

**Compassion Capital Fund Evaluation:
Indicators of Organizational Capacity
Among Targeted Capacity Building Program Grantees**

Supporting Statement for Paperwork Reduction Act Submission

Contract No. 100-02-0019

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Part A: Justification

A.1 Explanation of Circumstances That Make Collection of Data Necessary

Historically, faith-based and community organizations have played valuable roles in providing social services to individuals and families in need. Recently, the federal government has focused attention on the unique position of faith-based and community organizations (FBCOs) to deliver critical social services. Recognizing the vital role faith-based and community organizations play in their communities, President George W. Bush launched a national initiative to expand opportunities for FBCOs to compete for federal funds through the establishment of the White House Office of Faith-Based and Community Initiatives and corresponding Centers in ten federal Cabinet agencies, including the Department of Health and Human Services.

The Compassion Capital Fund (CCF), a key component of the President's Faith-Based and Community Initiative, was established by a Congressional appropriation in 2002. The CCF is intended to help faith-based and community organizations increase their effectiveness and enhance their ability to provide social services by building their organizational capacity. The CCF program is operated by the Administration for Children and Families (ACF), Office of Community Services (OCS), within the Department of Health and Human Services.

The CCF "Targeted Capacity Building Program" funds faith-based and community organizations with one-time awards to increase their capacity in targeted social service priority areas. Casually known as the mini-grant program, the program awards up to \$50,000 to grassroots faith-based and community organizations that address the needs of distressed communities. The goal of the program is to help promising organizations increase their infrastructure and bolster their sustainability, ultimately enabling them to serve more people more effectively.

The Targeted Capacity Building Program focuses on capacity building among organizations addressing one of four service priority areas: help for at-risk youth; help for the homeless; marriage education and preparation services; or social services to those living in rural communities. Funds are to be used toward the organization's capacity building in at least one of five areas: 1) leadership development, 2) organizational development, 3) program development, 4) revenue development strategies, and 5) community engagement. Between 2003 (when the Targeted Capacity Building Program began) and 2006, OCS awarded more than \$37 million in mini-grants to over 700 faith-based and community organizations.

The proposed data collection that is the subject in this package is intended to complement an evaluation of another major component of the CCF program, the Demonstration Program. The Demonstration Program funds intermediary organizations to provide capacity building services to grassroots faith-based and community organizations, including the issuance of financial assistance through sub-awards to FBCOs. The Demonstration Program evaluation includes a small-scale retrospective study of FBCOs that received a sub-award, an outcome study that involves surveys of all FBCOs receiving sub-awards and technical assistance services in 2005-2006, and an impact study involving surveys of FBCOs applying for services from intermediaries in 2007. The survey instrument proposed here is similar, in large part, to the instrument used in the retrospective study of the Demonstration program and includes questions included in the baseline survey form that is part of the outcome and impact studies.

A.2 How the Information Will Be Collected, by Whom, and For What Purpose

The proposed information collection activity is a survey to be completed by FBCOs who received CCF mini-grants in 2003, 2004 and 2005. The data collection will be conducted as a retrospective survey, looking back at results obtained since the mini-grants were received. The self-administered survey addresses a range of information required to identify the gains in organizational capacity obtained by the FBCOs in major domains. This survey will be administered to approximately 305 mini grantees whose grant supported activities have ended. This number includes all 50 grantees funded in 2003 – the first year of the mini-grant program, all 100 mini-grantees funded in 2004, and a random sample of at least one-half of the 310 grantees funded in 2005. The inclusion of grantees from each of these years will provide an opportunity to garner information reflecting fairly short-term achievements (among the 2005 grantees) as well as changes that were begun during the CCF grant period but require a longer period to complete (e.g., obtaining results from submission of applications for funding from federal and other sources) .

Self-Administered Surveys of FBCOs

All surveys will be self-administered and are to be completed by the Executive Director or other senior manager at the FBCO. The survey will contain questions that describe the type and size of the organization and the resulting changes in organizational and service capacity supported by the mini-grant. The study plan would have the survey administered from one and a half to three years after the organizations received the mini grant award. All surveys will be sent by mail to the contact person at the FBCO identified in the grant files. As needed to increase response rates, the survey will be administered by telephone to organizations that do not initially return a completed written survey. Telephone calls will also be used to clarify responses to the mail survey, as needed.

The survey instrument will be used to assess the FBCOs' progress in organizational capacity development since receipt of the CCF mini-grant. The instrument includes questions about FBCOs' capacity to serve more clients, hire more staff, start new programs, as well as gains in specific areas of organizational capacity, such as technology, governance, financial management, outcome measurement, and community engagement. The survey also asks about revenue development activities before and after the receipt of the mini-grant. These organizational domain were also addressed in the prior retrospective study under the CCF Demonstration program and will allow for some comparison across the studies.

Research Questions

The self-administered surveys will be used to answer the primary research questions posed by this study.

1. How beneficial are CCF mini-grants in supporting positive changes in the organizational or service capacity of FBCOs?
2. In what areas of organizational capacity have mini-grantees shown the greatest improvement?

Once the data collection process is complete, the information collected from the mini-grant survey will be analyzed to provide a description of the indicators of capacity improvement obtained by FBCOs that received CCF mini-grants.

A.3 Use of Improved Information Technology to Reduce Burden

The information proposed to be collected cannot be gathered through the application of information technology since the requisite data are not routinely recorded in any electronic information medium. Furthermore, it is anticipated that many of the FBCOs may lack access to the technology needed to complete a survey electronically.

A.4 Efforts to Identify and Avoid Duplication

The information to be collected by this data collection does not currently exist in a systematic format. While grantees report progress and achievements in progress reports to ACF, the information in such reports is not systematic and may not cover the full range of topics addressed in the survey.

A.5 Efforts to Minimize Burden on Small Business or Other Small Entities

No small businesses will be involved as respondents. Respondents to the survey will be nonprofit faith-based and community organizations. As noted below, each survey is estimated to take half an hour for completion and will not have a significant economic impact on a substantial number of small entities.

A.6 Consequences of Less-Frequent Data Collection

The proposed study involves only one round of data collection through the survey. This sole data collection effort will provide description of the range of organizational capacity indicators associated with receipt of CCF mini-grants during the first three years of the Targeted Capacity Building Program. Organizations will be asked to complete the survey at one point in time, approximately one and a half to three years after the receipt of their mini-grant. There is no other vehicle for systematically assessing indicators of change associated with the CCF mini-grant program over its first three years of operation.

A.7 Special Circumstances Requiring Collection of Information in a Manner Inconsistent with Section 1320.5(d)(2) of the Code of Federal Regulations

None of the special circumstances listed apply to this data collection.

A.8 Federal Register Comments and Persons Consulted Outside the Agency

In accordance to the Paperwork Reduction Act of 1995, ACF published a notice in the Federal Register announcing the agency's intention to request an OMB review of this data collection. The first notice was published on Thursday December 7, 2006, in volume 71, number 235, page 70972, and provided a 60-day period for public comments. In response to the notice, one commenter stated his belief that the study was a waste of taxpayer dollars. Two others requested a copy of the draft instrument but provided no additional comments after the instrument was sent to them. The second Federal Register was published

on February 1, 2007. A copy of each Federal Register Notice accompanies this submission. Copies of email messages from commenters are included in Appendix A.

As mentioned previously, the survey instrument includes many of the same questions as were included in the previous retrospective survey of FBCOs receiving services through CCF Demonstration Program. It also includes questions asking about descriptive characteristics of the organizations that are the same as those included in the baseline survey being used in the outcome and impact evaluation components, as previously discussed. The original retrospective survey instrument was reviewed and approved by staff within the White House Office of Faith-based and Community Initiatives (WHOFBCI), in addition to ACF officials. The Director and staff within the WHOFBCI requested that ACF conduct this similar study of mini-grantees. The prior instruments were pre-tested with executives within several faith-based and community organizations to ensure the questions were clear and addressed relevant organizational capacity areas.

A.9 Payments to Respondents

No payments to respondents are proposed. Experience on previous studies indicates that payments are not needed to obtain adequate response rates.

A.10 Assurance of Confidentiality

Every effort will be made to maintain the privacy of respondents. The confidentiality procedures for this study during data collection, data processing, and analysis activities are as follows:

- All respondents included in the study will be assured that the information they provide will be used only for the purpose of this research, that the information obtained through this survey will be kept confidential to the extent provided by law, and that the results of the study will be reported in aggregate only.
- To ensure data security, all individuals hired by Branch Associates are required to adhere to strict standards and sign an oath of confidentiality as a condition of employment.
- Any individual identifying information will be maintained separately from computerized data files used for analysis. No respondent identifiers will be contained in any public use files made available from the study.

A.11 Questions of a Sensitive Nature

The questions included on the data collection instruments for this study do not involve sensitive topics. The surveys request information about the organization; no personal information is asked.

A.12 Estimates of Respondent Burden

The total burden for the mini-grant retrospective study is 155 hours, valued at \$3,633. Exhibit 1 presents estimates of reporting burden for the survey of FBCOs. Time estimates are based on experience with similar instruments in other studies of comparable organizations.

Exhibit 1: Estimate of Annualized Burden Hours

Data Collection Sources	Number of Respondents	Minutes Per Respondent	Total Response Burden in Hours
Survey of Targeted Capacity Building Program Grantees	305	.499 hours (30 minutes)	152

A.13 Estimates of the Cost Burden to Respondents

There are no annualized capital/startup or ongoing operation and maintenance costs associated with collecting the information. Other than their time to participate in the study, which is estimated to be approximately \$11.72* per respondent for a total of \$3,575, there are no direct monetary costs to respondents. (* Note: Estimated cost per hour of \$23.44 is calculated based on median income for nonprofit program directors in 2002.)

A.14 Estimates of Annualized Government Costs

The information collection activity and associated forms have been developed in the performance of the U.S. Department of Health and Human Service Contract Number: 100-02-0019. The period of performance is from September 26, 2002 through December 31, 2007, with the data collection to take place in May 2007. The total cost to the federal government for *Examining the Services and Best Practices of Intermediary Organizations and the Faith- and Community-Based Organizations They Serve* contract under which the study will be carried out is \$1,358,349. Of that total, approximately \$68,656 will be used for the data collection activities for which clearance is requested, data analyses and report writing.

A.15 Changes in Hour Burden

This submission to OMB is for a new information collection.

A.16 Time Schedule, Publication, and Analysis Plan

The schedule shown below in Exhibit 2 displays the sequence of activities required to conduct this information collection activity and includes key dates for activities related to instrument design, data collection, analysis, and reporting.

Exhibit 2: Project Schedule

Activities and Deliverables	Date
Instrument Design	January 2007
Data Collection	May 2007 – June 2007
Data Analysis	July 2007 - September 2007
Reporting	October – December 2007

A.17 Display of Expiration Date for OMB Approval

ACF is *not* requesting a waiver for the display of the OMB approval number and expiration date on the data collection instruments.

A.18 Exceptions to Certification Statement

This submission does not require an exception to the Certificate for Paperwork Reduction Act (5 CFR 1320.9)

Part B: Collection of Information Employing Statistical Methods

This study is designed with the understanding that the goal of the CCF capacity building programs for faith-based and community organizations is to equip participating organizations to increase their infrastructure and bolster their sustainability, ultimately enabling them to serve more people more effectively. More specifically, such capacity development includes five broad areas: 1) leadership development, 2) organizational development, 3) program development, 4) revenue development strategies, and 5) community engagement. The survey of mini-grantees will use statistical methods to examine these major areas, which are covered in the survey instrument.

The analysis of the survey will focus on changes in the capacity of the FBCOs since the time they received the CCF mini-grant. We will examine the major organizational and service capacity areas as listed above. The analysis will also describe the type of organizations that receive mini-grants. We will conduct sub-group analysis where sample sizes allow, including reporting the indicators of capacity by organizational type (faith-based versus secular).

B.1 Respondent Universe and Sampling Methods

Sample Selection

Branch Associates will collect information from CCF mini-grant recipients on behalf of ACF. The contractor is responsible for the design and administration of the survey that will be used to collect information about FBCOs.

The approach for the survey of mini-grant recipients assumes a sample of approximately 305 organizations that received mini-grants during 2003-2005. The survey will be administered to the universe of mini-grant recipients for 2003 and 2004. The 2005 mini-grantee sample will be randomly selected from among the 310 organizations that received mini-grants in 2005. For the 2005 group, we will construct a stratified random sample based on the four service priority areas under which the grantees were funded: 1) at-risk youth; 2) the homeless; 3) marriage education and preparation services; and 4) services in rural communities.

Exhibit 3: Sample by Program Cycle (Year)

Program Cycle/Year	Total number of Organizations that Received a Mini Grant	Number of Organizations included in Mini Grantee Survey Sample	Percent of annual total represented in the Mini Grantee survey
2003	50	50	100%
2004	100	100	100%
2005	310	155	50%
Total	460	305	

The survey sample size of 305 organizations, which is approximately two-thirds of the total number of organizations that received mini grant awards in 2003 -2005, is sufficient for describing the types of organizations that receive mini-grants and will be adequate to conduct some sub-group analysis (e.g., by organization type - faith-based or secular). In addition, this approach enables us to collect and analyze

information from all of the cohorts of mini grantees that have completed their grant activity – the first three years of the Targeted Capacity Building Program. Among the 305 organizations to be included in the survey sample, 17 percent (52) received mini-grants in 2003, 33 percent (102) received mini-grants in 2004 and 50 percent (155) received mini-grants in 2005.

B.2 Information Collection Procedures

Branch Associates will compile a database of FBCOs selected for inclusion in the study, including a key contact person at each of the FBCOs. Each key contact person at the FBCO will receive the survey through a mail package in May 2007 with a short description of the study. ACF will send an introductory letter (see Attachment C) alerting the former grantees about the study and encouraging participation and timely response.

B.3 Methods to Maximize Response Rates

ACF expects to achieve an 80% response rate on the mini-grant survey. This is higher than the 72% rate that was achieved in the prior retrospective study of FBCOs that had received a sub-award from a CCF intermediary grantee. We anticipate a higher response rate from organizations with which ACF had a direct relationship via a grant award. In addition, we are allowing more time to conduct telephone follow-up with non-respondents. If the individual who has been identified as the key contact person has left a particular organization, we will rely on responses from a similarly qualified staff representative from that organization. To maximize response rates the contractor will follow-up by phone with respondents who fail to meet the initial deadline and will offer to administer the survey over the phone.

B.4 Test of Procedures

The survey instrument has been drafted and reviewed by the contractor and ACF staff. The survey instrument includes many of the questions that were used in the previous retrospective survey of faith-based and community organizations and in the baseline survey that is being used in the CCF Demonstration Evaluation outcome and impact study.¹ The prior instruments were pre-tested with officials of grassroots organization similar to the respondents in the proposed study. The pre-tests indicated that the questions were clear to respondents and addressed organizational capacity development areas relevant to their experience.

B.5 Individuals Consulted on Statistical Aspects of Design

The plans for statistical analyses for this study were developed by Branch Associates Inc. The team is led by Barbara Fink, Project Director. Other research team members include, Cynthia Sipe and Jennifer Thompson (Branch Associates). Contact information is provided below.

Barbara Fink, Cynthia Sipe, and Jennifer Thompson
Branch Associates, Inc.
Philadelphia, PA 19019
215-731-9980

¹ The OMB number for the previous retrospective study is 0970-0279; the OMB number for the baseline survey is 0970-0293.

Appendix A – Public Comments

Public Comments/Request for copy of Info Collection – Targeted Capacity Building Program
Retrospective Study

From: Amanda Gartland [mailto:Agartland@coanet.org]
Sent: Friday, December 08, 2006 12:19 PM
To: InfoCollection (ACF)
Subject: information collection

To Whom It May Concern:

I was wondering if you would be able to forward me a copy of the Indicators of Organizational Capacity Survey that ACF is going to send to faith-based and community organizations. This information can be forwarded to me at agartland@coanet.org or at the following address:

Amanda Gartland
Senior Government Relations Associate
COA
120 Wall Street
11th Floor
New York, NY 10005

-----Original Message-----

From: McGinnis, Marilyn [mailto:mcginnism@SacCounty.net]
Sent: Thursday, December 07, 2006 12:35 PM
To: InfoCollection (ACF)
Subject: Proposed collection of information for the Compassion Capital Fund

Hello,

I would like to see copies of the proposed collection of information for the Compassion Capital Fund.

Marilyn McGinnis
(916) 591-1809

From: Bk1492@aol.com [mailto:Bk1492@aol.com]
Sent: Thursday, December 07, 2006 9:07 AM
To: InfoCollection (ACF); comments@whitehouse.gov; vicepresident@whitehouse.gov; media@cagw.org
Subject: public comment on federal register of 12/7/06 vol 71 pg 70972

fed reg doc 06 9581 dhs acf compassion capital fund info collection

this is a new spending of tax dollars for data about 250 organizations. this govt program is probably as wasteful in spending tax dollars as fema did with katrina, where they paid people thousands who already had housing. fema also paid for foreign students who should not have received any federal tax dollars. i am not in favor of this spending of tax dollars. it is clear our agencies are far far too wasteful with american tax dollars.

b. sachau

15 elm st

florham park nj 07932

From: Thompson, Kevin - ETA [mailto:Thompson.Kevin@dol.gov]
Sent: Thursday, February 01, 2007 8:52 AM
To: InfoCollection (ACF)
Subject: Request for ICR

Please provide a copy of the document associated with

Title: Compassion Capital Fund Evaluation--Indicators of
Organizational Capacity Among Targeted Capacity Building Program
Grantees.

OMB No.: New Collection.

The announcement appeared in today's (February 1) Federal Register.

Thank you!

Kevin Thompson
Office of Workforce Investment
Employment and Training Administration
U.S. Department of Labor

Appendix B

Proposed Letter from ACF to Accompany Mini Grantee Survey

Dear Targeted Capacity Building Program Grantee:

As a participant in the Compassion Capital Fund's Targeted Capacity Building Program, we salute and applaud the critical work you undertake and its vital impact on your local area. As you know, the Compassion Capital Fund (CCF) is a major component of the President's Faith-based and Community Initiative. As such, it is important that we objectively assess the program and its accomplishments.

The Administration for Children and Families (ACF) has contracted with Branch Associates to conduct a study of the Targeted Capacity Building Program, also known as the "mini grant" program. This study seeks to gather information about organizational capacity-building activities undertaken by organizations such as yours that received mini grant awards and to document the benefits derived from those activities. The study will include mini grant recipients from 2003, 2004, and 2005. Your input into this research is critical to its success, and to the greater success and sustainability of the Compassion Capital Fund Program.

A survey instrument and instructions are enclosed. Please note that responses to this data collection will be used only for statistical purposes. The reports prepared for this study will summarize findings across organizations and will not associate responses with a specific organization or individual.

The success of this part of the CCF evaluation depends on receipt of responses from all of the organizations in the study, rendering your participation crucial to this process. We are fully aware of the many demands on your time and we greatly appreciate the time you will take out of an already busy day to complete the enclosed survey. We expect the results will clearly demonstrate to others the importance of the work supported through the Compassion Capital Fund and its benefits to faith-based and community organizations such as yours. The survey may also highlight areas where we might consider making changes or improvements.

Please use the enclosed pre-addressed, stamped envelope to return the survey by [date.] If you have any questions about the study or the requested information, please contact the lead researcher, Barbara Fink of Branch Associates at 215-731-9980 or bfink@branchassoc.com.

Thank you for your part in this important work and for your participation in this study.

Sincerely,

Josephine Robinson
Director
Office of Community Services