborhood groups when the board members come together again.
 6. Summarize the ideas in this chapter and the reports of the informal committees.

V. Evaluation

Evaluate the success of your training in this session in two ways. First, observe board members during the formal training session. Check to see if each of the members understands the subject being discussed. Are there any confused faces? Are some participants ignoring the subject? While discussing each hypothetical case study problem, do members participate in a way that indicates they can apply general ideas regarding CAA neighborhood group relationships to each of the problems? While discussing the CAA's relationship to specific neighborhood groups, do board member's comments indicate they understand how relationships should be?

A few months after your training on this chapter is completed, you can do the most important evaluation. Examine the CAA board's official actions in neighborhood group relationships. Did the board establish a method to obtain the opinions of neighborhood groups (e.g., a special committee of the board)? Did the board go out of its way to provide special assistance to neighborhood groups (e.g., by telling its staff director to give neighborhood groups technical assistance and to make CAA facilities available to neighborhood groups)? Has the CAA board tried to exert a coordinating influence over neighborhood groups (e.g., by encouraging neighborhood groups to get involved in various community development activities)?

HANDOUT

NEIGHBORHOOD GROUP EXERCISE

(Brief Case Statements)

1. CAA members decide that their town needs a "big brother" program for young boys who do not live with their fathers. Neither the CAA board members nor staff have the resources to administer such a program. A local men's club, however, has a meeting hall that could be used by the boys and has a membership which is interested in doing something to help the underprivileged.
2. The official city planning agency is holding hearings to decide what to do with some condemned slum property. The city planning agency asks the CAA board for its opinion on the condemned property. Most members do not live near the condemned property and do not really have definite ideas about what to do with the property. However, there is a group of people who live in or near the condemned property and they have a plan for fixing up the property. However, thus far they can't get the city to pay much attention to its plan.
3. A group of ghetto businessmen want to set up a training program for neighborhood youths. The businessmen want to apply for a government grant for this program but they don't know how to go about applying for the grant.
4. A group of young ex-servicemen from a ghetto neighborhood has just formed an organization to help former servicemen get settled into civilian life (helping them find jobs or a good training program). The veterans need to establish liaison arrangements with the military, potential employers, and training centers.

BIBLIOGRAPHY FOR "RELATIONSHIP OF THE CAA BOARD
TO NEIGHBORHOOD GROUPS"

I. OEO ISSUANCES

CA Memos:

- 49, Involvement of the Poor in all OEO Programs.
- 81, The Organization of Community Action Agency Boards and Committees Under The 1967 Amendments to the Economic Opportunity Act (Section 211).

Instructions:

- 6005-1, Participation of the Poor in Planning, Conduct and Evaluation of Community Action Programs.

Guidance:

- 6005-1, Participation of The Poor in The Community Decision-Making Process.

Pamphlets:

- 6002-1, Local Initiative and Community Action (draft).

THE ROLE OF THE BOARD IN THE ADMINISTRATIVE MANAGEMENT
OF THE CAA

(Part III, Chapter 14)

THE ROLE OF THE BOARD IN THE
ADMINISTRATIVE MANAGEMENT OF THE CAA

(Part III, Chapter 14)

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I. INTRODUCTION

The direction of the administrative management of the CAA (i.e., management specialty programs such as personnel, finance, information, public relations, property, and supplies) is one of the Board's most important, yet frequently misunderstood concerns. Generally, the misunderstandings can be grouped into two categories:

- misunderstandings of the importance of administrative management to the CAA, and
- misunderstandings of the proper extent of the Board's involvement

Misunderstandings of the importance of administrative management are not confined to CAAs or to their Boards and various advisory committees. Unfortunately there is a widespread, though mistaken, notion of administrative management as a tangle of paperwork, ledgers, files, vouchers, and inventories--a maze of stumbling blocks set up by "bumbling bureaucrats" to keep people from "getting the job done." When this concept is transferred to the atmosphere of a Community Action Agency, the feeling often becomes an even more intense one of "Bureaucracy" vs. "The War Against Poverty."

When faced with such concerns as the need for a new neighborhood center, the inaccessibility of hospital facilities to ghetto residents, the abuses of slum landlords, etc., administrative management may seem, at best, unimportant or trivial and, at worst, an obstruction to the achievement of the CAA's programmatic goals.

Yet, consider headlines, such as these, found all too frequently in daily newspapers throughout the country:

- Employees stage sit-in at local poverty agency--
Protest firing of co-worker!
- CAA Office Manager Indicted for Embezzlement--
Director called incompetent!
- Mayor "stunned" by CAA Announcement!
- School Board and local OEO debate ownership
of office equipment!

Conflicts are inevitable and, to some degree desirable, but conflicts of this nature only impede the CAA in achieving its mission. Moreover, each of these conflicts can be traced directly to a serious flaw in the administrative management of the CAA.

Misunderstandings of the proper extent of the Board's involvement in administrative management can also be damaging to the CAA's effectiveness. Ideally, the Board as a whole should spend most of its time on program considerations, especially once it is assured that administration sufficiently supports its programs and strategies (e.g., if leadership and personnel policies and practices can provide a capable work force to take on current and new programs, the Board can comfortably devote its time and energies to planning, sponsoring, and evaluating such programs).

This ideal can only be realized if the Board has first assured itself that:

- the personnel administration of the agency reflects the most positive concepts about employment of the poor, career development, and other principles of good personnel management;
- the financial management practices allow for the most effective use of funds entrusted to the agency;
- the information system operates in such a way as to be an aid to planning and evaluation;
- the public relations program tends to increase community understanding and support for the agency's goals;
- the property and supply management program supports the needs of authorized activities in the most efficient manner.

Where these ideals have not been realized, the CAA Board will find it necessary to devote more and more time to administrative management at the expense of its important program concerns.

The Board's role in administration has both a positive and a negative aspect. The negative aspect is that of policeman--making certain that there are no violations of grant conditions or laws, no financial or personal scandals, no destruction of property or waste of money, no racial discrimination, etc., that would reflect adversely on the agency, lose support in the community or lead to possible suspension or termination of funds. Even more important, however, is the positive aspect, e.g., insuring that the personnel selection process contributes to hiring the most qualified staff and the most poor persons who are willing to be trained to become well qualified; or determining how to allocate funds among projects so as to meet the needs of each without committing more funds than will be needed.

This chapter will try to emphasize the positive role of the Board. It will not stress how the Board should try to "manage" the CAA with efficiency, thrift, precision, accuracy, and other traditional measures of administrative success--although these factors are important. It will instead show how the Board can serve the needs of the poor in its community through relating the management policies and standards of the agency to its mission and program strategies, through giving overall direction to the many related details of controlling the human and financial resources of the program.

The CAA Board becomes involved in administrative management in many ways, among them the following:

A. Leadership

The Board sets the tone for the management standards of the agency:

- through the quality of the staff it hires and for whom it sets employment standards
- through the importance it attaches to management responsibility as reflected in the quality it requires from the staff

B. Management Policy Development

The Board receives reports from other policy making or advisory groups such as Head Start advisory councils and Neighborhood Corporation boards and from staff; reviews the progress of the agency against its management policies, standards and goals; and recommends or makes appropriate changes. It should also report to the other groups and to the community on such changes and on the progress of the agency in the administrative, as well as program areas.

C. Technical Assistance

The Board, particularly of a small CAA, may be able to lend some management expertise to the staff in certain areas (although it should try wherever possible to advise, rather than actually do the administrative work). In addition, OEO Instruction 6005-1 requires the CAA (this includes both staff and board members) to assist the poor to play a major role concerning decisions on budgeting and financial management, hiring of personnel and selection criteria, personnel policies, the number and type of non-professional positions, and training and career development programs.

In order to become knowledgeable enough about management to carry out these responsibilities, Board members who are qualified in

certain areas should teach other Board members basic concepts. After pooling all its knowledge, the Board should then seek whatever additional outside help it needs. Some help can be received from consultants hired by the CAA or from technical assistance or training provided by OEO. Other help, however, is often available within the community from volunteers whom Board members know--accountants, personnel officers and other management personnel of local businesses or industry, bankers and others.

II. PERSONNEL MANAGEMENT

A. Types of Board Involvement in Personnel

Few will dispute the Board's right to be involved in personnel matters, since personnel is the heart of the CAA's operation and by far the major portion of the budget. The Board's role in personnel, however, should never include an involvement in paper-work or the processing of personnel records. Nor does it mean patronage--finding jobs in the CAA for friends and neighbors--although jobs are a legitimate concern of the community and of the Board. The Board's proper role includes three levels of interest, listed below in increasing order of importance:

1. Compliance. Is the CAA observing all relevant laws, grant conditions and Federal policies?
2. Soundness. Are the personnel policies and practices of the CAA considered good practice? Are they fair to all employees? Do they include adequate controls to prevent abuse?
3. Relevance. Are the agency's personnel policies and practices appropriate to that agency. Do they support its programs? Is the agency able to hire, train, utilize and retain good staff?

B. Areas of Major Concern

OEO draft Instruction 6900-1, "Personnel Policies and Procedures for CAP Grantees and Delegate Agencies," discusses the role of the Board in personnel management, including both those minimum powers set forth in Organizing Communities for Action and other responsibilities which the Board should determine clearly and precisely so as to avoid confusion or ill will. That Instruction also spells out a special role for the representatives of the poor in personnel matters. Here is a summary of some things a Board will probably do:

1. Personnel Policies. An important job for the principal representative board, with the active participation of area councils and other representative groups, is to approve the agency's personnel policies and see that they are published and distributed to Board members, job applicants and employees. These policies may be drafted by a special or standing Personnel Committee of the Board. If they are drafted by the CAA staff, they should generally be reviewed and approved by a Personnel Committee before presentation to the full Board.
2. Recruitment. The Board is a good vehicle for publicizing staff vacancies. For example, representatives of the poor usually know about popular gathering places in the target areas where announcements can be posted and can often suggest ways of reaching minority group applicants. Representatives of private groups will know about appropriate professional journals and news media and can speak at meetings of local organizations about the personnel needs of the CAA. Representatives of public officials will have contacts in public employment services and can solicit referrals from other public agencies. The principal representative board should discuss with area councils and neighborhood groups ways that those groups can aid in recruitment. The various boards and committees should also be able to recruit many of the volunteers needed by the program.
3. Selection. A principle of good management is that a staff person given responsibility for implementing and administering a program, (such as the executive director of a CAA) should also be given the authority to select the staff for whom he is responsible. On the other hand, the CAA has a program interest in encouraging greater involvement of the poor, and the poor may feel that selection of staff is crucial to the success of CAA programs sponsored by the Board. The Board will have to solve this dilemma in deciding what role it is prepared and willing to adopt in the hiring of staff other than the director. The Board might wish to interview candidates for certain positions and nominate two or three persons for each position, from which the executive director could make a final decision. Or the Board might let the director do the screening, interviewing and selecting, with the Board having a final concurrence in selection.

Board involvement in selection will be much more helpful and feasible in a small than in a large CAA, where too much time would be consumed. Even in medium-sized CAAs the job of personnel selection will take several hours of work per week if it is done properly. Most boards will find it preferable to approve position descriptions, which include statements of duties and qualifications, and let the director (or any sub-

ordinate staff to whom he delegates the responsibility) do the hiring based on those descriptions and other selection standards and procedures which the Board approves. These other policies include the approval of an action plan for employment of the poor, as required by OEO draft Instruction 6900-1.

4. Training and Career Development. The Board should take a special interest in the career development of staff, particularly of non-professionals. It should:

- appoint a career development committee and/or determine other policymaking vehicles with representation from all interested groups

- help the CAA director assess the career development needs of his staff

- approve an overall career development plan for the CAA, covering delegate agencies wherever possible

- help enlist educational institutions and other community resources to aid in staff training and education

- act as an advocate of new careers for non-professionals in other businesses and agencies in the community.

5. Civil Rights. The Board is accountable for observance of civil rights legislation to the same degree it is fiscally responsible for how funds are spent. Even more important, it devises and is responsible for the implementation of an affirmative action plan for full equal employment opportunity.

6. Classification and Compensation. The Board approves, and sometimes participates in devising, the agency's position classification and pay plan, which establishes how much salary is paid to employees for doing different kinds of work. It also approves all policies relating to the pay plan, e.g., length of workweek and amount, frequency and method of awarding salary increases. This is a delicate responsibility, since the Board must insure that staff are not paid salaries which are so high as to be out of line with the policies of its funding agencies or the practices of the local community, but are paid enough to attract capable people to the program.

7. Employee Benefits. In conjunction with the pay plan, the Board approves policies governing "fringe benefits" to employees: vacation and sick leave, Social Security, workmen's compensation, health, life and unemployment insurance, etc.

8. Employee-Management Relations. The Board will want to establish procedures to encourage good employee-management relations and provide grievance mechanisms for solving any problems which do arise. The Board itself will become involved in cases where an employee appeals a suspension or firing or some other type of adverse personnel action. In such cases, OEO requires a hearing before the entire Board or an appropriate committee. Accusations about unfair practices can be extremely harmful to the CAA's image in the community. The Board can avoid much trouble by insisting on procedures to guarantee fair treatment for all.
9. Other. The Board also approves policies concerning employee conduct and activities, conflicts of interest, travel, and the keeping of adequate personnel records. In addition to all of these fairly specific concerns, the Board will be interested in such intangibles of personnel management as employee morale, teamwork, employees' understanding of their jobs, the smoothness of the day-to-day staff operations, evidence of imagination and flexibility among staff, and so on.

As the Board gains proficiency in different aspects of personnel management, it can determine its information needs from the staff and request relevant reports--e.g., the Board might be interested in such things as:

- Number of welfare clients who are now on staff and removed from welfare rolls (no names please)
- Number of male heads of household as compared to female heads of household
- Racial and ethnic breakdown of hirings and promotions during present reporting period and cumulatively
- College courses and high school equivalency tests taken or completed
- Number of applicants for specific jobs which are advertised or received on an unsolicited basis
- Better jobs obtained by those who have left the staff
- Turnover rates of staff and the reasons employees leave

The Board must balance its needs and desires for more data against the staff's time and capability to produce, but it has a right to receive crucial information which it needs to evaluate the overall effectiveness of the agency's personnel management.

III. FINANCIAL MANAGEMENT

A. Board Responsibilities

In keeping with its role as the principal policymaking body in the CAA, the Board is responsible for developing major financial policies and procedures which will provide for the effective, efficient, and economical management of the CAA.

The requirement for financial policies and procedures also stems from the Board's position of trust in relation to the funds it receives. This occurs because the Board bears ultimate responsibility for the financial status of its CAA and is legally accountable to its funding sources (Federal, State, and local) and morally responsible to the community as a whole (especially to the poor for whom the funds are intended).

In addition to its policymaking role, the Board is also responsible for observing, questioning and evaluating the operational financial management functions of the CAA. Briefly, this responsibility can be met assuming that the CAA substantially conforms to the following requirements:

1. Compliance with all relevant laws, grant conditions, and policies of the funding agencies.
2. The application of generally accepted principles of accounting and financial management.
3. An adequate system of internal controls to safeguard assets, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.
4. Accurate and current financial reports for use by the CAA in making internal management decisions.
5. Financial procedures which assist the CAA staff in managing their programs.

B. Operational Functions

Generally, the members of the Board should not directly participate in the CAA's operational role of implementing and executing fiscal policy. However, the Board does have certain operational type functions that must be performed in addition to its policymaking responsibilities. These involve the following areas:

1. Accounting System. As stated above, the Board must see that the CAA and its delegate agencies establish adequate accounting systems and must submit a statement to this effect to OEO from an independent accountant before funds for a grant can be released. The Board has a continuing responsibility for ensuring that the system is adequate to fulfill the Board's responsibilities.
2. Accounting Structure. The Board must decide upon the most effective organizational structure for providing the accounting services needed by the CAA and its delegate agencies, i.e., centralized (at the CAA level) vs. decentralized accounting.
3. Financial Personnel. The Board is concerned with the integrity and competency of the agency's financial personnel.
4. Budget. The Board determines the allocation of funds among activities. It approves the initial budget and all budget changes.
5. Financial Reports. The Board should receive regular and accurate financial reports in order to evaluate past performance and plan future activities. It should receive monthly and annual operating statements for all programs including those operated by delegate agencies, and should make these reports public as appropriate.

The Board is concerned with whether funds are being expended for lawful and necessary purposes, in the proper amounts, and at the intended rate of expenditure. The Board should also be familiar with the CAA's current rate of non-Federal share contribution to assure itself that adequate contributions are being made as required for all programs.

These financial reports should become a vehicle for improving coordination among delegate agencies and with the rest of the community in addition to satisfying Federal requirements.

The CAP Management Guide for Financial Control Techniques (OEO Guidance 6801) suggests that CAAs prepare the following financial reports for internal reporting purposes:

- Statement of Financial Position (assets, liabilities)
- Statement of Operations and Fund Balance (summarize all financial operations during the period including program resources applied, by source, and program expenditures)
- Expenditures Compared with Budget

--Status of Grant (analyzes rate of non-Federal contribution)

--Status of Delegate Agency Contracts

The Board is also responsible for assuring that the CAA and its delegate agencies are submitting financial reports required by OEO. These include the Grantee's Monthly Financial Report (CAP Form 15) and the Unexpended Federal Funds Report, (CAP Form 28).

Financial reports submitted to the Board should be complete and concise. The format should be sufficiently clear so that Board members can pinpoint potential problem areas and raise, with relatively little effort, relevant questions with the Executive Director and his staff. The sample Statement of Expenditures of XYZ City Community Action, Inc. (see next page) is an example of the kind of format that can be useful to CAA Boards.

At a glance, Board members should be able to see some areas of possible concern. For example, in the Statement of Expenditures on the next page:

- With 17% of the Program Year elapsed, only 1% of the funds budgeted for the Parent and Child Center have been expended. Board members should ask why this program is taking so long to get off the ground. It may have been planned this way (e.g. None of the \$318,685 budgeted for Summer Youth Opportunities has been spent, but since the Statement is for the months of February and March, this is to be expected), or it may be a new program, or those administering the program may be lagging in either their understanding of the budget situation or their ability to implement the program. In any event, the question should be raised. The same question might also be appropriate with regard to Project HELP where only 7% of funds have been expended with 1/6 of the program year elapsed. In the Senior Citizens Component, as in several other projects, none of the \$124,415 proposed non-Federal share has been expended. If this is cash, it has not yet been expended, if it represents services or facilities, they have not yet been transferred to the CAA.

6. Audits. The Board should take whatever steps are needed to assure itself that the CAA is complying with the audit requirements of OEO and other Federal, State, and local agencies.

Each CAA should select an independent CPA firm or independent licensed public accountant as its auditor. OEO requires a preliminary audit survey when a grantee first receives OEO

XYZ CITY COMMUNITY ACTION INC.

Statement of Expenditures February 1, 1969 - March 31, 1969

COMPONENT Versatile	Budget - 2/1/69 - 1/31/70 (Proposed)		Expenditures 2/1/69 - 3/31/69		% of Time Elapsed in PY	% of Total Budget Expended
	Federal	Non-Federal	Federal Share	Non-Federal Share		
Central Administration	531,775	-	531,775	81,636.84	17%	15%
Community Organization	531,765	-	531,765	67,064.17	"	13
Youth Inc.	23,214	20,410	43,624	3,625.67	"	16
Senior Citizens	184,736	124,415	309,151	29,566.14	"	10
Outreach	29,832	19,811	49,643	4,980.44	"	15
A.D.V.A.N.C.E	137,309	40,560	177,869	17,689.22	"	10
Project Help	94,451	30,858	125,309	5,524.82	"	7
Southeast Comm. Center	126,512	49,426	175,938	17,597.65	"	10
Head Start	47,386	21,141	68,527	-	-	-
United Services (U.S.)	226,593	49,920	276,513	26,224.55	"	10
TOTALS	1,923,573	356,541	2,290,114	253,909.50		

Markmarked

Bd. of Education	826,808	206,062	1,032,870	-	"	-
Summer Head Start	1,986,024	426,659	2,412,683	60,364.43	"	13
Pre-School Council	342,939	85,735	428,674	6,300.00	"	13
Legal Serv. Proj.	20,676	15,184	35,860	3,100.00	"	17
Action Inc.	54,601	15,429	70,030	2,683.34	"	15
Northwest Neigh. House	90,000	-	90,000	-	"	14
Emerg. Food & Health Svc.	274,997	43,688	318,685	-	"	-
Summer Youth Opport.	246,500	51,372	297,872	2,069.53	17	1
Parent & Child Center	3,842,545	844,129	4,686,674	72,447.77		
TOTALS				2,069.53		

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funds, plus an annual audit thereafter. The CAA should schedule audits of its records and of its delegate agencies, review the findings, and respond to the recommendations. It also reviews and responds to any Federal audits which are conducted.

7. Other. As part of its evaluation of the CAA and delegate agencies' accounting systems, the Board should ensure that adequate payroll records are kept, with controls over budgeted positions, salaries, time and attendance records, travel costs, payroll deductions, and leave.

IV. MANAGEMENT INFORMATION SYSTEMS

A. What is a Management Information System?

A management information system is a regular procedure for gathering statistical and descriptive (quantitative and qualitative) facts about the plans and progress of an operation, and a method for arranging such information, in a way that is useful to management in making decisions about the operation.

B. Purpose of a Management Information System

A management information system can be used:

1. to give a structured focus to defining needs, planning programs and allocating resources.
2. to monitor progress against plans in order to spot needs for corrective action.

3. to evaluate overall program quality and compare results of different projects.
4. on the basis of above, to make decisions concerning reallocation of resources, renegotiation with delegate agencies, needs for new staffing patterns, reorganization or program and staff units, needs for greater publicity or recruitment efforts.

C. The CAP Management Information System

CAP has a standard design of a management information system (called "MIS"), which includes certain forms to be submitted to OEO by each CAP grantee four times a year:

1. Program Progress Reports--quantitative reports of the number of persons served by each project and the amount of funds spent, measured against the dollars and participants which had been planned.
2. Participant Characteristics Reports--quantitative reports on the total numbers of program participants in each project in certain categories of income, race, age, sex, etc.
3. Quarterly Narrative Reports--qualitative reports describing program activities and the grantee's own perception of the progress that was made and problems that arose during the three-month period.

D. The CAA's Management Information System

The CAP MIS only prescribes certain reports which OEO needs for its purposes. Each CAA designs its own internal reporting system to gather the information it needs both to produce the reports for OEO and to help its own board and staff make decisions. The CAA will want more detailed information, for example, on program participants, program cost, measures of improvement in the lives of participants, needs that were identified, number of contacts made, referrals to other sources of help, type and amount of help the CAA gave, etc. The CAP MIS manual gives suggestions on devising a CAA Program Information System, but each CAA has to choose its own best methods, considering the size and complexity of the program and its information needs.

E. Ways the Board is Involved in MIS

Generally one staff person will have responsibility for the agency's information system. Because the Board is ultimately responsible for the entire program, however, it will be a primary user of the

information which is produced and therefore interested in the system. Some ways the Board might be involved are the following:

1. Quality review of reports to determine whether they best meet the Board's needs. Is the information summarized and arranged in such a way as to permit comparisons and to aid in rapid decisions? Is the data accurate, consistent and relevant? Are enough reports produced to cover the agency's information needs, but not too many to be useful? Are uniform records and reports used throughout the CAA wherever possible?
2. Aid to delegate agencies in establishing information systems compatible with and supportive of the overall CAA system.
3. Checking on how the system flows. Is information gathered from all projects? Does it flow quickly to the proper staff members? From the staff to the Board? Are important summary reports made public, while keeping in confidence information about individuals?
4. Use of the information in making Board decisions, and evaluation of its use by Board and staff. If no one in the CAA uses the information, there is probably something wrong with the quality of the data, the way data are presented, or the decision-making process of the agency. For example, if four out of five neighborhood centers each serve 500 persons a month, and the fifth serves only 75 persons per month, the Board should be concerned about the reason--bad location of the center? insufficient publicity? the wrong programs offered there? incapability of the staff? too few staff? objections to some center policy by area residents? etc.

It is the Board's responsibility to insure that the MIS becomes a useful tool for the CAA rather than merely a tool for OEO.

V. PUBLIC RELATIONS

The CAA is a community action program; therefore its role in the community and the community's image of that role is extremely important. Most of the success of the program will depend on its own merits, but public relations is needed, and it does not "just happen." Public relations should be an important aspect of the administrative management of the CAA. While it is one of the most crucial responsibilities of the executive director and his staff, there is also much that the Board can do since it represents so many different segments of the community.

It is easy to regard public relations in a sensitive social program mainly as defensive--answering objections, calming down hostile groups,

defending positions. The CAA must also be concerned at all times with creating a positive image, however, rather than just reacting to specific problem situations.

Here are some things the Board can do to foster a positive image of the CAA in the community:

1. Insure that the mission and objectives of the agency are clearly communicated.
2. Make the CAA visible and accessible to the community, especially target groups.
3. Study the image of the agency in different segments of the community and correct any misconceptions; be concerned with the probable public reaction to agency positions and activities.
4. Insure that information and publicity about programs, activities, and Board decisions are freely furnished.
5. Attract financial and human resources and talent to the program.
6. Obtain suggestions and ideas from the rest of the community.
7. Provide a forum for exchange of opinions, expression of grievances.
8. Establish a Public Relations Committee responsible for all of the things listed above, as well as the general development of public relations policies and strategies.

The Board can use many means to accomplish the above, both as a body and through the day-to-day actions and words of individual Board members. Some means are:

1. Public media. Radio, television and newspapers can be used to announce new policies and programs, recruit staff and participants, and explain the agency's objectives. In addition to using public media for special occasions, the Board should try to get a short and interesting summary of each Board meeting published in the local newspaper, and should also issue press releases from time to time about noteworthy events.

The Board should develop policies regarding such things as news releases (content and authority for issuance), press conferences, responses to invitations to interviews, access to staff members by media representatives, etc. The key element in relationships with the mass media is planning rather than simply responding to the interests of enterprising reporters. If a CAA operates a dozen projects, it should have a plan to present the accomplish-

ments of about one a month to the public through a news release or press conference. Mass media representatives should be "encouraged" (specifically invited would be better) to attend Board and committee meetings. They should be provided with background information when they do attend.

2. Speeches. The Board may wish to organize a speakers' bureau, using Board and staff members to talk before church and civic groups, schools, and other organizations.
3. Printed material. Generally the staff will produce any newsletters, posters, flyers or other printed material used to inform residents about the program. The Board should determine what will be issued, however, and individual members may be a great help in providing material.

Some CAAs publish an annual report, addressed to the public, telling of the agency's goals, accomplishments during the preceding year, and plans for the future. The report, like other materials intended for public consumption, should avoid the use of acronyms, initials, and other jargon used by Board and staff in their day-to-day conversation and internal reports to make the report more understandable.

4. Public meetings. The Board is responsible for assuring public access to information, including frequent public board meetings. The Board should hold well-publicized hearings on topics of major importance (e.g., the location of proposed health center). In addition, as part of its role as advocate for the poor, the principal representative board should work with neighborhood groups in establishing forums for discussion of problems related to poverty and airing of grievances of area residents with those persons who could alleviate them.

VI. PROPERTY AND SUPPLY MANAGEMENT

Property and supply management involves the acquisition, control, use, maintenance and disposition of property and property records. Staff will be responsible for most of the process, and the Board is generally not nearly so involved as in other aspects of administrative management. Property can represent a major financial investment, however, and its adequacy may have a considerable influence on the success of the program. For these reasons, the Board should generally participate in the decision-making with regard to:

1. Selection of offices and other facilities and related decisions, such as need for renovations or repairs, lease/purchase options, etc. The Board should make certain that affected neighborhood residents and target groups are adequately involved in these decisions.

2. Decisions on whether to lease or purchase, and how much to spend, for major cost items.
3. Establishment of a process for bidding on contracts and for review of contract performance.
4. Arrangement for central GSA or other purchasing for grantee and delegate agencies, if desired.
5. Determination that adequate records and other controls are established over procurements and requisitioning.
6. Provision for control over physical assets, including at least an annual inventory of non-expendable assets (e.g., furniture, office machines, etc.).
7. Decisions about disposal of major property assets upon termination of a project or of the entire program.

VII. OTHER ASPECTS OF ADMINISTRATIVE MANAGEMENT

From time to time the Board may be involved in setting policies or advising staff about such matters as clerical and custodial support, need for computer time (for the largest CAAs), forms management, work planning, and other matters related to day-to-day operations. On a broader plane, and thus more likely to involve the Board, is the job of organizational analysis--a review of the overall staff operations to judge such matters as the smoothness of inter-office and Board-staff relationships, the degree of internal communication and coordination, the efficiency of the organization of the agency, the need for further descriptions of responsibility, delegations of authority, etc. Such an analysis will be carried out continuously by the Executive Director, but the Board will also consider such questions as part of its evaluation of overall effectiveness of the CAA.

VIII. ADMINISTRATIVE MANAGEMENT AND DELEGATE AGENCIES

Each delegate agency board or advisory committee has responsibilities to its agency and constituency for the administrative management of the delegated program similar to those described above for the CAA Board. The CAA Board, however, retains ultimate responsibility to OEO and its other funding sources for delegate agency practices and performance. This relationship is spelled out in detail in Chapter 12, Part II. In the administrative area, this responsibility becomes particularly serious, since the delegate agency is likely to have existing administrative systems which may or may not be similar to those of the grantee and may or may not be supportive of the grantee's program. The CAA Board should endeavor to streamline and coordinate procedures wherever

possible, since in many areas, such as career development programs and property management, this will be more economical, more convenient, and will make more opportunities available. Regardless of whether uniformity is possible, however, the Board should be sure that each delegate agency clearly understand the standards which are set by the CAA Board and by its funding sources and should give assistance as necessary.

TRAINING METHODOLOGY

I. Introduction

Responsibility for administrative management, including such areas as personnel, financial, property and supply management, as well as public relations is delegated to the executive director and his staff. However, the board itself is responsible for overall policy and leadership.

You may find that different boards have radically different ideas on the extent of their responsibility and the methods by which they can exercise it. Since administrative expertise is not a prerequisite for appointment on a board, it is possible that some or all board members may have little or no experience in this area. Furthermore, they may not realize the extent to which the major goals of the program depend on the efficiency of the administrative functions. For example, it may be discovered that a CAA has not carried out its responsibility for hiring local residents. In this case, the board may need training on meeting its responsibilities in personnel management as well as the policy decisions the board makes and how to insure that those decisions are translated into action by the CAA staff. In the case of a board which has had trouble renewing its grant, perhaps the major problem is that the board has not taken advantage of staff resources to monitor the program's financial status and thereby be able to raise questions concerning potential problem areas before they become serious enough to affect the CAA's primary mission.

One factor which can be both an advantage and disadvantage is that administrative management is not something unique to community action. The same problems and responsibilities of CAPs are also characteristic of officials at the policy setting level of any business or nonprofit corporation of comparable size. For that reason, there is a wealth of resource people in almost any community on whom you can draw for assistance in training of board members. The negative side is that administration is not likely to be of major interest to many of the board members. Since their overall mission is different from that of other organizations they may be impatient to concern themselves with "community action" rather

than mere paperwork and red tape. Your hardest job may be showing board members that by exercising their administrative responsibilities they will be able to devote more time and energy to achieving their community action goals.

II. Overall Objectives

The overall objectives of this chapter are for the boards to develop an awareness of the need for efficient administrative management and a knowledge of what their roles and responsibilities are and how to carry them out.

You may find a wide range in the levels of expertise of various boards in administrative management. Some boards, particularly in large cities, may have some members skilled in administration. Even on these boards, you will have to determine whether the entire board is aware of its responsibilities and is carrying them out. All board members must realize that much of the success of their community action effort depends on the efficiency with which they carry out their administrative responsibilities. Specifically they need to know how they can go about exercising these responsibilities.

III. Specific Learning Goals

The specific learning goals in this chapter focus on the members' ability to state their responsibilities and learn ways to exercise these responsibilities.

1. WHAT IS THE BOARD'S ROLE IN ADMINISTRATIVE MANAGEMENT?

Board members should be able to state the extent of their involvement in administrative management and list some specific functions which they can perform.

Board members will be able to discriminate between administrative matters which require policy decisions from the board and those which can be delegated to the CAA staff.

2. WHAT IS A MANAGEMENT INFORMATION SYSTEM? HOW CAN IT BE USEFUL TO THE BOARD?

Board members will become familiar with the CAP's MIS. They will be able to describe ways the system's information can be used in their administrative operations.

3. WHAT SPECIFIC PERSONNEL OPERATIONS ARE CRUCIAL TO THE CAA'S EFFECTIVENESS? WHAT IS THE BOARD'S INVOLVEMENT?

Board members will be able to recognize personnel matters which require their direct involvement. They will be able to analyze a typical personnel problem (involving, for example, recruitment or employee management relations) and develop an appropriate policy or action to solve the problem.

4. WHAT ARE THE BOARD'S SPECIFIC RESPONSIBILITIES IN FINANCIAL MANAGEMENT? HOW CAN THEY PERFORM THEM?

Board members will be able to describe problems which require their decision. They will also be able to describe the reporting information they need from the CAA staff so that they can perform their responsibility.

5. WHAT KINDS OF DECISIONS SHOULD THE BOARD MAKE REGARDING PROPERTY AND SUPPLY MANAGEMENT?

Board members will be able to describe property and supply decisions in which they should participate.

6. WHAT ARE THE BOARD MEMBERS' RESPONSIBILITIES FOR PUBLIC RELATIONS? HOW CAN THEY EXERCISE THEM?

Board members will be able to describe their group and individual responsibilities for public relations and be able to describe at least three ways they can exercise these responsibilities.

IV. Methodology

To achieve these learning goals you may find it to your advantage to use resource people from the community to help instruct. All of the areas of administrative management have counterparts in private corporations and government agencies. Also some members of the board may be experts in one or more areas of administration. It would be desirable

for you to plan your training program with help from local experts or possibly consultants who have had experience with OEO programs. For example, there may be someone in an OEO regional office who is an expert on the CAP Management Information System.

By using local experts to help with this training you may also be able to build up contacts which will be helpful to board members in performing their community action functions.

LEARNING GOAL #1: What is the board's role in administrative management?

1. List and briefly explain each of the five major areas of administrative management. Give examples of policy areas for which the board is responsible.
2. Using a checklist of 15 or 20 aspects of administrative management, ask the members in which ones should they be involved. When doing this it may be helpful to break the group into subgroups of four to five members each. Give the subgroups about 15 minutes to discuss the checklist. At the end of the 15 minutes ask each group to give its list.
3. Lead a discussion of the group responses. Emphasize the difference between day-to-day operations, which are the responsibility of the CAA staff, and the overall policy decisions which should be made by the board.

LEARNING GOAL #2: What is a management information system?

After establishing in learning goal #1 above the administrative responsibilities of the board, there can be a logical progression to the tools available for members to make these decisions. One tool is a management information system.

1. Start by defining a management information system. The definition of a management information system on page 12 of the chapter on management is a good example. Then, using a flipchart or blackboard, ask the members to list purposes for such a system. This should include "compare plans with progress," "to make decisions concerning reallocation of resources," etc.

2. Describe briefly the three kinds of reports which are part of the CAP management information system. Hand out samples of the report forms and ask the members to compare the information requested on the reports with the purposes listed in 1 above. For example, using a copy of the Participant Characteristics Report demonstrate that the information on this report could tell the board if overall goals of involving low-income participants were successful. Also demonstrate how the report could signal if some area were receiving insufficient emphasis.

LEARNING GOAL #3: What specific personnel operations are crucial to the CAA's effectiveness?

The answer to this question may vary slightly from area to area. However, areas which should be emphasized are recruitment, employee-management relations, and career development.

1. Have short lectures, preferably given by someone familiar with overall community action goals. The lectures should emphasize personnel operations as they are related to these goals in terms of:
 - a. fairness
 - b. relevance to goals of local residents
 - c. training and staff development.

The lecture should also reflect OEO Instruction 6005-1 which requires CAA (including both staff and board members) to assist low-income groups to play a major role concerning decisions on budgeting and financial management, hiring of personnel and selection criteria, personnel policies, the number and type of non-professional positions, and training and career development programs.

2. Use a problem or case study appropriate to the area. Ask the board members to break into groups of four to five and decide on a possible solution. For example, the members might be asked what action they would take if local newspapers complained that the CAA staff was not recruiting among low-income groups. Additional data could show that primary emphasis was placed on skills. Since the CAA's staff development was not receiving very much emphasis, the CAA had to hire people who had achieved the needed skills. The members would be expected to determine the basic cause of the problem, in this case lack of emphasis on training and staff development. They should suggest ways to effect a change.

3. Point out ways other boards have controlled personnel problems in summarizing this material. Include standing committees to review personnel policies and advise the board, board approval of the agency's classification and pay plan, and board concurrence in selection of top staff members.

LEARNING GOAL #4: What are the board's specific responsibilities in financial management?

Here again OEO has developed a guide for boards to use in meeting their responsibilities in the area of administration. In addition to OEO Instruction 6005-1 mentioned under Learning Goal #2, the CAP Management Guide for Financial Control Techniques (OEO Guidance 6801) suggests that CAAs prepare the following financial reports for internal working purposes:

- Statement of Financial Position (assets, liabilities)
 - Statement of Operations and Final Balance (summarize all financial operations during the period, including program resources applied by source, and program expenditures).
 - Expenditures compared with Budget
 - Status of Grant (analyze rate of non-Federal contributions)
 - Status of Delegate Agency Contracts
1. Describe to the members the areas of financial management for which they are responsible. Include both policy functions and direct responsibilities, such as budget approval and decisions concerning the organizational structure needed to meet the CAA's financial responsibilities.
 2. Ask members to list on a blackboard or flipchart, the kinds of information they feel is needed to carry out these responsibilities.
 3. Using a sample report such as the exhibit on page 11 of Part III, Chapter 1, ask members to analyze the report and pick out possible problem areas. Discuss these.

LEARNING GOAL #5: What kinds of decisions should the board make regarding property supply and management?

Give a simple description of what is included in property and supply management, and a listing of major decisions in which board members should be concerned. A good resource person would be a GSA or other government facilities management officer.

LEARNING GOAL #6: What are the board members' responsibilities for public relations? How can they exercise them?

1. Ask a local radio or TV announcer, newspaper editor, and, if possible, a corporation public relations officer to participate in a panel discussion of ways board members can insure adequate coverage of the CAA programs.
2. Ask each board member to suggest one way in which he individually can influence the public's knowledge of the CAA.
3. Select recent examples of social service programs which have suffered because of poor publicity, and ask the board members to suggest alternative actions which could have been taken to prevent or ease these situations.

V. Evaluation

It would be very useful to involve the board members themselves in evaluation of their training, particularly in administration. If you use consultants for this training you should work with them in preparing an evaluation checklist which is keyed to each of the five areas of administrative management covered in the training. Board members could use these to chart how well they are performing in administration. For example, for personnel responsibilities the checklist will cover information they should receive and evaluate. These checklists could be used by a board to evaluate its accomplishments over a period of perhaps six months and to identify areas where training is still needed.

Use these checklists initially as pre and post tests which cover what a board should and should not do in administrative management. This means having the members complete a list at the opening of the training session by checking those items they think a board should do and completing the same exercise at the end of the training. This will be a good measure of their learning, at least at the conceptual level. Try to work closely with board members and committees who have administrative responsibilities in the months which immediately follow the training. Help them identify their accomplishments and additional training needs.

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PLANNING AND THE CAA BOARD
(Part III, Chapter 15)

PLANNING AND THE CAA BOARD
(Part III, Chapter 15)

I. INTRODUCTION

II. THE CAA'S PLANNING PROCESS

- A. Identify the Needs of the Poverty Community
- B. Determine the Goals of the CAA
- C. Determine the Priorities
- D. Compare the Resources Needed with Those Already Available
- E. Develop Alternative Plans
- F. Develop a Program to Carry Out the Plan Chosen
- G. Evaluate the Program

III. THE USE OF BOARD COMMITTEES IN THE PLANNING PROCESS

IV. THE RELATIONSHIP OF THE CAA BOARD AND CAA STAFF IN THE PLANNING PROCESS

PLANNING AND THE CAA BOARD

"The Director (of OEO) shall require, as a condition of assistance, that each community action agency has adopted a systematic approach to the achievement of the purposes of this title and to the utilization of funds provided under this part. Such systematic approach shall encompass a planning and implementation process which seeks to identify the problems and causes of poverty in the community, seeks to mobilize and coordinate relevant public and private resources, establishes program priorities, links program components with one another and with other relevant programs, and provides for evaluation...."

Economic Opportunity Act
Section 221(d)

I. INTRODUCTION

Planning, in its simplest sense, is "deciding today about what to do tomorrow." In this sense, everyone plans. People decide about picnics, business deals, wars, careers, and vacations. Planning, then, is basically a decision-making process.

Decision making can be informal and unstructured, as it usually is when people are deciding about simple things such as picnics and vacations. More complex problems, such as careers, business deals and wars (including the one on Poverty), demand more careful and structured analysis. Planning for community action is a decision-making process in which

1. the needs of the poverty community are identified
2. the goals and objectives of the CAA are determined
3. priorities are set
4. resources needed are balanced against those available
5. alternative plans are developed
6. programs are developed to carry out the plan selected, and
7. the programs are evaluated

The primary responsibility for planning in the Community Action Agency falls to the CAA Board. They are, according to the Economic Opportunity Act, the source of all authority for the CAA's operations and are ultimately responsible for whether these operations succeed or fail. The representation on the Board -- the poor, public officials, and private sector -- insures a cross-section of the community. In many agencies across the country, CAA Boards have not engaged in planning for a variety of reasons. Some Boards don't realize the importance of their participation; others just haven't known how to approach the whole area of planning. A number of Boards have found it "easier" to vote yes to recommendations the executive director makes than to make any planning decisions themselves. Other Boards, recognizing the competence of their executive director and feeling he is much closer to the problems and more educated than they, have made a conscious decision to leave all of the planning decisions, even those as basic as determining the goals of the CAA, up to him.

As long as the CAA Board is ultimately responsible for the actions and activities of the CAA, as long as it is responsible for the success of the agency, as well as the failure, each Board member must participate in the one activity that, if carried out thoroughly and conscientiously, will give the Board a handle on directing the future of its agency. This activity is planning.

The Economic Opportunity Act focuses a great deal of attention on the need for CAA's to plan, and because of the emphasis on planning in the legislation, OEO requires CAAs to submit detailed planning documentation as part of their yearly grant application. The OEO Grant Application Process (GAP) is the focal point for CAA planning and the documented outcome of the planning process is CAP Form 81, Community Action Agency Plans and Priorities with which every Board member must be familiar. For further information on planning as it relates to GAP, see Part III, Chapter 3 of this Manual, "The Role of the Board in the Grant Application Process."

As noted earlier, the planning process in a CAA consists of seven decision-making steps, each of prime significance to Board members. On the following pages, we will discuss the Board's responsibility with regard to each of these steps.

II. THE CAA'S PLANNING PROCESS

A. Identify the Needs of the Poverty Community.

The first step in the planning process is for the CAA Board to identify the needs of the poor in its community. These are the needs that the CAA will be trying to meet through its programs, policies, coordination with other agencies, efforts to bring about institutional change,

mobilization of resources, advocacy, etc. Although CAAs which have been in operation for several years may feel they have already defined the needs of the poor, people's perception of what constitutes a need in their life changes. For instance, an old woman now concerned about getting along on social security was once primarily concerned about getting larger living accommodations for herself and her five children. Also, the conditions that create needs in the poverty community change, such as the need for industry in a rural town to provide jobs for the unemployed would change if three new industries moved in and began hiring the unemployed. As a result of this, many other needs of the poverty community, besides employment, would change also. Previously unemployed would no longer be concerned about lowering the price of food stamps, since they no longer need them. With a larger tax base, more money should be going to the school district to rebuild rundown schools in the poverty area and to provide remedial programs. Therefore the need for new and better schools would no longer exist (at the moment).

The needs of the poverty community will be continually changing both in substance and in degree, and it is the Board's job to keep abreast of whether the actual need has changed, or just the emphasis on particular needs. Most of the actual work entailed in identifying needs will be done by the CAA staff. It is the Board's role, however, to insist that needs of the poverty community be continually explored in a variety of ways. It is the Board's responsibility, also, to be open to discussion of community needs brought up to Board members (particularly representatives of the poor); community groups; CAA staff; the poor themselves; or other organizations. Specifically, the needs of the poverty community will be brought to the attention of the Board in the following ways:

- Through surveys: There are three advantages to a survey: (1) It gives a large number of poor people the opportunity to voice their opinion; (2) Needs are identified that were not previously recognized by community organizations; and (3) The relative magnitude and severity of needs throughout the community can be assessed. (Methods a CAA may use to survey a community's needs can be found in OEO Guidance 6321-1, Planning for Community Action.)

Besides conducting its own survey, a CAA may jointly sponsor a survey with another community agency, or assist other agencies in making surveys (such as by providing outreach aides as surveyors) in order to obtain useful information. Sometimes the CAA will be able to find local colleges and universities, or other organized groups in the community, who are willing to make surveys for them. In one instance a college Sociology Department sent its students to the local CAA to help it determine the information it needed to develop survey forms and assist in organizing a survey.

The information obtained through surveys is analyzed by the CAA staff and presented to the Board. It is the Board's job to take this information into consideration as it establishes its goals and priorities.

- Through meetings with and presentations by the poor: This is vital! A Board cannot properly identify the needs of the poverty community without listening to the poor, or their representatives on the Board. In fact, the poor should be consulted not only in the identification of needs, but in every step of the planning process. A full discussion of the participation of the poor in planning can be found in OEO Instruction 6005-1, Participation of the Poor in the Planning, Conduct, and Evaluation of Community Action Programs. In most cases, presentations made by the poor are quite explicit and accurate and need no interpretations to be understood. New and changing needs can be identified this way at any Board meeting.

Another way for the Board to hear presentations by the poor is to hold an open Board meeting (or committee meeting) at which needs of the poverty community are to be discussed, and specifically invite target area groups. The meeting should, if at all possible, be held in the target area.

Needs expressed directly to the Board should also be analyzed by the CAA staff (as were the needs expressed through surveys). This should be done to sort out symptoms of a need as opposed to actual needs. For example, a representative of the poor on the Board may feel that an urgent and pressing need of the poor he represents is employment and therefore the CAA should work to bring industry into town to take care of this. After analyzing this need, however, the CAA staff may discover that the real reason for the unemployment is not lack of jobs, but the lack of marketable skills on the part of the unemployed, or because of job discrimination.

- Through reports presented by Board committees and CAA staff: Reports presented by Board committees concerned with specific areas such as manpower, health, education, etc., are another means of getting information on the needs of the poor. These committees will be continually reviewing the available resources in these areas and should have a good fix on the needs of the poverty community that are not being met. The CAA staff will also be continuously presenting reports to the Board which serve to define the changing needs of the poor. Oral reports by CAA project directors indicating the progress their programs have or have not made in meeting the needs of the poverty community are a good example of this.

- Evaluation of existing programs: Evaluations of existing CAA programs should indicate the relative success or failure of the project in meeting its objectives. Realistically speaking, it is unlikely that any project will be fully successful in meeting all the needs of the poor which it set out to meet. An analysis of the degree to which the project failed to meet the expectations of its work program will be valuable to the Board in its effort to determine additional needs and redefine existing ones.

B. Determine the Goals of the CAA.

The second step in the planning process is to determine the long range goals and short range objectives of the CAA. That is to say, the Board must decide the specific ends or purposes to be achieved in the next year of the agency's operation, the next two years, three years, and so on.

When a Board begins to define goals, it must take a number of things into consideration. The first of these is the statement of CAP Missions and Objectives, OEO Instruction 1105-1. This statement is further clarified in OEO Instruction 7850-1, Standards for Evaluating the Effectiveness of Community Action Programs. Although the goals of an agency will be tailored to local needs, they should be consistent with the broad mission and objectives of the national community action program as reflected in these policy issuances. This means that the goals established must indicate what specific improvements in the community's response to poverty the grantee will attempt to accomplish during the next funding cycle. In establishing its goals, the CAA is subject to the following requirements:

1. Every grantee goal must meet at least one of five general national standards which include:
 - Strengthened community capacity for planning and coordinating poverty-related programs.
 - Better organization of a range of services related to the needs of the poor.
 - Innovations and improvements in programs, institutional practices, laws, and regulations which increase opportunities for the poor.
 - Increased and more effective participation by the poor in the planning and conduct of programs which affect their lives.
 - Broadening the base of human and material resources invested by the non-poor community in anti-poverty activities.
2. Every CAA must establish a sufficient range of goals so that taken together they meet each of the five national standards.

A CAA's goals, of course, must be more specific, locally tailored versions of one or more of the "Indicators" found in OEO Instruction 7850-1 (Attachment A) or some other indicator which the OEO funding office approves as meeting one or more of the national standards. As the Board begins to discuss what its goals should be, it will be the CAA staff's job to look at the goals the Board is discussing in terms of OEO policies and to brief the Board accordingly. This does not absolve the Board of its own responsibility for having a working knowledge of OEO policies and standards. Where staff advice runs seriously counter to the Board's tentative goals, the Board must make certain that the staff's understanding of OEO policy is correct and, if necessary, discuss with the staff ways of modifying its goals so as to bring them into conformance with OEO policy.

A second consideration in establishing goals is the CAA's own mission statement which is generally part of the CAA's Charter. This statement is usually phrased in general terms, such as: "The mission of this agency is to eliminate poverty and its causes in this community. The long and short term program for achieving this includes:

1. The development and conduct of anti-poverty programs with both public and private support.
2. The maximum possible involvement of the poor, themselves, in the development and conduct of these programs.
3. The coordination of anti-poverty efforts throughout the community to avoid duplication of effort, to improve delivery of services and to relate programs to one another with a community-wide strategy.
4. Serving as an advocate of the poor on health, education and welfare matters and on matters regarding administrative reforms and institutional change that affect them."

Although very general, the mission statement sets the limits within which the CAA will work to establish goals. Here it is the Board's responsibility to request the staff to present an analysis of the CAA's mission statement in terms of its relationship to the goals being considered by the Board.

A third consideration as the CAA Board establishes goals is the symptoms and causes of poverty in the community. Some causes are very easy to detect, such as the loss of a major industry in town; illiteracy which results in an unskilled and untrainable work force; and technological change leaving out-dated skills unused. Symptoms of poverty will be seen in such conditions as drug addiction, delinquency, urban blight, lack of available credit in a low-income neighborhood and poor health. The CAA staff should be able to present information to the Board on the symptoms and causes of poverty in the community.

When all these things have been discussed and digested, the Board is ready to begin defining its specific goals, and they must be specific as to both the character and extent of the community response during the next funding cycle (or several funding cycles). Where suitable, goals should

be stated in quantitative terms (number of people to be trained, placed in jobs, etc.), but whether they use quantitative or other terms, grantee goals should deal with the question of "how much" as well as with the quality and character of improvements to be achieved.

Each goal must be defined with sufficient precision to encourage and help the Board and staff's efforts to develop a number of alternative plans through which it may be achieved. For example, it is not adequate for a Board to state that decentralization is a goal. This may be adequate for a mission statement but not for a goal. A goal must state that over X number of years (or months), X powers, X functions, and X programs will be decentralized to X neighborhood corporations. From a goal stated with this amount of specificity, the CAA staff will be able to develop a plan for achieving the goal established by the Board.

Since the list of goals established by the Board is likely to be lengthy, it is a good idea to group goals according to their subject areas, such as health, education, housing, etc.

The Board should also distinguish between short (one year or less) and long-range (more than one year) goals, to assist the staff in working out alternative plans. (The staff may suggest, however, an alternative time frame than the one originally proposed by the Board.) When goals are firmly established they should be communicated to all levels of the CAA staff and to the community.

C. Determine the Priorities.

The third step in a CAA's planning process is to determine priorities. Priority means an order of preference based on urgency, importance or merit. If a Board has three goals, it will have three priorities--a number one priority; a number two priority; and a number three priority--based on which goals it considers most and least important, urgent, or worthwhile. In order to establish realistic priorities, the Board must look at a number of things.

Number of Tasks Involved. The first thing a Board will look at in establishing priorities is the number of tasks involved in accomplishing a specific goal. For instance, going back to the goal of decentralizing X powers, X functions, and X programs to X neighborhood corporations over X years, the tasks involved are many. The CAA must get a commitment to decentralization from CAA staff, leading citizens and neighborhood groups; involve low-income citizens and leaders of existing neighborhood groups in decisions regarding decentralization process and procedures; hold elections to insure representativeness of councils that will become corporations; arrange training and technical assistance for CAA staff who in turn will be assisting neighborhood groups strengthen basic management and functional capabilities; make funds available to neighborhood corporations so they can purchase their own training and technical assistance from outside sources; begin CAA reorganizations which will include transforming many central staff members from program management to technical assistance roles; etc. After going over such a list of tasks with the CAA staff, the Board may discover that this is a long-term goal (and, of necessity, less urgent), and rank it below a goal that can be achieved more quickly (e.g. getting the State Department of Public Health to provide dental services to a rural area).

Complexity and Time-Table of Tasks: The next thing a Board should consider in establishing its priorities is the complexity and time-table of the tasks involved in reaching a specific goal. For example, many of the tasks involved in decentralization are quite complex. In order to get a commitment for decentralization from community leaders, CAA staff and neighborhood groups, the CAA will have to engage in a sensitive public affairs effort; a mechanism will have to be established to insure the participation of neighborhood groups involved; procedures for the elections will need to be established before elections can be held; etc. On the other hand, all that may be involved in getting the State Department of Public Health to provide dental services to the rural poor is making the suggestion based on the documentation of need the CAA has gathered. This would reaffirm the Board's decision to make it a higher priority goal than decentralization.

Resources Available: In setting priorities the resources available to achieve a goal must be considered. There may be more obvious and available resources for getting dental services to rural areas (e.g. the State Department of Public Health) than there are dollars, manpower and other resources to execute the decentralization process.

The Board will depend a great deal on the CAA staff to provide the base of information it needs in order to cover all of the concerns that go into establishing priorities--number of tasks involved in pursuing a goal; complexity and time-table of tasks; and resources available. As the Board takes all of these things into consideration, it may decide to modify or change its original goals based on new information learned about the difficulty of achieving a certain goal (e.g. the time-frame for decentralization might be changed from 1½ to 3 years).

D. Compare the Resources Needed with Those Already Available.

After needs are identified, goals defined and priorities assigned, the Board must review once again the resources that can be mobilized and determine what new resources are needed to accomplish its goals. Resources may include money, manpower, facilities, volunteers, other community institutions, mass media and a great number of other things. (The chapter in this manual on mobilization of resources should be consulted for an in-depth discussion of the subject.)

E. Develop Alternative Plans

There is always more than one way to achieve a goal, and it is the staff's job to find out what these ways are--to work out alternative methods and strategies, time frames, resources needed, etc. For example, in planning for decentralization, should the existing neighborhood councils be used as the corporation base, or should new resident groups be organized to form the neighborhood corporations? What are the relative merits of each alternative? The Board should not be satisfied with only one plan presented by the staff, for this in effect leaves them with no decision as to the best plan for their purposes.

When alternative plans are finally presented to the Board, they must choose the best plan--one that is within the CAA's funding possibility, one that is consistent with the CAA's overall strategy in the community, and one that, perhaps, supports an existing program.

A good planning effort can be hindered by orienting plans toward programs rather than toward the goals or objectives the CAA would like to achieve. Only when goals, plans and strategies have been decided upon by the Board, is it time for the CAA staff to begin working them into specific programs.

If plans are developed with a specific program in mind, alternatives may never be considered, and there is a good chance that goals will be forgotten or neglected in the process.

Another problem common to many CAA's planning efforts is failure to involve all groups that may be affected by the plan or whose resources may be needed in the execution of the plan. The plans developed for decentralization may call for massive training and technical assistance for the new neighborhood corporation, and may indicate that part of this will be provided by a local businessmen's Association. If the Businessmen's Association is not included in the development of the plans, the CAA cannot count on its support. A more common example of the importance of involving groups which may have a potential role in the execution of a CAA plan at the earliest possible time is an employment training program. Frequently school systems or other training facilities are involved in the CAA's planning effort at an early date, but the CAA fails to involve local business and industry in the job development aspect of the program. As a result, a CAA can find itself planning to train men in skills for which there is no demand on the local market.

It is especially important that the poor participate in the development of the CAA's plans from the beginning. As plans are developed, they should be discussed with neighborhood groups for their applicability to and workability in the poverty community. A neighborhood group might have an alternative plan for plans it would like considered along with plans developed by the CAA staff. The Board and its staff must maintain contact with neighborhood groups during the development of alternative plans. One way the Board can insure this is done is to hold meetings at which the CAA's planning efforts are to be discussed in the poverty neighborhood.

F. Develop a Program to Carry Out the Plan Chosen

After a plan has been selected by the CAA Board, it is communicated to the staff which develops a program to implement the plan chosen. This means developing a specific work program, staffing pattern, budget, funding source, etc. The program developed should be reviewed by neighborhood groups, community institutions, as well as by the CAA Board. In reviewing a program, the Board should focus its analysis on such specifics as:

--Goals

1. Will this program stimulate or produce a measurable improvement in the community's response to poverty in all of the five national standard categories discussed earlier?
2. Does the program meet the goal or objective established by the Board? How?
3. What are the key factors for success and how are they carried out?
Is the program effectively controlled to ensure objectives will be met? How?

--Representation

1. Have mechanisms been established to give the poor a voice in the conduct of the program?
2. What are these mechanisms? Policy council or other?

--Financial

1. What is the funding level?
2. What will be the source of funding?
3. What is the time frame for funding? One year? Three years?

--Organizational

1. Is the CAA or a delegate agency administering the program?
2. What is the organization structure of the sponsoring agency?
3. Is the organization adequate?
4. Who will be the liaison person in the organization with the CAA?
5. Who are the top managers of the program?
6. What are the responsibilities of the program's managers?

The Board's analysis of a program, may cause it to be changed or restructured a number of times by the CAA staff before it meets with the full Board's approval.

G. Evaluate the Program.

In the planning cycle, evaluation is the last step before the cycle begins anew. Once programs have been in operation long enough to have taken hold, the Board is responsible for determining whether they are meeting the objectives of the agency; what changes are needed; what loopholes have been discovered that can be avoided in future programs, etc. No program is perfect. The success, or lack of success, of a particular program will help the Board in planning future programs. New information gained through program operations will help the Board in further defining the needs of the poor and the appropriate steps to be taken to meet these needs. The experiences gained through one planning cycle in the areas of program strategies, program coordination, program operations, budget expenditures, etc., should be fed into the next planning cycle to make it a more successful and responsive effort. (The Board's role in evaluation is discussed in detail in the evaluation chapter of this manual.)

III. THE USE OF BOARD COMMITTEES IN THE PLANNING PROCESS

If the CAA's planning process is to be a continuous and quality effort, a specific committee or subcommittee of the Board should be assigned the planning function. As the Board's contact point with the CAA planning staff, this committee should relay planning assignments to the professional planners and review the work presented by the staff. The full Board does not have the time to cover the groundwork necessary in planning for a CAA; and, if planning is left up to the full Board, it is likely to become a sporadic exercise as other "higher priority" agenda items come up throughout the year.

If, for one reason or another, a planning committee is not established, it is highly important for the responsibility to be assigned somewhere in the Board's organization. In some CAAs, planning objectives may be set by a subcommittee of the Executive Committee, in collaboration with the CAA's planning staff; in others, this may be done by a planning, programming and budget committee. Some CAAs will have functional committees, such as manpower, health, education, welfare, etc., which funnel information, evaluation reports and project proposals to the committee which has been charged with the planning responsibility. These committees may also study problem areas, direct preparation of studies, etc., and then recommend overall objectives (in their field) to the full Board. A CAA may also have a proposal review committee, which presents programs to the planning committee. Proper Board organization and operation will enable planning to take place. Lack of good Board organization, on the other hand, will prevent coherent planning. A committee or subcommittee primarily responsible for carrying out the planning function should have the same proportional representation (poor, public, and private) as the full Board.

One of the specific functions of a committee or subcommittee concerned with planning is to continually evaluate current program operations against program goals and make recommendations to the full Board for changes in program operations, as necessary; to review agency policies for their relevance to agency goals, and make recommendations to the full Board, as necessary; to investigate new areas of concern that have been brought to the attention of the CAA; and so on. For example, a planning committee considering the need to combat the high crime rate in the poverty area might go through the following steps:

- Determine background information needed to consider specific problems brought to the attention of the Board in the area of youth crime in the poverty community. Direct the staff to provide such information. Decide that reduction and the eventual elimination of youth crime in poverty area is a need of the poverty community.
- Hear presentations from the school guidance director, juvenile judge, probation officer, police -community relations director and CAA youth program director. Consider statistical information presented by the CAA staff on school drop-out rate, operational youth programs in the community and youth participation in such programs. Based on presentations made, recommend to the full Board that elimination of youth crime, through a greater participation of these youths in community decisions affecting them be established as a long range goal of the agency. Full Board accepts recommendation.
- Request CAA staff to prepare alternative plans through which CAA can achieve this goal.
- Based on analysis of plans submitted by CAA staff, recommend to the full Board that youth committees be established in neighborhood centers. The object of these committees would be to involve youth in program decisions affecting them. Youth committees would not only be a resource for CAA youth program development, but also to the police department, recreation department and the school system in their development of out-of-school and summer youth programs.
- Direct the CAA staff to develop a specific program for the development of youth committees.
- Present a plan to the full Board for approval. After minor changes, Board accepts plan.
- Require periodic reports from neighborhood center directors on the progress of youth committees.

Besides a relationship with the functional committees, such as manpower and education, the committee responsible for planning must also have a very close relationship with the Board's budget or finance committee (and program committee if such exists). As mentioned earlier, the planning, programming and budget functions may be the responsibility of one committee. The budget committee is generally responsible for working with the planning committee on budget limitations and possibilities for both the short-range and long-range planning in which this committee will be involved.

IV. THE RELATIONSHIP OF THE CAA BOARD AND CAA STAFF IN THE PLANNING PROCESS

The planning process in a CAA will rarely be successful if it is carried out in isolation either by the CAA staff or CAA Board. Each must be involved, carrying out its particular responsibility. The Board has the responsibility to become involved in the ongoing decisions that are made in each step of the planning process--what are the needs of the poor; what are the goals of the agency, etc., whereas the staff bears the responsibility for providing the Board with the information it needs in order to make these decisions. The Board does not have the time to get involved in gathering all the information needed to determine goals and priorities; nor does the staff have the authority to determine, on its own, what the goals and priorities of the agency should be. The planning process must be a cooperative effort between Board and staff.

The charts on the following pages are intended to give Boards some idea of where their responsibilities lie, as opposed to the responsibilities of the staff in the planning process. The chart is not all inclusive. It does not cover all the decisions the Board will make during the planning process, nor does it cover all work the CAA staff will do with regard to planning. It is rather meant to show the type of involvement the Board will have as compared to that of the staff. Hopefully, it will be a step toward a better understanding on the part of the Board as to its role in this process.

STEPS IN THE PLANNING PROCESS	ROLE OF THE BOARD* IN THE PLANNING PROCESS *For committee or subcommittee of the Board that has been assigned the planning function.	ROLE OF THE STAFF IN THE PLANNING PROCESS
Identify Needs	--Review poverty characteristics in the community. Ask staff for data and analysis. --Request staff to prepare list of problems and current resources at work to solve them. --Request staff to review and report on all studies done in the community which relate to the needs of the poverty sector.	--Staff may also <u>initiate</u> proposals for Board evaluation. --Provide data and analysis as requested. This can be prepared in advance of the Board's request.
1. Problem Identification	--Review list of needs prepared by staff. Select areas for study and instruct staff to proceed with studies. --Consider publication of staff studies on needs of the poverty community as a means of raising issues in the community. Instruct staff on studies to be published. --Direct staff to organize a meeting of target area groups at which Board members will be present to discuss community's needs.	--Provide a list of problems and current solutions (e.g., institutional and political, target area involvement, technical, legal and administrative). List of problems can be developed through a hearing. Briefly evaluate current efforts with inputs in this evaluation from program participants as well as professionals working in the programs. --Conduct studies requested and present analysis, findings and recommendations to the Board. --Organize meeting.
2. Problem Analysis	--Review CAP Mission Statement (OSO Instruction 1105-1). Ask staff for interpretation as desired. --Review CAP's own mission statement. --Ask staff for information on poverty conditions and symptoms in the community. --Define goals or redefine existing goals relating CAP/CAM mission to local conditions, (taking into consideration needs of the poverty community and poverty conditions and symptoms) --Ask staff for alternative goal statements to be discussed in detail if groups on the Board have different ideas on what these goals should be (e.g., one emphasizing service goals related to youth while another wants goals for the unemployed). Board may refer some or all such debates to a subcommittee or task force for further review and recommendations. Debates may be publicized formally or informally in order to get community input. --Agree on goals and inform staff and community of them.	--Provide interpretation as requested. This can be prepared in advance. --Provide information as requested. --Develop detailed goal statements taking into consideration various ideas of the Board members by working closely with the different spokesmen on the Board. --Prepare appropriate publicity releases. Provide presentation materials for Board members' use in talking with other community groups.
Define or Redefine Goals		

Establish Priorities

--Review goals for priority implications, such as severity of problems, as well as for implications as to institutional change necessary, resource mobilization needed, magnitude of tasks involved, current program activities and capabilities of the agency. Ask staff to provide information necessary for this review.

--Hold hearing. Determine whether current priorities should be reaffirmed or altered in light of this review. Inform staff and community of decision.

--Request review of current policies, programs and operations in light of review of priorities.

--Establish new priority routing of goals.

Review Resources

--Determine what resources are available and which ones are needed to achieve goals.

--Ask staff to determine which ones could be put to greater use or redirected to more adequately serve the poverty community.

--Request studies of new funding sources, changes in guidelines of existing funding sources, volunteer potential and other resource mobilization possibilities. Make specific recommendations that new funding sources be checked out as soon as possible.

--Hold a resource mobilization workshop with other community organizations, both business and social. Try to get a commitment for resources needed.

--Prepare review as requested. Present findings and recommendations in time for Board's program development activities.

--Prepare study of resource mobilization possibilities from local, state, regional, national, private and public sources.

--Prepare appropriate briefing material, stating CAA's resource needs and proposals for meeting them.

Develop Alter-native Plans	--Request staff to prepare two or more preliminary plans, taking into consideration CAA goals, current program operations, and available resources for one, three and five-year periods. Such plans should be comprehensive enough to include relevant linkages, coordination relationships and budget estimates. Plans may be developed for single broad areas, such as manpower, economic development, education, health or housing, or for different combinations such as health programs for the elderly. --Review plans submitted by staff along with any specific proposals submitted by neighborhood groups. This should be done at an open Board meeting that has been publicized in advance.	--Prepare plans as requested, consulting with other agencies or groups involved and with the poor at the earliest possible time. Alternative approaches should include combining programs, activities and resources in various possible ways. Each approach must be related to goals and resources available for meeting them. --Publicize open Board meeting at which plans will be discussed.
Develop Programs	--Request staff to develop a program based on the plan chosen by the Board. --Provide mechanism for review of program by community institutions involved and target area groups for whom program is intended. --Request changes in program based on feedback from these groups and on Board's own consideration, such as budget, staff, etc. --Final vote on program by full Board.	--Develop program as requested. Measure work program answers questions on CAP Form 7. --Insure review by all groups is carried out. --Make appropriate changes. --Program implemented.
Evaluation	--Request both oral and written reports on program operations from CAA staff. --Have committee responsible for this program make periodic on-site visits. --Request recommendations from CAA staff on changes in planning process for next funding cycle, based on current program operations.	--Prepare reports on program operations as requested. --Prepare recommendations as requested.

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VI SUMMARY

Before closing, it is essential to note that planning is just one of the management processes in which CAAs are engaged. The others -- programming, operations and evaluation -- are all integrally related to planning and to each other, and a weakness in one will take its toll on the others and on the agency as a whole.

The chain reaction effect of these processes is clearly evident. If there is a poor evaluation process, the planning process will suffer from lack of information on the success or failure of existing programs. The same ineffective programs may be refunded as a result, and newly developed programs will not have the benefit of lessons learned.

Likewise, if there is a poor planning process, CAAs may find themselves developing programs that are totally irrelevant to the needs of the poverty community. Or, programming unrealistically because they have no idea of the dollar, manpower or other resources available to carry out the programs. If a CAA's programming efforts are not up to par, programs may be developed that do not achieve the goals intended.

Regardless of whether or not there is a conscientious evaluation, planning and programming effort on the part of the CAA Board and staff, programs can fail at the point of operation. When staffs are poorly managed, money is spent unwisely and ineffecient or inept direction prevails, there is a good possibility that program performance will be affected adversely.

Each process is as important as the other in that each can determine the success or failure of a CAA's efforts. The CAA Board, however, will have more influence on the success or failure of the planning process than any of the others, since it will be (or should be) more intricately involved in all phases of this process than any of the others. Boards should pursue their role in planning - identifying needs; determining goals and priorities; assessing resources; developing plans and programs; and evaluation - with this in mind.

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Note: Training Methodology for this chapter is combined with the Methodology for the chapter "The Role of the Board in the Grant Application Process." (See page 512)

THE ROLE OF THE BOARD IN THE GRANT APPLICATION PROCESS

(Part III, Chapter 16)

THE ROLE OF THE BOARD IN THE GRANT APPLICATION PROCESS

(Part III, Chapter 16)

- I. INTRODUCTION
- II. DETERMINATION OF ELIGIBILITY
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 - A. General
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I. INTRODUCTION

Each year the Federal Government spends billions of dollars in grants to state and local governments and to private institutions. These funds support an incredible array of programs ranging from highway construction to higher education. The "Catalogue of Federal Assistance Programs," for example, lists some 450 different sources of Federal funds available for various local undertakings, and the increased availability of such moneys has led to the coining of a new term - "grantsmanship."

Grantsmanship can mean (cynically) simply the ability to outdo ones competitors in extracting money from the Federal Government. In its more positive and sophisticated sense, however, it implies skill in analyzing both related problems and available resources, and matching the two so as to achieve the most effective possible coordinated solution. It is in this latter sense that we shall use the term and encourage its development among CAA Board members. Grantsmanship, in this sense, is related to the CAA's overall management system; in fact, it encompasses that system. It not only determines how much money a CAA will get, but how effectively it will be spent. It is a fundamental necessity for every CAA Board.

Grantsmanship in the Community Action Program implies, at the least, a knowledge of and involvement in the OEO/CAP Grant Application Process (GAP). It implies, as well, a knowledge of and involvement in the funding procedures of other sources of support - Federal, state, local and private. Because the structure of the GAP is designed to provide a framework for a complete management system, it can be helpful to the CAA Board in preparing its funding requests to agencies other than OEO.

The role of the CAA Board is to:

- assess the needs of the community's poor
- plan what should be done to meet these needs
- set priorities
- design the program
- obtain the funds and resources to carry out the program
- hire the staff and obtain the facilities and materials to carry out the program
- monitor and give policy direction to the funded program(s)

The Board carries out these functions in the Grant Application Process. It draws on the help of its paid staff and on other organizations, but the final responsibility for these functions is with the Board.

The Board therefore is in the position of laying out the ball field, deciding on the rules of the game, obtaining the equipment, hiring the players, and coaching the team.

In the past, it has been difficult for Boards to carry out all these functions while at the same time applying for funds to OEO -- because OEO's Grant Application Process made it necessary to accomplish the first five of the seven major Board duties listed above at the time the funding request was submitted. In order to correct this, and provide an opportunity for Boards to carry out their duties in a more workable way, the new Grant Application Process was developed, and is now in effect.

The new Grant Application Process takes place, formally, over a 5 to 6 month period. The key steps in the process are:

1. The Determination of Eligibility
2. Plans and Priorities
3. Field Prereview
4. Grant Funding Request, and
5. Approval of the Grant

In a larger sense, however, the GAP takes place throughout the year, since it is something a great deal more than simply a request for funds. GAP emphasizes the means to the end as well as the end result, the approval of a grant. The process, in other words, is as important as the product. It is a means whereby the CAA fulfills its basic management functions of planning, programming, budgeting, operating programs, and evaluating the results of these programs prior to beginning a new cycle based upon the evaluation phase of the preceding cycle.

II. DETERMINATION OF ELIGIBILITY

The first step in the formal Grant Application Process is the determination by OEO that the CAA meets the various legislative and administrative policy and program requirements to maintain its eligibility to receive funds. This determination is based on:

- an annual review of documentation certifying to or indicating the CAA's compliance with these requirements
- OEO's assessment of CAA performance, and
- the availability of community action program funds.

Al. documentation is maintained in a Grantee Information File located at the OEO Regional Office. Many documents need to be submitted only once, but others must be filed either annually, quarterly or monthly. Most, if not all, of the work involved in this documentation phase is, properly, the role of the CAA staff rather than the Board. One minor exception is CAP Form 11 (Assurance of Compliance with the Civil Rights Act) which should be signed by the Chairman of the Board, unless the Board has authorized the Executive Director or some other official to sign in his place.

OEO's assessment of the CAA's performance is based on the judgement of the local Field Representative, his District Supervisor, and other OEO officials as to the performance of the CAA in the following areas:

- organization and management
- financial operations
- program planning, and
- program operations

The factors making up each of these areas are listed on CAP Form 86 (Verification of Grantee Eligibility), and a rating of satisfactory or unsatisfactory is given for each unless there is an inadequate basis for a judgement. These ratings help to identify grantees that are clearly ineligible for OEO funding. A finding of less than satisfactory performance in one or a few areas does not necessarily mean that a grantee is ineligible to receive and administer OEO funds.

Based on the annual review of documentation and the assessment of the CAA's performance OEO declares the CAA to be provisionally eligible to receive OEO funds. If documentation is not complete, the decision of provisional eligibility is made contingent upon the required CAA action and receipt of the missing documents. In either case this decision is made roughly 130 days before the end of the CAA's program year.

In general it can be said that the Determination of Eligibility phase of the Grant Application Process is of relatively minor importance to the CAA Board, and is principally the task of the CAA staff and the OEO Regional Office.

III. PLANS AND PRIORITIES

A. General

Of all the management functions, none is so crucial as planning since it implies the rest. Good planners must program, budget, and evaluate, and the object of their programming, budgeting, and evaluating is, inevitably, an operating program.

The term planning may be applied to a variety of thought processes in which needs and problems are identified, long term goals and shorter range objectives are set, a strategy is mapped out to meet those goals and objectives, alternative courses of action are considered, available resources are assessed, and, after taking into account all of the above, decisions as to program content are made. In the simplest terms, therefore, planning means that prior to deciding which programs the CAA wishes to operate, needs and available resources are systematically considered, so that the CAA Board and Staff in conjunction with neighborhood groups, policy advisory councils, and delegate agencies go through a careful thought process in advance of the preparation of its request for funds from OEO. Instead of the energy of the CAA Board being spent on the single issue of what funds are available from OEO and how to prepare a program to request those funds, the Board now looks at its role in terms of how it fits into the community and what posture it will take vis-a-vis that community.

B. Liaison with Other Planning Groups

Probably the first thing a CAA Board should do before making any decisions about its own planning is to take a good look at the planning others may be doing. Nearly every municipal and county government in the country today employs planners or planning consultants and has at least one set of dusty plans sitting on a shelf somewhere. In many places, community councils are engaged in social planning. Certain Federal programs such as Model Cities, Urban Renewal and Economic Development Districts require planning, as do many state programs. School systems normally have long range building plans, as well as plans for operational changes. Chambers of Commerce may plan economic expansion of the area, and they may also plan transportation, downtown rehabilitation, and other changes. State departments of public works, welfare, labor, and public education may have plans that will affect the local poor.

All such plans should be reviewed both for the data they contain that may be useful to the CAA and also for the opportunities they may reveal for the CAA to play a coordinating role.

Obtaining access to-and the confidence of- the planners employed by other agencies may prove difficult. It goes without saying that a part of nearly every plan is a strategy for getting it adopted. Agencies are always fearful that improper disclosure may "upset" their plans, and, too, it must be remembered that not many agencies are geared to the kind of give-and-take discussion that normally occurs in CAA meetings.

All this means that careful thought must be given to the development of cooperative relationships with the planners and top executives of other agencies. A start in this direction might be an invitation to one or more of the other agencies to set up a liaison committee to study one another's planning activities and talk about how their agencies can help each other.

C. CAP Form 81

The documented outcome of the planning process is a completed "CAP Form 81, Community Action Agency Plans and Priorities." This is, perhaps the key document in the entire Grant Application Process and provides the focus and framework for Step 3, the prereview. The form includes a description of the CAA's goals, strategy, priorities and program proposals. Because this information is so important to the CAA's final program structure as reflected in the funding request, the CAP 81 must be considered and approved by the CAA Board at an open Board meeting. It must also be cleared with administering, county, and area Boards, and major advisory committees.

IV. FIELD PREREVIEW

A. General

The next step in the formal Grant Application Process consists of the Field Prereview. At this time (about 120 days before the end of the CAA's program year) the CAP Field Representative meets with the CAA Board, neighborhood councils, policy advisory groups and CAA and delegate agency staff to discuss, analyze and tentatively agree upon:

- the CAA's role and strategy
- the proposed work program, its objectives and anticipated results
- and cost estimates and probable sources of funding.

The Prereview, which normally lasts between 4 and 10 working days (depending upon the size and complexity of the CAA) is one of the most crucial decision points in the Grant Application Process. It is at this time that OEO indicates its intention to fund the CAA, and together OEO and the CAA decide upon the CAA's program structure and funding level for the coming year.

The specific contents of each prereview will vary with the nature and circumstances of the CAA. Generally, however, the discussion will revolve around the issues developed in CAP Form 81, "Community Action Agency Plans and Priorities."

B. The Prereview Discussion

During Prereview the CAA Board and staff review with the Field Representative

- estimates of carryover funds;
- amounts and types of non-Federal share;
- possible additional sources of funding; and
- new Federal funds required to support the proposed work program.

Board members should give particular attention to both the non-Federal share and possible additional sources of funding. CAA's are required to identify and document all non-Federal contributions in their accounting systems, and to report monthly to OEO on the ratio of non-Federal contributions to total program expenditures. Generally, it can be said that the acceptability and administration of the non-Federal share of the grant must meet the same criteria as the Federal share. As for possible additional sources of revenue, the Board must continually look beyond OEO for possible sources of funding. This means not only other Federal agencies but state, local and private agencies as well. In seeking other sources of funding the Board must remember that good grantsmanship implies an integrated and well thought out overall strategy and not a hodge-podge grab for as much money as possible wherever it can be found.

During the Prereview discussions, arrangements may be made for any special assistance required for preparation and completion of the grant funding request and identifiable training needs may also be taken care of by the Field Representative. Questions or issues emerging during the prereview discussions that require action by policy and advisory groups should be resolved during the Prereview if possible.

At the conclusion of the Prereview, the Field Representative and CAA staff review all major agreements reached during the meetings and draft and sign a memorandum summarizing the agreements and decisions, and defining any disagreements. The Memorandum of Agreement is cosigned by the Field Representative and the CAA Board Chairman at the conclusion of the pre-review.

C. The Trip Report and Letter of Understanding

After Prereview a trip report is prepared by the Field Representative using the Memorandum of Agreement as a source document. The agreements reached are then confirmed in a Letter of Understanding from the OEO Regional Director (or his designee) to the CAA. While the Letter of Understanding is not a legal document, it is a statement of OEO's intent, and subject to modification only if congressional appropriations or OEO policy change. The letter provides the basic program and funding information and guidance used in preparing the funding request for the coming year's program. In the event changes in the agreements are required, the Field Representative will immediately inform the CAA. Likewise, changes the CAA might wish to make in work programs or budget items, after Prereview, must be discussed with the Field Representative together with appropriate OEO program specialists before submission of the formal grant request.

V. THE GRANT FUNDING REQUEST

Approximately 60 days before the end of the CAA's program year it submits its formal Funding Request to the OEO Regional Office. This confirms and summarizes in final form the program and budget decisions made as a result of the CAA's planning and program development efforts and its deliberations with the Field Representative during the Prereview. The request consists of a number of forms which focus on the work program, its purpose and expected results and the budget. Those forms of primary interest to the Board are:

- CAP Form 1, "Summary of Application," which requires the signature of the principal officer of the Governing Board or political jurisdiction, as appropriate, and
- CAP Form 28, "Unexpended Federal Funds Report," which requires the signature of the principal governing official (e.g. the Executive Director) to whom such authority has been delegated.

In addition to budget and work program, the funding request includes an estimate of funding levels by program account* for each administering agency (CAA or its delegate agencies); estimates of planned quarterly expenditures and participants to be served in each program account; and an estimate of the characteristics of the participants to be served.

*Program Account: The CAA develops and submits its program and budget information within a structure composed of standard program accounts rather than of administering agencies or other kinds of components. This provides OEO and the CAA's with a uniform system for organizing program and budget information. An explanation of the program structure of CAP will be found in OEO Instruction 6710-1, "Applying for a CAP Grant," I-4. Appendix E of the same document provides a complete listing of program account and activity definitions and terminology.

The request is:

- prepared by the CAA and delegate agency staffs, with the active technical assistance of the CAP Field Representative
- reviewed by the Administering Board (if the CAA is a political jurisdiction), county and area boards, policy advisory committees, and other target area groups; and
- approved by the Governing Board or governing officials, as appropriate, during a period of approximately 45 days after the Field Prereview.

VI. APPROVAL OF THE GRANT

The Grant Application Process is completed by the preparation and issuance of the Grant Package. Following review and analysis of the Grant Funding Request by OEO personnel, the OEO Regional Director (or the OEO CAP Director in the case of Health Programs, Upward Bound Programs, and Special Field Programs) indicates his final approval of the grant action by signing CAP Form 14, "Statement of CAP Grant."

CAP 14 is the key document in the Grant Package as far as the Board is concerned since the CAA must indicate its acceptance of the grant and any accompanying conditions by signing a copy of the form, as received from OEO, and returning it to the Regional Office (or CAP Headquarters, if appropriate). The CAA official who signs the CAP 14 should be either the principal governing official of an Administering Board (or his authorized designee) or the principal officer of the Governing Board.

While CAP 14 is the key document it's important that Board members be familiar with the entire Grant Package. If the Board is to exercise an adequate degree of control over the CAA and its programs, it must know what it's getting from OEO and its other funding sources, and it must know the terms of the contract. With regard to OEO funds it can acquire this knowledge only through careful scrutiny of the entire Grant Package. Ideally, this scrutiny should take place before, not after, the CAA indicates its approval of the Grant on CAP Form 14. In addition to CAP 14, the Grant Package contains the following documents:

Explanation of Budget and Work Program Changes, CAP Form 25c, if any.

General Conditions for all grant actions. One set of these conditions applies to Community Action and Migrant Program grants, and another set applies to Comprehensive Health Services grants.

Special Conditions, CAP Form 29, if required.

Unexpended Federal Funds Report, CAP Form 28, if required.

Approved Program for Amended Program Accounts, CAP Form 14a, if required.

Generally, the Grant Package is sent to the CAA prior to the Governor's approval (where required). Following receipt of this approval and receipt from the CAA of all required documents, the release of funds process begins.

VII. FLEXIBILITY

Probably the single most significant difference between the new Grant Application Process and its predecessor is the increased budget flexibility which the new process provides for the CAA. This includes the flexibility to make changes in the budgets of any delegate agencies, up to 25 percent in either direction, increase or decrease, of the total funding level of that delegate agency. Total funding level refers to both non-Federal and Federal share. The terms of this new flexibility are explained in detail in OEO Instruction 6710-1 "Applying For a CAP Grant", Section V. The ultimate degree of "grantsmanship" is found in those CAA Boards that are familiar, not only with the Grant Application Process and the terms of their own grant, but of the increased flexibility the process allows them.

SUMMARY

THE OEO/CAP GRANT APPLICATION PROCESS

PROCESS	DECISION	KEY DOCUMENTS
<u>Determination of Grantee Eligibility</u> 150 to 130 days before Program Year End (PYE)	<u>Provisional Eligibility</u> 130 days before PYE	CAP-3 CAA Basic Information CAP-87 Delegate Agency Basic Information CAP-11 Compliance with Civil Rights Act(2)
<u>Field Pre-review</u> 120 days before PYE	<u>Letter of Understanding</u> 100 days before PYE	CAP-5 Community Information CAP-81 CAA Plans and Priorities (1)
<u>Grant Funding Request</u> 60 days before PYE	<u>Statement of CAP Grant</u> Before PYE	CAP-1 Summary of Application (1) CAP-28 Unexpended Federal Funds(2) CAP-82 Maintenance of Effort Certification CAP-7 Program Account Work Program CAP-46 Checkpoint Procedure CAP-77 Checkpoint Procedure SEOC CAP-25 Program Account Budget CAP-25a Program Account Budget Support Sheet CAP-83 Participants/Expenditures Plan CAP-84 Participant Characteristics Plan CAP-85 Administering Agency Funding Estimate

(1) Requires signature of Board
Chairman or Chief Governing Official

(2) Signature authority may be delegated
to another official (e.g.
Executive Director)

TRAINING METHODOLOGY

I. Introduction

In order for CAAs to be effective, CAA boards must accept direct responsibility for planning and evaluating social programs. The planning process should consume a major part of the boards' working time and can, in itself, be an instrument for meeting some of the goals of community action.

To be successful, any community action program must be well planned. Just as importantly, it must include continuous involvement of local residents in the planning process. In fact, the various elements of the planning process -- need determination, setting goals, resource assessment, setting priorities, etc. -- are all ideally suited to increasing support for community action if they are carried out with community involvement.

Since overall planning and the grant application process are tied closely together it can be to your advantage to discuss them at the same time. Boards must take an active part in this process, and when planning is discussed, they should take for a work project an effective subject which can be linked to their formal duties. Of course the grant application process may not be the only planning area in which the board is intimately concerned, but it is a logical part of most of a CAA's program planning.

II. Overall Objective

The overall objective of this chapter is to give board members a general understanding of what is involved in the planning process. They should also be made aware of the importance of good planning in the goals of community action and of the need for involving low-income citizens in the planning process.

Before you begin this section of training, give the board members copies of OEO Guidance 6321-1, CAP Management Guide, Planning for Community Action. Ask the members to skim through this guide before you begin any formal training. Later on you may want to refer to specific sections of the guide or actually use it as a reference during training sessions.

III. Specific Learning Goals

The specific goals in this chapter are aimed at giving board members a thorough knowledge of the steps in the planning process and practice in carrying out this process.

1. WHAT IS THE BOARD'S RESPONSIBILITY FOR PLANNING?

Board members will be able to define planning and orally describe their required role in the process.

2. WHY SHOULD LOW-INCOME CITIZENS BE INVOLVED IN THE PLANNING PROCESS? HOW CAN THEY BE?

Board members will be able to list four reasons why involvement of their clients (local citizens) in the planning process is important to the success of community action. They will also be able to describe at least two actions their board can take to achieve this involvement.

3. WHAT ARE THE BASIC ELEMENTS OF THE PLANNING PROCESS?

Using practice exercises, board members will be able to describe orally and demonstrate in writing an ability to apply the seven elements of the planning process covered in Planning and the CAA Board (pp. 2-10).

4. WHAT IS THE GRANT APPLICATION PROCESS? HOW IS IT RELATED TO THE PLANNING PROCESS?

Board members will be able to "walk through" the five steps of the grant application process for one of their own programs; they will be able to describe how planning techniques discussed above apply to each one.

IV. Methodology

LEARNING GOAL #1: What is the board's responsibility for planning?

In addition to defining planning, emphasize two points here: the board's legal responsibility for planning; and how social planning can be of help to the board in achieving its community action goals. One way to do this would be to:

- a. Hand out copies of OEO Guidance 6321-1, CAP Management Guide, Planning for Community Action before the session and ask the members to study it overnight. At the same time, ask them to be prepared to discuss the above two questions.
- b. After the training session lead a discussion on the board's role in the planning process. Base your material on the Management Guide and the Chapter on Planning and the CAA Board (Part III, Chapter 15)
- c. Steer the discussion to the two questions above. And as a conclusion ask members to list ways (use blackboard or flipchart) the planning process itself can be used to strengthen the board's position for achieving community action goals.

LEARNING GOAL #2: Why should local residents be involved in the planning process? How can they be?

This segment of the training can follow directly from c above. Involvement of the local residents should have been one of the points brought up by the board members. Now, you should attempt to develop ways that board members can achieve this involvement.

1. Use a film, such as "All of the People All of the Time" to illustrate the two points: (1) planning is a real process that involves board work, and (2) resident participation in the planning is critical. This film stresses the importance

of citizens and citizen groups working together in the planning process. It would serve as a stimulator for all the steps which follow under Learning Goal #2. This film can be rented free of charge from the U.S. Department of Housing and Urban Development, 451 7th Street, NW, Washington, D.C.

2. Pick up the topic of involvement of the low-income from the discussion in Learning Goal #1. If it has not been mentioned, introduce it at this time. Part II of the Management Guide contains background material you can use at this point.
3. Break the members into groups of four or five and ask ~~each~~ group to suggest ways local residents can be involved in planning. After about 15 minutes, have the groups report the methods on which they have decided. Then assign each group one method to discuss further. Give the groups another 15 minutes to develop a hypothetical example of how their specific method could be used in a situation existing in their community.

LEARNING GOAL #3: What are the basic elements of the planning process?

1. Ask the board members to select a committee to have the immediate responsibility for guiding the board in its planning decisions. Do this two or three days before you plan to work on this topic in a training session.
2. Ask the committee to select an existing committee problem and outline an approach to plan for action in this area. Use the following steps:
 - 1-Determine needs
 - problem identification
 - problem analysis
 - 2-Define goals
 - 3-Establish priorities
 - 4-Review resources
 - 5-Prepare alternative plans

6-Develop programs

7-Evaluation

The committee should only outline an approach using these steps as headings.

3. Have the committee present its outline to the full board. Then ask individual board members (not necessarily committee members) to explain how the outline does or does not make use of various steps.
4. Use if at this point members appear to be weak on any of the individual steps, additional case studies to strengthen their expertise on specific steps.

LEARNING GOAL #4: What is the grant application process?
How is it related to the planning process?

1. Have someone from an OEO office or a consultant deliver a short talk on the elements of the grant application process as it exists for CAAs.
2. Have the board's planning committee take the grant application being developed by their CAA and outline the grant application process on the basis of the planning steps discussed in Learning Goal #3.
3. Have the full board discuss this grant application. Ask members to explain ways that planning techniques are used (or should be used). Ask them to suggest changes which would bring the process more in line with the planning techniques discussed.
4. Encourage board members to take an interest in the entire planning process and offer to help them. Suggest planning articles and books for them to purchase they will become part, or

perhaps the beginning, of a member's library. You should help interested members identify university courses on planning which they could attend. You could also suggest a good book, if a member indicates an interest. One book is: Planning and Implementation by Preston P. LeBreton, Holt, Rinehart and Winston, Inc., New York, New York, 1965.

V. Evaluation

To evaluate training in planning and the Grant Application Process first you might ask the participants to simply state how they think planning and grant application can help the board in its work. If their comments are very general and noncommittal, the training probably has accomplished little.

For Learning Goal #1 you could prepare a brief questionnaire based on the main points on boards' planning responsibilities made in the CAP Management Guide, Planning for Community Action. To obtain a better measure use this questionnaire as a pre-and post-test. That is, administer it at the opening of the training session and then at the end of the training session. This way you will obtain a before and after measure.

For Learning Goal #2 ask the members to describe reasons for including local residents in planning, and for Learning Goal #3 have them describe the seven basic elements of the planning process. To measure the impact on their actual planning and grant application responsibilities, keep in close touch with the members working on these matters to determine if the problems are being alleviated. Check with the field representative to see if he has observed any improvements in these areas.

BIBLIOGRAPHY FOR "THE ROLE OF THE BOARD IN
THE GRANT APPLICATION PROCESS"

I. OEO ISSUANCES

Instructions:

6710-1, Applying for a CAP Grant.

6710-1, (Staff Instruction) Applying for a CAP Grant.

Guidance:

6321-1, CAP Management Guide, Planning For Community Action.

EVALUATION

(Part III, Chapter 17)

EVALUATION

(Part III, Chapter 17)

- I. Introduction
- II. The Function of Evaluation Within a Community Action Agency
 - A. Policy and Evaluation
- III. The Board's Responsibility for Developing the CAA Evaluation System
 - A. Relevance
 - B. Comprehensiveness
 - C. Compliance
 - D. Soundness and Accuracy
- IV. Planning and Designing the Evaluation System
 - A. Developing Evaluation Policy
 - B. Delineating Board and Staff Functions
 - C. Developing Evaluation Standards
 - D. Types of Evaluation Standards
- V. Evaluation - A Continuous Process
- VI. Determining Evaluation Techniques
- VII. Sources of Information

I. INTRODUCTION

Evaluation is one of the most troublesome of the Board's many responsibilities, and there are several reasons why that is so. First, it is the process that too often comes last in the implementation of a CAA program, and is left undone because time has run out. Second, evaluation is difficult -- to do a sound job of evaluating a program takes careful thought, a little time, and a lot of hard work. Third, evaluation is an activity that all of us perform, even unconsciously, all the time, and we frequently find ourselves unable to conduct an objective, reliable evaluation because we have already formed impressions and biases that lead us to believe that we already know how well a program is working. And finally, all of these factors contribute to the last problem, that most of us just never get around to evaluating programs or activities for which we are responsible, or evaluations are conducted as an afterthought, and in any case the results of the evaluations are seldom used to improve future performance.

Perhaps the most important point to be made about evaluation is that there is no point in conducting an evaluation if no use will be made of what is learned in the process. Evaluation is not an end in itself, and it has no value of its own -- it is only a tool for the use of the Board in improving CAA performance.

Furthermore, evaluation is not an activity that comes at the end of a program. It starts at the beginning, when the standards are set and the Board determines the goals that are to be reached and how well they are to be reached. These are the basic evaluation criteria, and planning for evaluation begins at the same time that program planning begins.

This chapter discusses evaluation from several points of view, including the responsibility of Board members, but the principal concern here is with the development of a self-evaluation system which builds an evaluation component into every CAA program and provides regular evaluatory data to the Board in the format the Board desires.

II. THE FUNCTION OF EVALUATION WITHIN A COMMUNITY ACTION AGENCY

A number of factors underscore the need for CAA self-evaluations. First, community action agencies can no longer operate without a critical examination of every aspect of their operations. They must make judicious decisions concerning goals and objectives, techniques, priorities, and new directions. Such determinations can only come from rigorously applied evaluations of past and existing policies, procedures, and programs. Within this consideration is the implicit fact that CAA's must tailor evaluation systems to their specific needs.

Secondly, like other public agencies, OEO is having to critically evaluate and subsequently plan its operations. To accomplish this, OEO will have to rely strongly upon both self-evaluations by the CAA's and on-site evaluations by OEO. Thus, it can be anticipated that there will be increasing demands on CAA's for effective self-evaluations.

However, in the development of its own evaluation system, the CAA should not be dependent upon the OEO system. Conceivably, the focus of the latter may be somewhat different than that which is most relevant to a local CAA. This does not suggest that the two are mutually exclusive or that the techniques must necessarily be different. The two systems should be mutually supportive with the main thrust directed toward the final product being of real and functional use to the local CAA.

There are other factors which indicate the need for self-evaluations, factors such as Congressional mandates for improved evaluation of public programs; public misunderstanding and criticism; poor interagency coordination, and the like. However, the CAA should not develop its evaluation system as a defensive response to these factors. Instead, it should develop its evaluation system as a response to the administrative and program needs of the CAA and the local community.

Though this chapter emphasizes the CAA's use of evaluation for its own needs, we do not mean to imply that the results of an evaluation should be known only to the Board. Such information should be available to the staff, OEO, the residents of the community, and interested community groups and agencies.

A CAA's evaluation system should become a principal tool in the planning and decision making process of the agency. Critically designed and implemented self-evaluations will provide the Board with a sound basis for directing and/or redirecting the resources and activities of the agency toward more realistic goals and objectives.

Unlike the boards of directors at some other agencies and institutions, the CAA Board has a particularly critical role in allocating the agency's resources. By its very nature, community action implies that resources are limited. Thus, the Board has to make careful and judicious decisions concerning how much and where its resources are to be directed for the greatest and most far-reaching impact. The goals, objectives, and resources of existing agency activities must constantly be reviewed to determine possible new directions, continuance, or discontinuance of those activities. Out of the evaluation of existing activities will come a clear picture of the immediate and long-range administrative and program needs of the CAA.

The absence of a well designed and implemented evaluation system will have repercussions throughout the CAA and the community. Most seriously, the CAA will find that it will be plagued by (1) imprecise and vague goals and objectives; (2) disorganization and confusion within and between the CAA and other agencies and community groups; (3) fragmented programs and projects; (4) an inability to say what, and how much has been accomplished; and (5) a haphazard use of the agency's resources. Though an evaluation system alone cannot eliminate all of these problems, it can, when used in conjunction with the planning system, play a vital role in alleviating them.

There are many specific functions which evaluation may perform. The most immediately identified are:

1. Evaluation will assure that a minimal level of "self-assessment" will take place among CAA staff.
2. The Board will have a sounder basis for making subsequent decisions.
3. Specific objectives may be established for program improvement and development.
4. The evaluation may serve as one instrument by which the community may be apprised of the agency's policies and programs.
5. Technical assistance needs may be more thoroughly identified.
6. OEO and other funding groups can be provided with more relevant information about the CAA and the community.

A. Policy and Evaluation

The primary concern of a CAA Board is the development of policy which establishes goals and objectives, standards, responsibilities, etc., which guide and give relevance to the programs and activities of the agency. Ostensibly, the Board develops policy around the identified circumstances of the local community. But the circumstances and situations in which a CAA operates are constantly changing. On one hand, there are changes which are taking place, locally or otherwise, over which the Board exerts only marginal or no influence but which may vitally affect the local community and CAA. On the other hand, there are changes taking place in the local community and CAA over which the Board exercises decisive control or has itself initiated. In either circumstance, the policy which is established by the Board and the way in which it is implemented will determine the responsiveness of the CAA and, to some measure, the local community.

A CAA Board should view its policy making role as a continuous "process." As a process, the development of policy is never fixed and unchangable, but should be subject to constant improvement as new circumstances, opportunities, and contingencies arise. Adopting an attitude that once policy is established it can never be changed is just as devastating as the attitude that policy is something which should be subject to immediate and drastic change as it suits the whim of the Board or staff. With the former attitude a Board will operate continuously with policy which may have been relevant and sound at one time but is no longer applicable. It will not be able to respond effectively to its problems, nor can it capitalize on emerging opportunities. In the latter situation, the Board will find it more difficult to crystalize goals and objectives and give long-range direction to the agency.

The Board must have a continuing concern for reviewing the policy it establishes. Such a review cannot take place through an unstructured, haphazard, guesswork approach. A Board must have a systematic and well designed set of activities which focus specifically on the role policy has played in accomplishing community action goals. Such a system, incorporating well designed reference standards and techniques, constitutes the basis for a CAA evaluation system.

An evaluation system seeks to relate a given output (result) to a given input as measured by certain standards. The policy of the CAA is the primary unit of input. It states the types and amount of energy, resources, time, etc, which are necessary to accomplish anticipated goals and objectives (expected results). Thus, the primary evaluation concern will be to determine whether policy the Board has developed, and CAA's implementation of that policy, has accomplished certain goals.

As the policy making unit of the CAA, the Board should be concerned not only with the implementation and results of its policy, but also the way in which the policy itself was developed. Evaluation will not be as relevant to subsequent decision and action (policy determination) if the evaluation proceeds on the assumption that the policy is good and implementation is the primary concern. More properly, the policy of the Board should be evaluated as critically as its implementation. In effect, evaluation should seek to determine (1) what types of policy the Board develops. (2) how it develops policy, and (3) what is the relationship between the policy and the results. Though the actual conduct of evaluation may focus largely on the staff, program participants, expenditures, etc, the overriding concern should be to use these as an index of the quality of Board policy.

Nor can it be assumed that good policy necessarily means good implementation, or that poor policy means poor implementation. The interaction between the two areas may assume any of four patterns:

1. Good Policy and Good Implementation: In some CAA's the overall policies, or policy for specific activities, may be well developed and translated into effective implementation. This is the ultimate level which CAA's should strive for.
2. Good Policy - Poor Implementation: Some CAA policy may be sound and relevant and provide a well developed process and structure for accomplishing goals and objectives. However, the policy may not be carried out as anticipated. For various reasons the staff is not accomplishing its mission. This may result from the fact that the policy for recruiting and training staff members is poor, or that the policy is inadequately transmitted to the staff. Poor implementation is equivalent in its results to having poor policy.

3. **Poor Policy - Good Implementation:** In some cases a staff may implement the agency's policies exactly as anticipated. But, though the implementation may be good, the results may be inadequate because the policy was poor from the start.
4. **Poor Policy - Poor Implementation:** Some CAA activities, or the agency generally, may be characterized by poor policy and poor implementation.

Any of these patterns may be characteristic of an agency generally, or of any specific programs or activities. Potentially good policy and implementation in one area of activity may be off-set by inadequate policy and/or implementation in other activities. The Board has to be cognizant not only of which of the patterns exist but also why they exist. In the final analysis the Board must make such determinations and consequently revamp and redirect its policy.

The use of a carefully designed evaluation system will greatly aid a CAA Board in shaping its policy in such a manner that it consistently improves the CAA's ability to conduct a realistic and effective community action program. Evaluation will not only reveal areas of weakness and the reasons for the weakness, but also areas of accomplishment and the reasons. Policy which has been revealed to be inadequate, or irrelevant should be altered by the Board. Such an alteration may be aided by revealing, through evaluation, the kinds of policy which are relevant and have led to accomplishment.

The goals of evaluating CAA policy should be to determine if the policies established by the Board are:

1. **Relevant -** Do the policies relate to the specific and identified needs of the CAA, based upon the circumstances of the local community and activities of the CAA. The Board should have developed policy which meets its own needs, not as a necessary response to outside influences.

2. Comprehensive - As the Board developed policies for all areas of operations?
3. Compliance - Are the policies in compliance with all relevant regulations and the requirements of OEO and other funding groups?
4. Sound and Realistic - Are the policies such that goals and objectives may be realistically attained. Are they usable to the Board, staff and community groups? Could they provide the agency with a sound response to various contingencies?

III. THE BOARD'S RESPONSIBILITY FOR DEVELOPING THE CAA EVALUATION SYSTEM

The primary responsibility for developing the objectives, approaches, techniques, and uses of a CAA evaluation system is unequivocally the Board's. The importance attached to evaluation by the staff, other agencies, and relevant community groups will be directly related to the importance the Board attaches. If the Board perfunctorily develops and implements evaluations, the staff (and other groups) will act in like manner and the results will be of little practical use. But if the Board attaches proper importance to evaluation and communicates that attitude through well defined objectives, schedules, and approaches requiring top performance from itself and the staff, it can anticipate a system which would greatly aid both the Board and the CAA.

The type and quality of evaluation policy developed by a Board is the key to whether a CAA will have a useful evaluation system. That policy should be such that the Board is assured of a comprehensive and relevant evaluation process which provides a basis for continuous re-evaluation, planning, and decision making.

In developing the CAA's evaluation policy, the Board should concentrate on developing a system which is characterized by:

A. Relevance

The policy which outlines the evaluation system should be designed for the specific needs of the agency. Though the agency will be required to conduct some reporting and monitoring activities by funding agencies (which may or may not be evaluative in nature) they should be incidental to the self-evaluation process. The standards, techniques, and use of evaluation data should flow out of the Board's concern for improving and meeting its own self-determined operational needs.

Though a Board may utilize the evaluation tools, instruments or techniques of other agencies, their use must remain relevant to the CAA.

B. Comprehensiveness

A CAA can be divided into a number of factors for purposes of evaluation. The larger and more diversified the agency, the greater the number of factors. The responsibility of the Board is to evaluate as many factors as it can reasonably and realistically cover based on time, resources, and Board/staff availability, providing, of course, that the factors are important enough to warrant evaluation. Basically, the evaluation system should be general enough to include all significant components and specific enough to say something practical about each one.

C. Compliance

The evaluation system must be in compliance with the general requirements and standards of OEO and other funding groups. For this purpose much of data gathered for evaluation may be useful for making reports required by OEO, and for planning.

D. Soundness and Accuracy

The techniques and procedures of the evaluation system must be designed in such a manner that they produce results which are factual and sound. They should reveal both positive and negative aspects of CAA operations by quantitative and qualitative standards and provide a basis upon which realistic planning and decision making can take place.

There may be a tendency for Boards to review and evaluate only isolated and highly limited factors, for example, counting numbers of program participants; expenditures in relation to budgetary balances; specific programs; etc.

To assure a minimal level of evaluation, the Board should outline a system which incorporates at least the following program areas as subjects of evaluation:

1. Board Composition (Membership)
2. Overall Planning and Development
3. Mobilization and Coordination of Resources
4. Resident Participation
5. Administrative Organization and Management
6. Staff (agency and delegate) Organization, Management, and Performance
7. Component Programs
8. Race and Ethnic Relations
9. Relations with OEO
10. Board-Staff Orientation & Training
11. Career Development
12. Evaluation Procedures and Use

IV. PLANNING & DESIGNING THE EVALUATION SYSTEM

The Board is responsible for planning and designing an evaluation system. Though some detailed factors of design may be delegated to the staff, the Board should review the final evaluation design in relation to the goals and objectives and standards of relevance and soundness which have been established.

In delegating planning and design responsibilities it is generally advisable for the Board to seek its own maximum involvement, rather than over-delegating responsibilities to the staff. Where experience and expertise in evaluation are to be found on the Board, it should be as directly involved in the planning and design of evaluation systems. Where relevant skills are found on the staff they should be used to perform the specific task assigned by the Board.

In addition to developing a functional evaluation system, the Board should seek to use the planning and designing process as a strategy for improving the involvement of the full Board and magnifying the skills of Board, staff, advisory groups, and others. For example, if a Board wants to develop an evaluation questionnaire to be administered to heads of local agencies, it may discover that one staff member has had extensive experience in developing such questionnaires and that he could produce one for the agency in a relatively short time. Instead of assigning him the task of developing the questionnaire, however, the Board might ask him to provide the members with a training program and technical assistance so that all could be more directly involved.

In this example, the Board could have delegated the responsibility of producing the questionnaire to the experienced staff member, and had the questionnaire in a few days. It chose the more involved and time consuming approach, but in the final analysis the results may be much more beneficial in terms of Board understanding and involvement.

Such an approach may not always be possible if the amount of time needed to train the Board and develop a product is too great. However, the goals and objectives of the evaluation system should seek to provide opportunities for such strategies and the Board should make the decisions as to when and how they are to be implemented.

The following are some specific functions which should be performed by the Board in planning and designing its evaluation system:

A. Developing Evaluation Policy (Goals & Objectives)

The Board must establish relevant, sound, and comprehensive policies which govern the objectives, approaches and use of the evaluation system. There should be a written document which outlines in precise terms the policy of the Board in terms of three principal levels:

1. General Agency Policy, which outlines the role of the total evaluation system relative to the general goals and objectives of the CAA and its planning and decision making process;
2. Specific policy which articulates specific goals and objectives, responsibilities, techniques, schedules, and strategies which are to guide the planning, designing and implementation of the evaluation system; and
3. Outlining the targets of evaluation -- the specific activities, projects, programs, etc., which are to be evaluated.

B. Delineating Board and Staff Functions and Responsibilities

The CAA Board should decide on and assign the primary functions and responsibilities of Board members and of staff members for conducting evaluations. Beyond the policy development stage, the evaluation functions can be divided into the principal categories of (1) gathering data, (2) assembling data, (3) reporting data, and (4) interpreting data. Categories 1-2-3 can be generally designated as staff functions, with 4 remaining the responsibility of the Board. However, there are a number of activities in the first three categories which can and should

be performed by the Board, and some in the latter category in which staff may be involved. The specific determination of what the balance should be between Board and staff responsibilities has to be made by each Board. In making this determination, the Board will have to consider such things as agency size, agency diversity and complexity, relative Board - staff expertise, and other factors peculiar to the CAA and local community.

Though every possibility in the delegation of evaluation responsibility cannot be covered here there are some general structural categories which the Board should consider in delegating responsibilities. These are the:

1. Full Board - Which has the ultimate responsibility for the relevance, soundness, comprehensiveness, and utilization of the evaluation system.
2. In addition, it may be useful to establish an Evaluation Committee - which, as an official arm of the full Board, performs specific evaluation functions. Generally, this committee works directly with the staff, and synthesizes information for the full Board and makes recommendations for the Board's consideration. For some evaluation functions it may act in the capacity of "on-site" evaluators or participants in any phase of information gathering, assembly, reporting or interpretation. The level of participation of the committee has to be determined by the Board according to what is most suitable.
3. Next is the CAA staff - which will generally perform the day-to-day (weekly or monthly) activities of gathering, assembling and presenting data. The Board should develop the general performance requirements for major staff members. The executive director should be responsible for delegating detailed responsibility to other staff members.

4. Some CAA's may have an Evaluation Officer - where possible, the CAA should have an Evaluation Office and staff. Otherwise, the Board should direct that basic evaluation responsibilities be delegated to certain staff members. The extent and type of delegation should be based on agency size and relative Board-staff expertise.
5. There may also be Advisory Groups - these may be major participants in the design, establishment of standards, implementation, and interpretation of evaluations. As one highly functional component of the evaluation system, Advisory Groups may serve as "evaluation teams" as an adjunct to the evaluation system. They should be viewed as a major source of evaluation information. It is the responsibility of the Board to assure that the evaluation system is so structured that every phase provides an opportunity for maximum involvement of advisory groups.
6. Finally, the Board must consider other relevant Community Groups - many groups and individuals will have opinions and information on how well the CAA is accomplishing its goals. These perceptions may be among the most useful because they are less likely to be defensive about the CAA. For the same reason, of course, this may be the source of some of the most critical evaluation data.

C. Developing Evaluation Standards

The concept "evaluation" means to measure something in relation to a standard. Standards are the backdrop against which evaluations acquire relevance and meaning. Therefore, in community action the primary need of an evaluation system is a set of

standards by which the CAA is judged. The most critical and possibly most difficult function the Board will have to perform is that of establishing the performance standards for each factor and element to be evaluated.

The general objective for establishing agency standards are to (1) crystallize for the agency what levels of performance are necessary to accomplish certain specified goals (which are also standards), and (2) provide some unit of measurement as a reference by which the agency's progress may be determined. For example: a manpower training program has as its goal to "reduce by one-third the level of unemployment in the target area." The unit of measurement in this case, based on census and labor Department figures, might be whether 250 unemployed persons were helped to find work through the CAA's manpower program.

The responsibility of the Board may be summarized as:

1. To establish standards for the agency which are relevant and realistic;
2. To determine (or approve) which evaluation techniques and approaches are most commensurate with the standards;
3. To assure that the standards are fully explained to the Board and staff; and
4. To assure that the standards are closely adhered to in the evaluations.

In developing agency standards, some CAA's may be tempted to simply adopt OEO requirements as those by which it will conduct its self-evaluations. Such an approach could seriously mislead the CAA in its approach to and interpretation of the evaluation information. More properly, the Board in establishing agency standards, should view OEO requirements as minimum levels of performance which should serve as a "take-off" point for the local CAA. They reflect standards which are generally applicable to a broad cross-

section of communities. However, the local CAA Board has, ideally, developed programs which are relevant to the unique circumstances of its own community. Therefore, it is much more important for a Board to develop standards which are relevant to its particular circumstances, and the evaluations should be oriented primarily to those standards.

Though the "locally determined standards" are the primary focal points for evaluation, OEO requirements are important. It is vital that some areas of the evaluation process focus on the extent to which the CAA remains in compliance with OEO standards.

Another factor important to the development of standards is that of comprehensiveness. The Board should develop standards for every possible area of the CAA's operations from the policy-making activities of the Board itself through the final result of all CAA activities. Conceivably, it may be necessary to use all of the standards in the evaluation process. Therefore, the Board should establish a priority of factors to be evaluated, with a concern for determining which would yield the most meaningful results and which are most important to the community. When the factors have been determined, the Board should develop standards for each which are comprehensive, yet as specific as possible. As a general rule, the CAA standards - if they are to be an effective guide in planning and decision making - must be general enough to involve all significant components and specific enough to provide practical evaluative information about each one.

D. Types of Evaluation Standards

In developing its standards for the CAA, the Board should be concerned with the type of standard most appropriate to the factor to be evaluated. The Board has a responsibility for seeing that the type of standard developed and approved is that which is most properly applicable. The primary types of standards are:

1. Performance (or input) standards which prescribe the level of skill and resources which are necessary to accomplish an anticipated end-result. The Board has to

determine what the level of input should be for itself, staff, and other relevant groups. It must also determine what the unit of measurement will be. (For example, how many new jobs, how many new black clubs)

2. Product (or output) standards describe the characteristics of the results expected if the performance standards have been maintained. In other words, the Board should determine what should result from the input of a given amount of resources, with a given number of staff members, within a designated period of time, and with certain levels of performance maintained. (What institutional changes, for example, or what contributions of new resources.)
3. Quantitative vs Qualitative Standards:
In developing standards the Board is responsible for assuring that an effective and relevant balance is established between those standards which are quantitative and those which are qualitative. Effective standards will reflect both types. The qualitative will measure characteristics which are considered desirable and the quantitative will indicate precise units of measurement. A rough example of an adequate reference standard would be:

"During the next program year the Anytown CAA will expend a total of \$83,000 in its Better Homes Development Project. The goal is to provide 12% (120) of the low-income families (1,000) in the community presently living in inadequate housing units with adequate housing, as defined by the Federal Housing Administration."

Such a standard as (very generally) presented here assesses both quality ("adequate housing") and quantity (amount of money and number of families involved) as reference points for evaluation.

The utility of an evaluation system will be no greater than the relevance, soundness, and comprehensiveness of the standards which the Board develops. Though there may be considerable input from staff and other groups, in the final analysis it is the Board which must establish the agency standards.

V. EVALUATION - A CONTINUOUS PROCESS

Some of us have a tendency to view evaluation as something that takes place at a given time and generally begins and ends within a narrow time frame. Often evaluations are scheduled - if they are scheduled at all - near the conclusion of a given set of activities. Such evaluation will be of little practical use to a CAA.

For the Board of a CAA, it is much more practical to view evaluation as a continuing process; one which is initiated - in terms of planning and design - prior to the beginning of specific activities and runs concurrent with the programs of the CAA. The responsibility of the Board is to insure that the evaluation activities are regularly and progressively scheduled, and scheduled in such a manner that specific and detailed evaluation information flows into the evaluation system, and the evaluation system flows into the planning, decision, and action schedule of the CAA.

As a process, various activities of evaluation should be constantly taking place. These activities -- which might be considered monitoring -- should basically be of an information-gathering nature. Generally these will constitute the staff functions of reporting on activities, program participants, program expenditures, etc., on a weekly, semi-monthly, or monthly basis. However, the Board has a responsibility for designating the times when such information is synthesized and related to the evaluation standards. It is only at this point that evaluation (as distinguished from monitoring) can take place. The interpretation of this information -- deciding what it means -- should remain a responsibility of the Board.

Evaluation activities must be correlated with the overall planning and decision schedule of the CAA. The monthly evaluation activities must be so scheduled that information can be reported to the Board in time for adequate deliberation and consideration. Major evaluations (quarterly, semi-yearly, yearly, etc.), must be coordinated with (1) the agency's needs, and (2) grant application schedules. In an adequate evaluation system, planning and decision making will depend largely on evaluation information, from Board meeting

to Board meeting, from year to year, and from project to project.

In developing its evaluation system as a continuous process, the Board should focus on the following:

1. Designating evaluation responsibilities and schedules in such a manner that they flow logically and systematically into the overall planning and decision making process;
2. Developing a master schedule of evaluation activities in line with other CAA activities; that is, scheduling is done primarily on the basis of the CAA's needs, not OEO's.
3. Coordinating evaluation activities with the necessary timetable of related groups, OEO, other funding agencies, etc.

VI. DETERMINING EVALUATION TECHNIQUES

The Board has the responsibility for approving the specific techniques of the evaluation system. The Board should guide the selection of techniques to assure that they are relevant and workable. In deciding on the techniques to use, these factors must be taken into consideration:

1. Does the technique provide an opportunity for every aspect of the program to be represented?
2. Does it provide an opportunity for every individual to be represented?
3. Does it provide an opportunity for every attitude, opinion, and answer to be accurately and proportionately represented?
4. Does it lend itself to accurate recording and interpretation?
5. Is it commensurate with the applicable standards?

For any particular agency, several methods of acquiring data will be necessary, and every effort should be exerted to determine which would be most appropriate for the particular information sought and the source from which it is to be derived. The major techniques are:

1. Interviewing: Intensive information may be gathered through face-to-face interviews of individuals who represent a cross section of the program and the community.
2. Evaluation meetings: Special meetings of various groups -- individually and collectively -- may be called to provide one measure of evaluation.
3. Surveys: Structured surveys can be of great utility if they are carefully designed and administered.
4. Records and Minutes: The records and minutes of various meetings can provide certain information - e.g., how often are representatives of the

poor quoted; what types of ideas and philosophy are expressed by Board members?

5. Observation: The most basic form of evaluation is to observe what is being done, how it is being done, and who does it.
6. On-site Monitoring - The Board or its representatives may -- and should as much as is feasible -- visit various centers of activity and conduct preliminary assessments.

VII. SOURCES OF INFORMATION

In any evaluation it is highly critical that every effort be exerted to acquire information from all relevant individuals and organizations. Often, a CAA will find that there is a broad range of persons and organizations which have meaningful relationships with the CAA and its programs. The larger the CAA, the more complex will be the network of relationships. Therefore, the Board has a responsibility for determining (or approving) the extent to which the agency will go in order to provide as broad an inclusion as possible. There should be a minimum of categories of persons and organizations which will serve as an information source. From this minimum number of categories the board should determine the number of persons and organizations within each which would provide relevant information and can be conveniently handled by the agency.

As a minimum, the following sources should be included:

1. Advisory Committees
2. Board members
3. Board Committee Members
4. Executive Director
5. Program and Project Directors
6. Staff (CAA and Delegate agency)
7. Directors and Personnel of Other groups and agencies in the community.
8. Public Officials
9. Business and Labor Leaders

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10. The Poor
11. Youth and representatives of youth groups
12. Other Important Community Groups
13. The News Media
14. Funding agencies (OEO Field Representative and District Supervisor, for example)

TRAINING METHODOLOGY

I. Introduction

Since planning and evaluation are critical responsibilities of every CAA board, developing board skills in planning and evaluation is one of the most important aspects of your job. By helping a CAA board implement the suggestions in the planning chapter (Part III, Unit 3) and in this evaluation chapter, you can help change a board from a confused, uncertain figurehead group into a successful team of leaders who not only know what they want their CAA to do, but who also know how well their organization is doing in meeting its objectives.

Since the key to a good evaluation process is a good planning process, you should be sure that the board is well on its way to meeting the objectives in Part II, Unit 3 before you do much work with the board on evaluation. (Once a board begins to set clear objectives for the CAA, then the evaluation becomes a much more useful and more reasonable process.) If you are working with a board who has not only poor evaluation procedures, but chaotic planning processes, you may want concurrently to train the board to value both planning and evaluation. Most of the methodology in the evaluation chapter, however, is geared toward a board that is already making planning objectives which are clearly stated with both quantitative and qualitative standards.

You can use training in the evaluation chapter first to form an attitude, and then to build a set of skills within CAA boards. The attitude is that board members ought to do thorough evaluations; the skills are the ability to perform those evaluations.

II. Overall Objectives

The CAA board should create and maintain an effective on-going evaluation program for its own activities as well as for CAA staff activities and delegate agencies. This will result from (1) your training on evaluation; (2) probably more important, studying the particular evaluation problems of a given CAA board and consulting and counselling with CAA leaders.

III. Specific Learning Goals

1. WHAT IS EVALUATION?

Board members will be able to select examples representative of evaluation when given several examples of what evaluation might be. In addition board members will be able to explain how each evaluation example corresponds with the definition. The members will also be able to explain why each inaccurate evaluation example does not fit the definition.

2. WHY CONDUCT EVALUATIONS?

Board members will be able to determine the problems existing in each situation and will be able to describe how evaluation could help solve the problem when presented with case study situations in which evaluations are needed or would be useful.

3. WHO SHOULD CONDUCT EVALUATIONS?

Participants will respond that the board is primarily responsible for evaluation when asked this question about CAA evaluations.

4. WHAT SHOULD BE EVALUATED?

Board members will select nearly all elements as items to be evaluated when given a list of the major elements of a CAA and its delegate agencies.

5. HOW SHOULD A CAA BOARD DO EVALUATIONS?

Board members will approve or modify the major elements of the plan when presented with an overall evaluation plan.

IV. Methodology

LEARNING GOAL # 1: What is evaluation?

1. Explain the objectives to the board members. Ask them if they feel it would be worthwhile to meet this objective. Ask if they think they could meet the objective now.
2. Break the participants into cluster groups from five to eight people.
3. Give the members of each group the "What is Evaluation" handout. (See attachment.)
4. Ask each group to go over the items on the handout. Have them tentatively and rather quickly decide which items are for evaluation.
5. Now read and explain the definition of evaluation to the group.
6. Have the break-out groups return to the handout. Let them decide on each item again, but this time ask each group to examine the items in terms of your definition of evaluation and come up with reasons on the fitness or unfitness of each example to the definition.
7. Have each group report on its conclusions if time permits. If not, simply go from group to group and check how each is doing.

LEARNING GOAL #2: Why conduct evaluations?

Describe the objective for this part of the session to the participants in the introduction to methodology.

1. Now describe as a case study a hypothetical CAA board evaluation problem. (See attachment or make up the problem yourself.)
2. Ask the participants what the CAA board's problem is in the hypothetical case study.
3. Ask them how the board could overcome its problem. Member's answers should indicate that they realize some sort of evaluation process would have helped the board overcome its problem.
4. Go through steps 1, 2 and 3 with as many different case studies as you feel are necessary to convince the board members of the importance of evaluation.

EVALUATION CASE STUDIES

Each of these hypothetical case studies represent a CAA problem which might be overcome by good evaluation.

1. This past year, a CAA board has funded five special projects which cost a thousand dollars each. For the upcoming year, the CAA board plans again to be able to raise about five thousand dollars for special projects. Should the CAA board spend the same amount of money on each of the projects they supported last year? Should the board drop some old projects or add some new ones? How can the board decide to spend its money?
2. Last week, the CAA staff director asked the board for a thousand dollar raise. Some board members, however, don't like the director and would like to see him fired. The director says he is satisfied that all of the programs he administered are doing very well, but he offered no proof. How can the board decide if its director is doing a good job?
3. A CAA board asks a wealthy local business corporation to help support a new CAA program. The new corporation president would be willing to help support the new program except he is afraid that it will fail. The president asks the CAA board if the CAA's other programs have been successful. What should the CAA board tell the corporation president?

LEARNING GOAL #3: Who should conduct evaluations?

Read very briefly the objective for this part to the members. Ask them if they agree. If they agree that they are primarily responsible for evaluation, go on to topic D. If not, go through these steps:

1. Ask the board members who runs the CAA.
2. Ask them who must do the overall planning and priority setting for the CAA.
3. Ask them if an employer should ever check on the work of the people who are working for him
4. Ask them if the CAA board should check on the work of the director and his staff and on the work of delegate agencies.
5. Try to personally discuss this issue with those people who still disagree about the role of the CAA board in evaluation.

LEARNING GOAL #4: What should be evaluated?

Discuss briefly the objective for this section with the participants as in the introduction in this section.

1. Quickly break the members into cluster groups of five to eight people.
2. Give each cluster group a list of the various elements of a CAA. (See attachment.)
3. Ask the members to decide whether each item should be evaluated.
4. Go from break-out group to break-out group and make sure that the group members are in general agreement that all items should be evaluated.
5. Discuss with the whole group any major disagreements you encounter.

WHAT SHOULD BE EVALUATED EXERCISE

Should each of these parts of a CAA be evaluated?

<u>Part</u>	<u>Yes</u>	<u>No</u>
1. The makeup of the board	_____	_____
2. The overall policies of the board	_____	_____
3. The way the board raises money and other support	_____	_____
4. The way the CAA uses its resources	_____	_____
5. The extent of resident participation	_____	_____
6. The staff's operations	_____	_____
7. The CAA's programs	_____	_____
8. Race relations within the board	_____	_____
9. Ethnic relations within the board	_____	_____
10. Training for board members	_____	_____
11. Training for staff members	_____	_____
12. Career development for staff workers	_____	_____
13. Evaluation procedures	_____	_____
14. How the board uses evaluation data	_____	_____

LEARNING GOAL #5: How should a CAA board do evaluations?

1. Make sure that the CAA has both board members and staff workers who are responsible for evaluation well before you provide training on this chapter. If necessary, get them appointed.
2. Work with the CAA evaluation specialists in setting up an evaluation program for each major item which the CAA board ought to evaluate.
3. Have the CAA call on local experts or OEO specialists to give advice on setting up these evaluation programs.
4. Make sure that these evaluation program plans meet minimum standards for good evaluation procedures.
5. Have these evaluation plans formally presented to the CAA board.
6. After the board discusses and possibly modifies these plans, encourage it to officially adopt and follow the evaluation procedures.

V. Evaluation

You can check the success of your training on the chapter in two basic ways: first, see how well board members met the chapter's specific learning goals during the training session; second, assess how well board members are actually meeting the responsibility of evaluating their board, their staff and their delegate agencies.

During the training session, here are some things you should look for: did board members make and successfully defend correct choices during the What is Evaluation and the What Should be Evaluated exercises? Did the group discussions among board members show that each of them understood the underlying issues involved in the Why Conduct Evaluation exercise? Most important of all, did the board members commit themselves to a comprehensive program of first planning and then evaluating? Did board members agree to evaluate their programs against pre-determined objectives?

One way that you can reinforce with the board members your ideas about how to evaluate, is to ask members to evaluate your conduction of this training session. Specifically, remind the members that evaluation should be made in terms of objectives. Restate your objectives for this training session (the specific learning goals). For each of the five sets of learning goals, ask the board members to decide if you were successful in helping them meet the learning goal. Discuss your performance, your style, your use of the exercises; discuss anything you choose; however, be sure that whatever you discuss it is evaluated in terms of helping the board members meet the learning goals, the objectives.

Once you have assured yourself that your formal training session met its specific learning goals, then you can begin the real test of your training. Now, look at the way the board officially carries out its evaluation responsibilities. During the weeks and months after your training or evaluation check to see if board members are evaluating themselves in terms of results which their board achieves. Check to see that the board uses formal evaluation devices which determine if staff members and delegate agencies are running CAA activities which successfully meet CAA program objectives.

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HOW TO CONDUCT A MEETING
(Part IV, Chapter 18)

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HOW TO CONDUCT A MEETING

(Part IV, Chapter 18)

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I. INTRODUCTION

CAA Board meetings should be carefully planned and -- it goes without saying--they should be interesting. Meetings that are well planned to deal sensibly and sensitively with issues of genuine concern will be interesting. It is essential to bear in mind two points in planning a meeting: that the business of the Board must be conducted smoothly; and that all Board members must be guaranteed the right to be heard.

One procedure commonly used to balance these two concerns is Robert's Rules of Order, a complex but highly systematized set of rules to govern the Board's actions. Though the practice of parliamentary procedure under Robert's Rules is efficient and convenient, it is also often confusing and very technical. Robert's Rules are in some respects outdated, better suited to an 18th-century debating society than a modern CAA Board; but in most respects the rules are useful (many Boards have adopted them) and with modest effort every member can learn the rules, their special vocabulary, and their strategic usefulness. Just bear in mind that rules are adopted to facilitate the Board's work, and they should not be allowed to become an obstacle, or an end in themselves.

Too many rules may create an unnecessarily stiff, formal atmosphere. Only the rules that are necessary to carry out a program need be adopted. They should only be used to keep a meeting moving or settle a disagreement. The Economic Opportunity Act sets some rules governing the quorum and frequency of meetings. The by-laws of the Board set forth in writing the other rules that all members must agree to abide by. These rules state the number of regular meetings, how the Board is organized, its purpose, the roles and responsibilities of the members, and how the by-laws can be changed. Each member should be familiar with the Board's by-laws.

Since a community action agency is a public activity, OEO regulations require that provisions be made for periodic open Board meetings. To build the proper environment for an effective program, not only should meetings be open, but the public should be invited and encouraged to participate in open discussions. In this way the Board can be assured that the community has been heard from and that the Board has the facts to make a decision.

OEO Instruction 7042-1, Grantee Public Meetings and Hearings, sets out a number of requirements for public meetings which may be regularly-scheduled meetings open to the public, or special meetings requested by any person or group in the community. There are detailed instructions on giving advance public notice of public meetings and on providing opportunities for non-Board members to be heard even if they are not on the agenda. This Instruction should be read carefully and, of course, closely adhered to.

It is critically important that Board members attend and participate in meetings conscientiously. It is the only way the member can be well informed, and the only way he can discharge his duties to the community, his constituents, the CAA, and his fellow Board members. For the rest of what is covered in this chapter, there is no particular reason to adopt all the rules which are discussed here; but the Board must have some rules which all members understand and abide by, and which will help the Board to have orderly, timely, and interesting meetings.

This chapter discusses almost all of the rules of order generally accepted by parliamentarians. Many of these rules may seem somewhat complicated, and it is nearly certain that no CAA Board would need to adopt all of these rules in order to improve Board meetings. But since any combination of these rules may be in use in different CAA's, they are all discussed here to show how they are commonly used, and what they ordinarily mean. The reader should also bear in mind that a CAA Board may modify any of these rules for its own purposes -- each Board decides for itself how it wants to run its meetings.

II. PARLIAMENTARY PROCEDURE IN THE MEETING

Knowing the procedure of meetings is a vital part of each Board member's responsibility. This involves both knowing what the rules or by-laws are and knowing how to use them. Formal meetings are not a part of the daily life of the poor. People who have not had much experience often do not participate in meetings because they don't know how to participate. Consequently, valuable and substantial contributions are sometimes lost. The Board should insure that each member knows how to use the rules or by-laws to keep himself informed and to take part in the conduct of the agency's business.

There are many devices available to help members who are not familiar with parliamentary procedure. There are, for example, small handbooks on parliamentary law that a member can use for quick reference right in the meeting (and the Chairman might find useful as well) until he becomes familiar enough with the rules. This section outlines the basic parliamentary motions and their important characteristics. These pages might make a handy reference for use in Board meetings.

First, some definitions are in order. There follows a glossary of words frequently used in meetings, but the glossary itself depends on an understanding of one basic word: "motion". A "motion" is really an idea, usually an idea about something a member wants the Board to do, which is expressed formally so that every member knows what is being proposed and can vote for or against the motion. Thus, a member may "move to have the Board go on record against expansion of a local military installation until the Federal government has met the needs of the poor," or a member may simply make a motion to "approve the personnel committee's selection of a new Executive Director." The other terms listed in this glossary are commonly used in meetings, and they will help explain the meaning of some of the rules of order discussed elsewhere in this chapter.

A. A Glossary of Parliamentary Terms

A Glossary of Words Frequently Used in Meetings:

(definitions are based on how these words may be used)

ABSTAIN-----	Not voting one way or the other on a motion.
ADJOURN-----	To end the meeting.
ADOPT-----	To approve or accept.
AMEND-----	To change a motion.
APPOINT-----	To assign a person to a job or position.
CAUCUS-----	A meeting of organization leaders in order to decide policy, candidates and/or plans. Or a meeting of a special interest group or power group.
CHAIR (The)-----	Position held by Chairman or leader of group.
COMMITTEE-----	A small group that studies, reports on, and recommends part of the organization's program.
DEBATE-----	Argument or discussion of something that is open to question.
GENERAL CONSENT-----	A silent, unanimous vote; if even one member objects the motion must be voted on.
MAJORITY OPINION-----	The decision of most of the voting members of a group or committee.
MINORITY OPINION-----	The decision of less than half of voting members of a group or committee.
MINUTES-----	Official record of a meeting.
NOMINATE-----	To recommend a person for election. (Nominations do not require a second.)

PENDING----- Undecided; still before the group.

PETITION----- A formally drawn request, often bearing the names of a number of people, which is addressed to a person or a body of persons in power, soliciting some sort of right or favor or other benefit.

POINT OF ORDER----- A motion that asks the chairman to say whether the meeting or a part of it is being conducted properly.

PRO TEM----- Latin for "temporary."

PROXY----- Permission from another member to vote or act for him. Not allowed in CAA Boards.

QUESTION----- Another name for a motion.

QUORUM----- The minimum number of members who must be present for a legal, official meeting. For CAA Boards, the quorum is one-half of all the Board members.

RESCIND----- To take back; withdraw.

RESOLUTION----- Another name for a motion; a policy statement.

SECOND----- A sign from at least one other voting member of the Board that he thinks a motion should be considered, and is willing to second it so that it can be.

STANDING COMMITTEE----- A committee that continues from year to year; a permanent committee.

SPECIAL (or Ad Hoc) COMMITTEE----- A committee that is appointed or elected to handle only a specific thing; a temporary committee.

SUB-COMMITTEE----- A smaller committee formed within a committee.

TABLE----- To put off discussion or vote on a motion to a later time or to another meeting.

UNANIMOUS VOTE----- When everyone votes the same way.

VETO----- To disapprove.

B. What to Say At a Meeting

Another way of expressing the purpose of parliamentary rules is to view them from the point of view of what the member wants to accomplish. This list is a sample of that approach:

IF YOU WANT TO. . .

YOU SAY TO THE CHAIRMAN:

1. Stop the meeting for a short time to take a break.

I move that we recess.

2. Set a time for the next meeting.

I move we fix the time of the next meeting.

3. Ask someone to speak louder, or open a window, or call attention to something concerning the comfort and well-being of the people at the meeting.

I rise to a question of personal privilege.

4. Bring a discussion back to the subject or get to the main part of the agenda.

I call for the orders of the day.

The above actions can be taken at any time during a meeting. They must be acted on immediately. Statements 3 and 4 are not debatable and need no second because there is really nothing to disagree about.

IF YOU WANT TO. . .

YOU SAY TO THE CHAIRMAN:

5. Correct a mistake that is against the by-laws of the group.

I rise to a point of order.

6. Get more information on the business being discussed.

Point of information

7. Question a chairman's decision

I appeal the decision of the chair

8. Discuss something without having to stick to the rules

I move that we suspend the rules

9. Stop a motion YOU have made

I wish to withdraw the motion

10. Prevent discussion of a motion

I object to consideration of the motion.

Statements 5 to 10 are not debatable and can be made and voted on at any time except during a time when one of the first four statements is being considered. Statements 5, 6, 9 and 10 need no second. Statements 8 and 10 require a vote of 2/3 to pass.

IF YOU WANT TO. . .

YOU SAY TO THE CHAIRMAN:

11. Have a motion put aside until later	I move we table the motion
12. Bring up a motion that has been tabled	I move the motion be taken from the table.
13. End (or limit) a discussion	I move we close (or limit) debate
14. Put something off until another meeting	I move we postpone this matter
15. Ask a committee or a member to study an idea or recommendation	I move we refer (or re-commit) this to (whatever committee is involved).
16. Change or add to someone else's motion	I wish to amend the motion. (You can amend a motion only twice).

Motions 11 to 16 can be made when no other motions are being considered. All require a second. Motion 11, 12 and 13 are debatable. Motion 13 requires a vote of 2/3 to pass.

The next section goes into detail on each of the motions and rules listed here, and a few others that are used for nominating and electing officers. Technical words used in this section are explained in the glossary.

C. Principal Motions

1. Main Motion: When a motion has been made, seconded, and then stated by the chair, the Board cannot consider any other business until the motion has been disposed of. If the motion is long and involved the chairman asks the mover to hand it in writing to the secretary. The mover cannot withdraw his motion after it has been stated by the chair. All motions should be seconded. This may be done without rising or addressing the chair.

As a matter of practice motions to adjourn do not necessarily need a second. There may be other exceptions, as when the overwhelming majority want something done in a hurry. A common cause of confusion in meetings occurs when the chairman and the members forget that there is a motion on the floor which has not been acted upon and they start discussing some other matter. This is something chairmen must carefully guard against because members often try to bring up other and irrelevant matters as they come to their minds and before a motion has been disposed of.

2. To Amend: This is a motion to change, add, or omit words in the original main motion. It is a matter that can be debated and is decided by a majority vote.

Amendments to motions must be relevant to the main motion. Any number of amendments may be suggested, but only one at a time. Amendments are usually offered to clarify or improve the wording of the main motion. The chairman should allow full discussion and then have a vote taken on the amendment, making sure that the members know what they are voting on. Sometimes members become confused about whether they are voting on the main motion or the amendment to it. When the amendment is lost the discussion may then go on to the next or other amendment, or it goes back to a discussion of the main motion.

3. To Amend an Amendment: This is a motion to change, add, or omit words in the first amendment. It can be debated at once and is decided by a majority vote.

Sometimes members are not satisfied with the amendment they have adopted. So they try to improve it or change it by making a motion to amend the amendment. The chairman must be alert on the procedure: a vote is taken on the amendment to the amendment. Then a vote is taken on the amendment. Finally a vote is taken on the main motion.

4. To commit or refer to a committee: When a motion becomes involved through amendments or when it seems wise to investigate the question, somebody may move to commit the motion to a committee for further consideration. The motion to commit or refer may be debated. It is decided by majority vote.

A motion to commit or refer usually clarifies a question, but it can be used to delay, for it postpones final action until a later time. The committee to which anything has been referred must make a report on the question.

5. To table: The object of this motion is to postpone the subject under discussion so that it can be taken up at another time. This might be at the same meeting when a member moves that it be taken from the table.

This is used sometimes as a method to delay final action, but usually it is to give members time to give the subject further thought. A chairman may sometimes prevent it from being used for obstruction purposes by refusing to recognize the mover.

Motions to table should be acted on at once. Usually they are considered not subject to debate, although in practice they may be debated. A motion to table cannot be amended. It is moved on one way or the other as quickly as possible and is decided by majority vote.

6. To postpone: A motion to postpone action on the question before the Board to some future date can be made at any time except when a speaker has the floor. It can be debated and is decided by majority vote. To postpone action means to put it off until the next meeting. Thus it differs from laying on the table, because when a matter is put on the table it can be taken up later in the same meeting.

When a motion to postpone is made, a definite time should be arranged for reopening the question. Usually it means that it is to be taken up at the next regular meeting. If the Board does not want to act then, it can be postponed again.

7. To adjourn: This is not debatable. It is in order except:
 - a. when a speaker has the floor;
 - b. when a vote is being taken;
 - c. after adjournment has just been voted down;
 - d. when the Board is in the midst of some business which cannot be stopped abruptly. (This is usually decided by the chairman, in ruling on whether the motion to adjourn is in order.)

When a motion is made to adjourn to a definite place and time, then the motion is debatable. The chairman should call to the attention of the Board any important business that has been overlooked before putting the question of adjournment to a vote. Usually the business which was interrupted by the adjournment is taken up at the next meeting as the first item of unfinished business.

8. To reconsider: A motion to reconsider permits the Board to set aside a vote which has been taken. The matter can then be taken up again as though no vote had been taken. It is regarded as a main motion, is debatable, and is decided by majority vote.

Some rules of order say that a motion to reconsider must be made by somebody who has voted with the majority on the question to be reconsidered. However, modern practice permits any member to make a motion to reconsider.

The procedure is to take two votes: first on whether the matter should be reconsidered; second on the original motion that is to be reconsidered.

9. The "previous question": This is a move to close debate on a question before the Board. It is usually made when the debate has been long and drawn out. It is simply a way of saying, "let's stop talking and vote immediately." Many "rules of order" state the form of the motion as "Mr. Chairman, I move the previous question." The chairman then says, "Shall debate be closed and the question be put?" What he means is, "Shall we stop talking and vote?"

Some "rules of order" say the decision demands a two-thirds vote; others permit this question to be decided by a majority vote. A Board should make a choice on this matter when rules of order are adopted so there will be no confusion when the situation arises.

10. Point of order: A point of order is an attempt to call attention to a violation in the rules. It may also be raised when a member thinks a mistake has been made in procedure. The usual form is: "Mr. Chairman, I rise to a point of order." The chairman says, "Please state your point of order." After he has stated his objection, the Chair answers, "Your point of order is sustained" or "Your point of order is denied." If the member is not satisfied by that he then addresses the rest of the Board to appeal the decision of the chair. He asks, "Shall the decision of the chair be sustained?" This is a debatable question and the presiding officer may discuss it without leaving the chair. It is voted on like any other motion and is decided by a majority vote.

Points of order should be raised immediately after a mistake has occurred. For this reason points of order can be raised while a

speaker has the floor. If it is used simply to harass a speaker, the chairman simply denies the point of order. It is a question a member can raise any time and not a motion, so it requires no second. It is not debatable unless the chairman asks for a debate on it. It is not a matter that requires a vote; it merely requires a ruling from the chair. Once it is settled, it cannot be renewed or repeated.

11. Tie votes: Robert says, "On a tie vote the motion is lost." If there is a majority of one, the chair may vote, thus making it a tie, and then declare the motion lost.

D. Nominations, Elections, and Term of Office

Robert's Rules says: "In the election of the officers of a society it is more usual to have the nominations made by a committee." This committee makes a report which consists of a ticket or list of candidates. The chair then asks, "Are there any other nominations?" Then nominations, if any, are made from the floor. The usual method is to vote by ballot.

It is not necessary to have a committee draw up a slate. The election may be accomplished by all nominations coming from the floor. Nominations do not need a second, but often they are seconded as a complimentary endorsement. Some organizations have a nominating ballot before having an election ballot, but this is usually unnecessary and confusing. When nominations are completed, the meeting proceeds to the election by the method described in the constitution and the by-laws.

If a member in good standing receives a majority on the election ballot, he is then declared elected even if he has not been nominated. This is known as the "write-in" vote. It is usually permissible for members to write in their choice even if he has not been nominated.

A motion may be made to close nominations, but it is not in order until the meeting has had reasonable time to add further nominations to those already made. The motion to close nominations is usually not debatable. It is simply voted on and usually decided by a majority vote. Some organizations demand a two-thirds vote. A motion may also be made to reopen nominations before the election takes place.

If the chairman wishes he may say to the members that the nominating committee has tried to present a fair ticket, but it is the privilege of the members to name any candidate they may want. A member may withdraw his name if placed in nomination,

but he cannot "withdraw in favor of another member."

Majority and plurality: Majority vote means a vote of more than half the members voting. A plurality is the largest of three or more members. It is the difference between the largest and the next largest. In an election a candidate has a plurality when he has a larger vote than any other candidate.

The chair votes: When the vote is taken by written ballot the president or presiding officer writes his or her ballot and casts it with the rest. In the event of a tie vote by ballot, the balloting must continue until a candidate receives a majority--unless the by-laws provide for a plurality.

III. THE AGENDA

An agenda is a list of items the group must discuss at a meeting. Although the Chairman is responsible for its preparation, its formation is governed by rules set by the majority of the Board. The agenda also serves as a schedule telling everyone attending a meeting when each item will be considered. So that each member can be prepared to discuss the item on the agenda, it should be prepared before the meeting and sent to the membership.

Community action meetings are held to give the people involved a chance to get together to set goals, plan, make decisions, take action, and evaluate what they have done. The Chairman of the meeting has a duty to see to it that the meeting keeps moving. He and all members should know what is supposed to be acted on first and what should come next during the meeting. Planning an agenda before the meeting helps the Chairman keep the "action" in community action meetings.

The Chairman typically has responsibility for preparing the agenda. The Executive Committee should meet at least a week before the regular meeting to draw up an agenda. (Sometimes the by-laws of an organization set a regular day for this pre-meeting of officers.) By-laws frequently provide that the agenda be sent out to members a certain number of days before a meeting. Any additions to the agenda or disagreements concerning it should be brought to the attention of the Chairman immediately.

Here again, the OEO Instruction 7042-1 on public meetings has relevance, because it provides that individuals or groups in the community may be placed on the agenda, or may speak at a public meeting even if they are not on the agenda. Consequently, the Chairman should be sure to leave time in the meeting for such persons or groups to be heard.

A. Preparing an Agenda

To prepare an agenda the Chairman and other officers should:

- Check the minutes of the last meeting. Note any unfinished business.
- Include committees or members who are to make reports on the agenda.
- Make sure all the people who are concerned about items on the agenda will attend the meeting.
- The secretary should go over all correspondence that has been received since the last meeting. Important letters should be summarized and a report on them prepared. Put this report on the agenda.
- The financial officer should have all bills and figures in order and a report prepared. Put this on the agenda.
- Ask the Executive Director for items he would like to have on the agenda.
- Check on all the new business which has come up since the last meeting and everything that is scheduled to come up before the next regular meeting will be held. Note everything that the members must take action on.
- Include time for new business from the floor or for general discussion at the end.

SAMPLE AGENDA OUTLINE

1. Call the meeting to order
2. Minutes of the last meeting
3. Reports: a. Treasurer, b. Committees
4. Correspondence
5. Old or unfinished business
6. New Business
7. Adjournment

B. Using the Agenda

The Chairman must see that important things are not crowded out of a meeting. He uses the agenda as a guide for timing the action of the meeting. He may read the entire agenda quickly, so everyone in the

room will have a "map" of the meeting, then he calls for one item at a time and completes discussion and action on that item. Then he moves on to the next item on his agenda.

The agenda should not be used as a device to push people around. Members must be allowed time to express their ideas and views. By following an agenda, the chairman will help the members organize their thoughts and plan the action they want to take.

The time and work that it takes to prepare an agenda is an investment that pays dividends in the form of effective and smooth-running meetings, and satisfied Board members.

IV. PREPARING FOR THE MEETING

The value of adequate preparation has been cited over and over again. In this section there are briefly outlined some checklists that it might be useful to review before a Board meeting.

A checklist of things to be done to get ready for a meeting.

1. Has the agenda been planned and distributed in advance?
2. Have all members been told where and when the meeting is to be held?
3. If it's a public meeting, has the general publicity been handled?
4. Is the Secretary ready to read the minutes of the last meeting?
5. Does the Secretary have the correspondence ready to present?
6. Are the committees ready to report? Do they know when they are to report and how much time they have?
7. Is the meeting place ready? Have the chairs, lights, rest rooms, ash trays, etc., been checked?
8. Is any special equipment needed? (Blackboards, chalk, movie projector and screen, record player, tape recorder, etc.)
9. Have arrangements been made for guests or special speakers? Do they know when and where the meeting is being held? Do they know what you expect them to do?
10. If the meeting is going to be in a building with a number of rooms, is there a note near the front door telling people what room and what floor to come to?

Finally refer to the following checklist of physical arrangements that may need to be made before a meeting. Not all of the actions listed there will be necessary for every meeting, but it would be helpful to quickly review the checklist in laying out plans for a meeting, and select the steps that are appropriate to the meeting and its purposes.

A. 25-Day Countdown Checklist

<u>Day to Meeting</u>	<u>Function</u>	<u>Check</u>	<u>Considerations</u>
- 25	Arrange Date & Time	_____ _____ _____ _____ _____ _____	Call Executive Director for suggestions Call committee officers for suggestions Call community leaders for suggestions Avoid holding on a holiday Make sure it does not conflict with another major event Set a time convenient for everyone (avoid conflicts with working hours)
- 25	Select Site	_____ _____ _____ _____ _____	Choose a church, school, government office, etc. Location convenient for everyone Public transportations available Adequate size for number expected Complete a written agreement with owner if required
- 21	Survey Site	_____ _____ _____ _____	Meet with manager of the facility Prepare list of things you will need to provide (i.e. microphone, chairs, tables, janitor) Locate bathrooms, light switches, electric sockets, tables, janitor
- 19	Prepare tentative agenda	_____ _____ _____ _____ _____ _____ _____	Review last meeting with secretary Call other members for their recommendations Check with community leaders for their recommendations Check with CAA Executive Director List items you want on agenda Arrange for speakers, films, etc. if appropriate Mail tentative agenda to committee members
- 17	Arrange for Services	_____ _____ _____ _____	Donations of refreshments if desired Babysitting services as needed (either in their home or at a child care center) Volunteers to man microphones Volunteer to provide transportation
- 15	Publicize meeting	_____ _____ _____ _____ _____ _____ _____	Prepare announcement including purpose, address, date, time, number to call for, information and transportation. Arrange for announcement in local papers Arrange for announcement over local TV and radio stations Mail announcements to community groups Place posters in local stores, restaurants, etc. Have schools send flyers home with children Send announcement to all on CAA mailing list
		Note:	If the meeting is to be a public one, there are specific publicity requirements. See OEO Instruction 7042-1.

ARRANGING FOR A BOARD MEETING (continued)

25-Day Countdown Checklist

<u>Day to Meeting</u>	<u>Function</u>	<u>Check</u>	<u>Considerations</u>
- 10 to -2	Check Arrangements	_____	Check arrangements with manager of site
		_____	Check with transportation chairman
		_____	Check on babysitting services
		_____	Check volunteers for microphones, help in setting up meeting hall
Day Of Meeting	Check Site	_____	Visit meeting place
		_____	Ensure hall is set up
		_____	Ensure you have materials you wish to pass out
		_____	Check with committee members who will make reports (treasurer, secretary, committee chairman, etc.)
		_____	Prepare your opening remarks and review agenda
		_____	Arrive 1 hour early to check on arrangements

V. ROLES OF THE BOARD OFFICERS IN A MEETING

A. Role of the Chairman

The Chairman must be able to see the questions clearly. He must be able to clarify and explain problems. If the Board does not see the essential points of similarity in the problems or questions being discussed, or if the discussion is getting away from the point, he may need to analyze what has been done and re-direct the discussion.

At the proper time he must be able to state the consensus of the group, thus rendering a clearer approach to problem solving. The Chairman of the meeting must assist the group in thinking: he must be a stimulator and director--never a lecturer. Knowledge of the specific subject matter under discussion is a worthwhile asset for the Chairman to possess, but most important is the ability to think impartially and to maintain proper control over the meeting. The leader has the function of seeing that everyone contributes and that no one monopolizes the discussion.

The Chairman of the meeting need only enter into the discussion when it is necessary to summarize the argument or question. He does not correct misstatements made by members, though he may call attention to questionable points or statements so that the group will not miss the importance of a situation or accept a significant error as truth.

The Chairman should avoid talking too much. The more the Chairman talks the less the members of the group will talk. If the leader is well prepared, his material carefully selected, his questions well planned, then a minimum of talking on his part will be necessary.

Before each Board meeting, the Chairman should prepare an agenda to guide the working of the group so that the members will pool their experiences express their view-points, and discover what they know, what they don't know and what they know, to learn more about.

The Chairman must do his best to create an atmosphere which will promote discussion. If he fails in this, the chief value of the meeting will be diminished or entirely lost. In attaining this freedom of discussion he must avoid both a bull session and a gripe session. He must not permit the meeting to become a place for airing petty grievances or personal gripes.

Through the medium of the meeting the Chairman's aims are:

1. To assemble facts
2. To select and evaluate facts
3. To get group decisions
4. To develop plans
5. To execute plans

The Chairman must assume many roles: He must plan, promote, lead, direct, inform, interpret, encourage, stimulate, referee, judge, moderate and conciliate as the occasion demands. He must do all these things without making it obvious that he is doing them. This means.

1. He must be a clear, rapid thinker
2. He must possess ease of expression
3. He must possess analytical ability
4. He must be impersonal and impartial; he must not speak for or against any motion unless he has someone else preside.
5. He must not let prejudices influence his ability-- he must extend every courtesy to the opponents of a motion, even though he may personally favor it.
6. He must be patient
7. He must be tactful in handling people
8. He must have poise and self restraint
9. He must possess a sense of humor
10. He must have a good working knowledge of parliamentary law
11. He must know all the committees and their members

In summary, the chairman is elected or appointed by a majority (more than half) of the members to serve as the leader of the group. He leads orderly discussions by tactfully and

politely enforcing the rules that offer every member a chance to speak for or against a position. The chairman cannot participate in the discussion but serves as an impartial referee. He explains each motion before it is voted upon; he may appoint committees to carry out specific assignments; and he may vote to make or to break a tie.

B. The Roles of the Other Officers

The Vice Chairman conducts meetings and handles the group's business when the chairman is absent. He must have the same leadership qualities and good relations with group members as the chairman.

The Secretary takes the minutes of meetings and keeps a permanent record of what has taken place. He receives and handles all mail addressed to the group, and helps the chairman stick to the agenda. He issues announcements of meetings and distributes the agenda in advance. The Secretary may frame the assistance of an assistant secretary -- either another Board member or a CAA staff member.

VI. GENERAL HINTS ON BOARD MEETINGS

- A. Don't call a meeting to decide something you could or should decide yourself.
- B. Be sure that all the individuals who have relevance to the agenda are invited to attend.
- C. Insist on punctuality; start and stop the meeting on time.

D. Keep the purpose of your meeting firmly in mind to be sure it is achieved.

E. Draft an agenda that breaks all subjects down into their simplest constituents. A lengthy agenda, if well constructed, often means a short meeting.

F. Before sending out your agenda to other members of the group, read it all through from start to finish. Examine all the points that might be misunderstood. In most meetings disagreements occur because people are not talking about the same thing. If the issues are crystal clear, there will be less room for confusion.

G. See that the agenda is circulated in sufficient time for people to read it before they come, but not so far ahead that they will have forgotten all about it before they arrive.

H. Set time limits for each section of the discussion. Make sure there is a clock everyone can see. Discussion, like work, expands to fill the time available.

I. See that whoever is in the chair acts as the chairman. That is, that he states the issues, sticks to the agenda, lets everyone have a fair crack at the subject, cuts them short if they wander, and sums up clearly as soon as they all have had their say.

Finally officers should remember these points:

- Plan the meeting in advance.
- Start and stop each meeting on time.
- Keep the session moving. After both sides are given equal time to support or oppose an idea, ask for a motion.
- Ask members of the group to make decisions instead of making them yourselves.
- Make sure that meetings are held in comfortable rooms that have enough light, windows and chairs.

And Board members should remember these points:

- Know what rules must be followed at a meeting.
- Speak out on ideas or motions that you do not favor. Silence is often interpreted to mean consent.
- Discuss issues -- not personalities.
- Ask questions if there is something you don't understand.

VII CONCLUSION

Finally, let us mention once more that there is no requirement that CAA Board meetings be conducted according to Robert's Rules of Order. But there must be some rules agreed on and understood by every member. Rules are a way of organizing the meeting so that it will run on time and in a more orderly way, and so that everyone will have an equal chance to participate.

Rules of Order are a useful tool for Board members ... they provide a more efficient way of getting the work done. To help Board members to use the rules adopted by the Board, there is provided, on the next two pages, an outline of the most usual parliamentary motions and the requirements (like a second, or a two-thirds vote) for using them.

VIII. APPENDICES

A. The Twelve Ordinary Parliamentary Motions

<u>THE MAIN MOTION</u> (the proposal)	SECOND REQUIRED?	DEBATABLE?	AMENDABLE?	VOTE REQUIRED?	INTERRUPT SPEAKER?
1. The Main motion	yes	yes	yes	majority	no

SUBSIDIARY MOTIONS (affecting the main motion after it is made and seconded)

1. Lay on table	yes	no	no	majority	no
2. End debate	yes	no	no	two thirds	no
3. Limit or extend debate	yes	no	yes	two thirds	no
4. Postpone to a definite time	yes	yes	yes	majority	no
5. Refer to a committee	yes	yes	yes	majority	no
6. Amend a motion	yes	yes	yes	majority	no
7. Postpone indefinitely	yes	yes	no	majority	no

PRIVILEGED MOTIONS

1. Set time for adjournment, other business pending	yes	no	yes	majority	no
2. Adjourn (time already set for next meeting)	yes	no	no	majority	no
3. Recess	yes	no	yes	majority	no
4. Raise question of privilege	no	no	no	Chair decides	yes

B. The Eleven Additional Parliamentary Motions

INCIDENTAL MOTIONS

	SECOND REQUIRED?	DEBATABLE?	AMENDABLE?	VOTE REQUIRED? OR CHAIR DECIDES	INTERRUPT SPEAKER?
1. Appeal a decision of Chair	yes	yes	no	majority	yes
2. Withdraw a motion	no	no	no	majority	no
3. Point of order	no	no	no	chair	yes
4. Suspend rules	yes	no	no	2/3	no
5. Object to consideration	no	no	no	2/3	yes
6. Point of information	no	no	no	chair	yes
7. To close nominations	yes	no	yes	2/3	no
8. To re-open nominations	yes	no	yes	majority	no
<u>RETURN MOTIONS</u>					
1. Take from table	yes	no	no	majority	no
2. Reconsider	yes	yes	no	majority	yes
3. Rescind or repeal	yes	yes	yes	2/3	no

TRAINING METHODOLOGY

I. Introduction

To CAA board members, meetings are the name of the game. Few areas of skill and knowledge can be better utilized than those necessary to effectively direct and channel activities in the numerous meetings in which board members must participate. No other area of board activities can be as frustrating and fruitless as a poorly conducted, disorganized meeting.

Board development specialists should be thoroughly familiar with the information contained in Part IV, Chapter 18 of the general manual before beginning this segment of the training. The methodology and specific learning goals are tailored specifically to the information contained in that chapter and no attempt has been made to reproduce all of the text information in the training methodology.

II. Overall Objectives

This chapter has four specific learning goals. Three are designed to give specific information to the participants and enable them to plan and conduct orderly, productive meetings. The fourth is designed to develop and appreciation of group meetings as an effective problem-solving and decision-making process for accomplishing CAP objectives.

You should convey to all board members the need to work as a team in conducting meetings. All board members need to understand that even though they have differences of opinion on issues and problems, organized discussion provides an opportunity for everyone to present their views and judgments.

A CAA board brings people together who have different levels of appreciation and confidence in group meetings. Some board members have probably participated throughout their life in organizations that use parliamentary rules as an accepted way of doing business. Others may have

experienced parliamentary procedures being used as a means of denying them a voice at civic and government meetings. Since these members may view parliamentary procedures with suspicion, you will have to demonstrate that rules and procedures can be effectively used to facilitate board decision-making.

III. Specific Learning Goals

1. WHAT PARLIAMENTARY PROCEDURES ARE NECESSARY TO CONDUCT A MEETING?

The board members will be able to discuss the use and meaning of the following points:

- (1) The thirteen ordinary parliamentary motions.
- (2) The twenty-three words most frequently used in conducting meetings.
- (3) Board members will be able to discuss the use of "Robert's Rules of Order" and their application to community action meetings.
- (4) They will also be able to list and discuss the rules concerning nominations, elections, and terms of office.

2. WHAT IS AN AGENDA? WHAT ARE ITS USES?

The board members will be able to explain and list the information contained in OEO Instruction (7042-1) "Requirements for Public Meetings."

The board member will be able to discuss either orally or in writing the need for, and uses of, an agenda. Board members will also be able to list topics that should be discussed for a specific meeting and prepare an agenda for that meeting.

3. WHAT ARE THE ROLES OF THE PARTICIPANTS?

The board members will be able to define and discuss, either orally or in writing, the roles of the following participants in a meeting:

- (1) The Chairman
- (2) The Vice-Chairman
- (3) The Secretary
- (4) The Treasurer
- (5) The Parliamentarian
- (6) The Sergeant-At-Arms
- (7) The Audience

4. WHEN AND WHY DO WE CONDUCT MEETINGS?

The board members will be able to list and discuss the following points:

- (1) The kinds of information that must be considered before a meeting is planned.
- (2) Planning steps that precede a meeting.
- (3) OEO requirements for community meetings.
- (4) The roles of the officers in a meeting.
- (5) The parliamentary rules that can be used to conduct a meeting.

IV. Methodology

LEARNING GOAL #1: What parliamentary procedures are necessary to conduct a meeting?

Before beginning their training prepare three hand-outs from the text material in Part IV, Chapter 2 as follows:

1. Take Thirteen Ordinary Parliamentary Motions.
2. Glossary of Words Frequently Used in Meetings.
3. Nominations, Elections and Terms of Office.

Give a short presentation on the history of "Robert's Rules of Order." Ask the group to comment and discuss the following points:

1. The need for formal debating rules.
2. Modifications necessary to these rules for CAA use.
3. The need for everyone participating in a meeting to know these rules.

Next distribute handout 1, "The Thirteen Ordinary Parliamentary Motions." Have each member of the training group read a motion and state his understanding of it. Allow the group to comment on their understanding of each motion and discuss any problems they may have in understanding its use.

Follow the same procedure with handout 2, "Glossary of Words Frequently Used in Meetings." Ask each member to read one word, state his understanding of it and allow the group to add knowledge and comments.

Distribute handout 3. Allow the group about five minutes for reading and allow the group to raise any questions or make comments on the procedures.

Close this training portion with a short review of the material covered. Describe to the group some of the problems that occur if rules and procedures become ends in themselves. Stress the fact that rules and procedures are used only to conduct a meeting and only the rules necessary for a given situation need be adopted.

(NOTE): An excellent film is available that can be used to close this training session. It is:

Parliamentary Procedure, an informal introduction to meetings' rules and procedures. It can be rented for \$3.00 from:

National Film Board of Canada
680 Fifth Avenue
New York, New York 10019

LEARNING GOAL #2: What is an agenda? What are its uses?

Before beginning this training prepare two hand-outs:

1. Sufficient copies of OEO Instruction (7042-1) for each participant.
2. A list of twenty topics that are relevant to the board's program for the participants to assemble into an orderly agenda. Include in the list a few topics that are properly the business of a few individual members. A few topics that are not relevant to the meeting and issues of purely parliamentary nature.

Begin the training by discussing OEO Instruction (7042-1). Allow the group time to read the information before beginning. Develop the requirements for public meetings on a chalk board or flipchart from input from the group.

Now make a short presentation on the need for and use of an agenda. Break the board members into several small discussion groups and distribute handout two. Ask the groups to arrange the items into an orderly agenda.

When the group is reassembled, have a spokesman from each group state how his group ranked the topics in the agenda. List their ranking on a chalk board. Discuss the ranking with the group and develop a group answer to the problem. Add information from your notes and show your solution and allow the group time for any comments.

End the training with a brief review of the material covered.

LEARNING GOAL #3: What are the roles of the participants?

The general material covered in this session should be prepared in a handout to be distributed to the board members at the start of the session.

List each of the roles in a meeting on a chalk board or flipchart and develop the duties and responsibilities from the responses of the group.

Allow the group time to discuss and resolve conflicts of opinion. Close the session with a showing of the OEO filmstrip "Out of Order." Introduce the filmstrip by asking board members to view the film with an eye to relating the situations in the filmstrip to their own meetings. After viewing is complete, have the group discuss the ways in which the incidents portrayed parallel their experience. Also, have them suggest ways to overcome the roadblocks to successful meetings.

LEARNING GOAL #4: When and Why do we conduct a meeting?

Begin this training by conducting a general review of the preceeding learning goals. Develop the following points on a chalk board or flipchart using input from the group.

1. The titles and duties of the officer conducting a meeting.
2. Some of the parliamentary motions and words that are commonly used.
3. The OEO requirements for public meeting contained in OEO Instruction (7040-1).
4. The kinds of information needed to develop an agenda.

Now discuss with the groups two subjects using the text material contained in Part IV, Chapter 18, Section V and VI of the general text.

1. General hints in planning and conducting a board meeting.
2. The role of the chairman. Have the group discuss skills a chairman must have and the kinds of support required from the total group.

(NOTE): At this point a training film titled "Mr. Chairman" is recommended. This film can be rented for \$3.00 from:

Cineeffects Inc.
115 West 45th Street
New York, New York

This film is a cartoon which describes how meetings should and should not be conducted.

Now break the board members into two groups and assign each person a role as an officer or participant in a board meeting. Build two identical groups so each officer has a counterpart. Assign a subject for a meeting that is relevant to the problems that the board deals with. Select a subject that has conflict and emotional response. Furnish the groups with a list of subjects and issues that must be considered at the meeting. Separate the groups and allow them to prepare for the meeting.

When the groups are reassembled, select one group to role play a meeting and one group to observe and evaluate the action.

Have the observing group use the handouts on preparing an agenda, parliamentary motions, and the glossary as tools in their evaluation. Ask the members of this group to observe and evaluate their counterparts in the action group.

After the role play allow the evaluation group time to feed back to their counterparts what they observed. If time permits reverse the roles and do it again.

A good training film is available titled "Heart of the Union" and can be used with this exercise. If it is used half should be shown before the role play and

the second half after the groups complete the exercise.
This film can be rented for \$3.00 from:

International Association of Machinists
AFL-CIO Education Department
815 16th Street N.W.
Washington, D. C. 20006

(NOTE): Trainers should also consider using a training package developed by the New Jersey Community Action Training Institute titled "How to Conduct a Community Action Meeting" as a supplement to this information or as an alternative training program if necessary. The package includes a pre- and post-test for evaluation. A discussion guide and other materials which are necessary to conduct a training session are also included. To purchase write to the:

N. J. Community Action Training Inst.
2465 South Broad Street
Trenton, New Jersey 08610

V. Evaluation

Evaluation of each board member's ability to conduct and participate in meetings is the real test of the effectiveness of this training. Observation of board meetings over an extended period of time is invaluable in identifying problem areas and individuals who need additional training.

However, a great deal of this training involves transmitting specific information and lends itself to early testing of skills and information levels. This kind of evaluation can pinpoint areas where the training may not have been effective, as well as individual participants who may need more help.

FOR LEARNING GOAL #1

Each board member has a list of the thirteen ordinary parliamentary motion. Ask him to discuss orally or in writing the uses of each.

Also furnish board members with a list of the twenty-three words most frequently used in conducting meetings. Ask them to define the words in non-parliamentary language.

Have the board members discuss the use of "Robert's Rules of Order" and their application to community action meetings. Emphasize the rules concerning nominations, elections, and term of office.

FOR LEARNING GOAL #2

Have the board members discuss the main points of OEO Instruction (7042-1).

Ask the board members to list the kinds of information needed to prepare an agenda, and several reasons why an agenda is necessary in conducting an effective meeting.

FOR LEARNING GOAL #3

Have the board members list the six officers who are normally needed to conduct a meeting. Discuss the roles and responsibilities of each of these officers.

FOR LEARNING GOAL #4

Have the board members list and discuss planning steps and information that must be considered in the following situations:

1. When deciding if a meeting should be held.
2. In preparing for a meeting.
3. In conducting a meeting.

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