Performance Objectives

Based on the experience of NeighborWorks America and its network, the Organizational Assessment Department has identified five key objectives which are most essential to successful organizational operations in the area of PRODUCTION AND PROGRAM SERVICES. These objectives are outlined below. The last paragraph identifies the risks which may ensue from a failure to reach these objectives.

1) **Impact:** The organization has identified, approved and implemented program services (lines of business) and production that are consistent with its mission, plans, and goals, meeting community needs, partnership goals, funding source expectations.

2) **Sustainability:** The organization’s program services have produced added value for the organization, community and funding partners, and provide a base and/or track record to sustain and/or expand its efforts.

3) **Capacity:** The organization’s staffing, professional services, partnerships and volunteers (including board and committees) are adequate and appropriately skilled to sustain and/or expand its production and program service goals and future commitments.

4) **Monitoring:** The organization has established a process to regularly compare current progress and capacity with future expectations and challenges to ensure that services are in place to meet (sustain) multi-year goals and obligations.

5) **Infrastructure:** The organization has implemented policies, procedures, and documentation systems to ensure its programs and service delivery practices are consistent and sufficient to meet partnership expectations and funding source and regulatory requirements.

**Risk:** Services that do not meet partnership and funding source expectations can lead to dissatisfaction and reduced participation and support. Services that do not meet internal goals can lead to poor financial performance and a lack of sustainability. Attempting services beyond the organization's mission or capacity can lead to wasted resources and lessened cost effectiveness. Inadequate infrastructure can lead to non-compliance and a loss of resources.
PRODUCTION AND PROGRAM SERVICES

SELF-ASSESSMENT

WORKSHEETS
**PRODUCTION AND PROGRAM SERVICES**

**Overall Self-Assessment Worksheet**

**Lines of Business:** (Check all that apply)
The organization has staff and/or a budget for the following areas:

- [ ] Homeownership Preservation
- [ ] Homeownership Promotion
- [ ] Community Building and Engagement
- [ ] Other:
- [ ] Property Management
- [ ] Real Estate Development/Asset Management
- [ ] Lending and Loan Portfolio Management
- [ ] Other:

**Dominant or Core Line(s) of Business:** ________________________________________

**Overall Assessment:** (Rate as Exceed/Meet/Meet with Concern/Fail)
Only complete after completing line of business self-assessment worksheets that follow.

- [ ] **Exceed Standards, as evidenced by:**
  - [ ] Core line of business competency
  - [ ] Sustained and stable services
  - [ ] Board approved line of business policies
  - [ ] Achieving board approved plans and goals
  - [ ] Core line of business profitability
  - [ ] Meeting partner/contractual expectations
  - [ ] Achieving Customer Satisfaction
  - [ ] Other:

- [ ] **Meet Standards, as evidenced by:**
  - [ ] Services consistent with annual plans & goals
  - [ ] Services consistent with resource availability
  - [ ] Meeting partner/contractual expectations
  - [ ] Evidence of modest impact

**Areas for Improvement (self-identified):**
- ____________________________________________________________
- ____________________________________________________________
- ____________________________________________________________
- ____________________________________________________________

- [ ] **Meet with Concern, as evidenced by multiple areas for improvement (above) or declining trends.**

- [ ] **Fail Standards, as evidenced by:**
  - [ ] Inconsistent delivery of services
  - [ ] Services below expectations
  - [ ] Inadequate staffing, management, or resources
  - [ ] Failure to produce community impact

**Corrective Actions (self-identified):**
- ____________________________________________________________
- ____________________________________________________________
- ____________________________________________________________
- ____________________________________________________________
Homeownership Preservation  
Self-Assessment Worksheet

Preservation Services Offered:

☐ Foreclosure mitigation counseling  ☐ Reverse Mortgage Counseling
☐ Owner-Occupied Rehabilitation  ☐ Refinancing Counseling

Assessment Questions:

Are goals documented and has production in each category of service met plans and goals?  
Notes and Comments on Trends:

How has this line of business added value to the community and to partners? Describe the impact of the programs.

Will this line of business be sustained, expanded, or contracted going forward?

Does this line of business make or lose money?

Do staff have certifications, including those for Full Cycle Lending designation?

How does the board provide oversight?

How does management monitor performance?

Are there up-to-date policies and procedures for each category of service?

Are there any known compliance issues?

Documentation:

☐ Intake and Action Plan Forms for Clients  ☐ Policies and procedures for each service
☐ Customer Satisfaction Surveys  ☐ Production/Tracking reports for each service
☐ Line of Business Budget  ☐
Homeownership Promotion
Self-Assessment Worksheet

Homeownership Promotion Services Offered:

☐ Pre-purchase counseling  ☐ Financial Fitness
☐ Post-purchase counseling

Assessment Questions:

Has production in each category of service met plans and goals?

Notes and Comments on Trends:

How has this line of business added value to the community and to partners? Describe the impact of the programs.

Will this line of business be sustained, expanded, or contracted going forward?

Does this line of business make or lose money?

Do staff have certifications, including those for Full Cycle Lending designation?

How does the board provide oversight?

How does management monitor performance?

Are there any known compliance issues?

Are there up-to-date policies and procedures for each category of service?

Do the majority (>60%) of homebuyers receive at least eight hours of education?

Documentation:

☐ Intake and Action Plan Forms for Clients  ☐ Policies and procedures
☐ Homeownership Center Business Plan  ☐ Homebuyer Education Materials
☐ HUD 9902 Reports  ☐ Financial Fitness Materials
☐ Customer Satisfaction Surveys  ☐ Production/Tracking reports
☐ Line of Business Budget  ☐
Community Building and Engagement
Self-Assessment Worksheet

Community Building and Engagement Services Offered:

- Individual Leadership Training
- Supporting Resident Driven Groups
- Facilitating Community Events
- Other:

Assessment Questions:

**Has production in each category of service met plans and goals?**

Notes and Comments on Trends:

**How has this line of business added value to the community and to partners? Describe the impact of the programs.**

**Will this line of business be sustained, expanded, or contracted going forward?**

**Does this line of business make or lose money?**

**How are community building and engagement activities integrated with other internal programs and lines of business?**

**How does the board provide oversight?**

**How does management monitor performance?**

Documentation:

- Intake and Action Plan Forms for Clients
- Customer Satisfaction Surveys
- Line of Business Budget
- Policies and procedures
- Program Related Materials
- Production/Tracking reports
Property Management
Self-Assessment Worksheet

Property Management Services Offered:
☐ Self-Management of Residential Property  ☐ 3rd Party-Management of Residential Property
☐ Self-Management of Commercial Property  ☐ 3rd Party-Management of Commercial Property

Assessment Questions:

Has property management performance met plans and goals?
☐ Collections Rates  ☐ Profitability
☐ Vacancy Rates  ☐ Other:
☐ Turnover Rates

Notes and Comments on Trends:

How has this line of business added value to the community and to partners? Describe the impact of the programs.

Will this line of business be sustained, expanded, or contracted going forward?

Does this line of business make or lose money? (Note: This should not include asset management. Income should be fees and expense be those associated with running the property management business.)

How is property management integrated with asset management and real estate development decisions?

How does the board provide oversight?

How does management monitor performance?

Are there any known compliance issues?

Documentation:
☐ Policies and Procedures  ☐ Financial reports for properties
☐ List of Properties Owned/Managed with details (units, location, funding source, etc)  ☐ Operational Reports (occupancy, collections, etc)
☐ Organizational chart showing PM staffing  ☐ Minutes from board meeting regarding PM
☐ Customer Satisfaction Surveys  ☐ Management Plans for Properties
☐ Line of Business Budget  ☐ Tax Credit, HUD, or other funding source regulatory reviews
Real Estate Development
Self-Assessment Worksheet

Real Estate Development Services Offered:
- ☐ Multifamily Property Development
- ☐ Single Family Development
- ☐ Commercial Development
- ☐ Mixed-Use Development

Assessment Questions:

Has production in each category of service met plans and goals?
Notes and Comments on Trends or Market Issues affecting production:

How has this line of business added value to the community and to partners? Describe the impact of the programs.

Will this line of business be sustained, expanded, or contracted going forward?

Does this line of business make or lose money?

Does the organization have a pipeline to support the goals of the organization?

How does the board provide oversight?

How does management monitor performance?

Are there any known compliance issues?

How does the organization intend to finance future developments? Are expectations realistic?

Documentation:
- ☐ Policies and Procedures
- ☐ List of properties developed over past 3 yrs
- ☐ Proformas for past projects and those in pipeline
- ☐ Customer Satisfaction Surveys
- ☐ Minutes from board meeting regarding real estate development
- ☐ Pipeline
- ☐ Tax Credit, HUD, or other funding source regulatory reviews (Ex: HOME)
- ☐ Line of Business Budget
Asset Management
Self-Assessment Worksheet

Assets Managed:
☐ Multifamily Rental Property
☐ Commercial Property
☐ Single Family Rental Property

Assessment Questions:

Has performance in each category of service met plans and goals?
Notes and Comments on Trends or Market Issues affecting performance:

How has this line of business added value to the community and to partners? Describe the impact of the programs.

Will this line of business be sustained, expanded, or contracted going forward?

Does this line of business make or lose money?

How does the board provide oversight?

How does management monitor performance?

Are there any known compliance issues?

Does the asset management plan include: property specific plans, cash flow monitoring, capital needs assessments, deal books, and debt schedules?

Documentation:
☐ Policies and Procedures
☐ List of properties owned with descriptions
☐ Financial Reports for properties
☐ Any Management Agreements with third parties
☐ Asset Management Plan(s)
☐ Must pay debt schedules
☐ Required reserve payment schedules
☐ Operational Reports (occupancy, cash flow, etc)
☐ Tax Credit, HUD, or other funding source regulatory reviews (Ex: HOME)
☐ Minutes of last board/committee meeting related to asset management
☐ Line of Business Budget
Lending and Loan Portfolio Management
Self-Assessment Worksheet

Loan Products and Loans Serviced:
☐ Residential First Mortgages    ☐ Commercial Loans
☐ Residential Subordinate Mortgages

Assessment Questions:

Has production and performance in each category loans met plans and goals?
Notes and Comments on Trends or Market Issues affecting performance:

How has this line of business added value to the community and to partners? Describe the impact of the programs.

Will this line of business be sustained, expanded, or contracted going forward?

Does this line of business make or lose money?

How does the board provide oversight? Does oversight include a process to set an appropriate loan loss reserve?

How does management monitor performance? Does the monitoring system include a schedule of aging loans and write-offs?

Are there any known compliance issues? Have TRID regulations been implemented?

What are the sources of loan capital and are they sufficient to sustain or expand efforts?

How does portfolio performance compare with Minimum Prudent Standards?

Documentation:
☐ Loan Underwriting Guidelines and Procedures
☐ Loan Portfolio Listing, by funder, if possible
☐ Loan committee minutes
☐ Internal Audit and Internal Control Program Guidelines/Protocol
☐ Line of Business Budget
☐ Loan Servicing Guidelines
☐ Operational Reports
☐ Loan Document Control Guidelines and Procedures
☐ Loan Sales and Servicing Policies and Procedures (if appropriate)
MODULE II
Resource Management

Performance Objectives

Based on the experience of NeighborWorks America and its network, the Organizational Assessment Department has identified two key objectives which are most essential to successful organizational operations in the area of RESOURCE MANAGEMENT. These objectives are outlined below. The last paragraph identifies the risks which may ensue from a failure to reach these objectives.

1) **Sustainability**: The organization has planned for and/or raised adequate resources (including reserve funds) to support current year operating and capital needs including cash flow and reserve needs (operating AND each significant LOB). The resource development strategies (operating AND capital) are clearly documented, with specific goals, timetables and responsibilities and reflect a goal of achieving a broad base (grants, contracts, contributions, fees, earnings, etc.) of continued support.

2) **Capital & Liquidity**: The organization has accumulated adequate operating and capital reserves and net assets to sustain the organization beyond the current year and to potentially expand its activities.

**Risk**: Unrealistic fund-raising projections, poor strategies and limited efforts can lead to funding deficits. An inability to evaluate cash flow requirements can cause inadequate reserves to meet funding needs. A lack of specific resource development plans can lead to lost fund-raising opportunities.
RESOURCE MANAGEMENT

SELF ASSESSMENT

WORKSHEETS
Resource Management

Overall Self-Assessment Worksheet

Overall Assessment: (Rate as Exceed/Meet/Meet with Concern/Fail)

☐ **Exceed Standards, as evidenced by:**
  - Stable supply/sources of resources/revenues
  - Positive cash flows that sustain org. and programmatic needs
  - Org. regularly achieves net operating surpluses
  - Org. maintains a positive net asset position

☐ **Meet Standards, as evidenced by:**
  - Adequate resources provide cash flow to sustain org. and programmatic needs
  - Typically budget and raise revenues equal to expenses
  - Positive Net Asset Position

Areas for Improvement (self-identified):
- 
- 
- 
- 

☐ **Meet with Concern, as evidenced by multiple areas for improvement (above) or declining trends.**

☐ **Fail Standards, as evidenced by:**
  - Inadequate resources to meet operating and capital resource needs
  - Periodic operating deficits
  - Interrupted/Reduced Services or Asset Reduction
  - Inability to meet contractual and funding commitments

Corrective Actions (self-identified):
- 
- 
- 
- 

Performance Objectives

Based on the experience of NeighborWorks America and its network, the Organizational Assessment Department has identified three key objectives which are most essential to successful organizational operations in the area of FINANCIAL MANAGEMENT. These objectives are outlined below. The last paragraph identifies the risks which may ensue from a failure to reach these objectives.

1) **Management**: The organization has established and maintains adequately trained staffing, management, and governance oversight capacity related to resource and financial management.

2) **Financial Reporting and Internal Controls**: The organization has established, documented and maintains an accounting structure and financial recordkeeping procedures and practices that provide/indicate adequate internal controls, safeguard its resources, and produce accurate and timely records for operating and program services (major lines of business).

3) **Monitoring and Planning**: The organization has implemented a reliable and ongoing process to effectively monitor and sustain the organization's financial health, including the preparation of adequate financial planning and oversight reports (budget, budget-to-actual comparison, cash flow projection, operating and development pro forma and capital needs projections).

**Risk**: Inadequate accounting systems and procedures, improper or untimely record keeping, and insufficient staffing, reporting and oversight can lead to poor financial decisions and practices that jeopardize the organization’s viability, audit quality and fund-raising potential.
FINANCIAL MANAGEMENT

Overall Self-Assessment Worksheet

Overall Assessment: (Rate as Exceed/Meet/Meet with Concern/Fail)

☐ Exceed Standards, as evidenced by:

☐ Effective board/committee/management structures that provide adequate guidance and support for resource development, as evidenced by:
  o financial sustainability
  o financial growth
  o compliance with goals
  o compliance with legal and funder expectations

☐ Exceptional staff capacity as evidenced by:
  o budgets
  o budget to actual comparisons
  o cash flow projections and accurate forecasting tools
  o monitoring and planning reports

☐ Effective board/committee/management structures that provide effective oversight

☐ Meet Standards, as evidenced by:

☐ Board/committee/management oversight exists, but areas for improvement exist to maximize resource development, operations, or line of business oversight

☐ Additional tools are needed or improvements needed to maximize operations

Areas for Improvement (self-identified):

☐ Meet with Concern, as evidenced by multiple areas for improvement (above) or declining trends.

☐ Fail Standards, as evidenced by:

☐ Board and management have failed to approve or implement processes to monitor finances

Corrective Actions (self-identified):

☐ Accounting and audit practices do not provide or indicate adequate internal controls or timely and accurate information to meet funder expectations
Performance Objectives

Based on the experience of review staff throughout the NeighborWorks® network, the Program Review Department has identified five key objectives which are most essential to successful organizational operations in the area of ORGANIZATIONAL MANAGEMENT AND BOARD GOVERNANCE. These objectives are outlined below. The last paragraph identifies the risks which may ensue from a failure to reach these objectives. The term ENSURE (as opposed to ENCOURAGE) signifies a higher level of risk to the organization if the objective is not met.

1. **Board Governance:** The board has built and sustained an effective board of directors.

2. **Management of the Chief Executive Officer/Executive Director:** The board has selected, supported, and evaluated the chief executive officer/executive director.

3. **Strategic Planning and Evaluation:** The board has created a strategic plan for the organization, regularly evaluates progress toward the plan, and approves necessary course corrections.

4. **Organizational and Programmatic Promotion and Oversight:** The board monitors and strengthens the organization and its programs and services.

5. **External Support and Compliance:** The board ensures financial legal, and ethical integrity of the organization.

**RISK:** Insufficient exercise of management and oversight responsibilities could create unnecessary liabilities for the corporation and its members. Inadequate volunteer participation and orientation, and a lack of cyclical staff evaluations and training, can lead to ineffective board, committee and staff functioning and unproductive turnovers.
ORGANIZATIONAL MANAGEMENT
AND
BOARD GOVERNANCE

SELF ASSESSMENT

WORKSHEETS
Overall Self-Assessment Worksheet

Overall Assessment: (Rate as Exceed/Meet/Meet with Concern/Fail)

☐ Exceed Standards, as evidenced by:
  - Effective board of directors
  - Selected, supported, and regularly evaluate CEO/ED
  - Created/Approved a strategic plan and regularly evaluate progress, approving any needed course corrections
  - Monitors and strengthens the organization and its programs and services
  - Ensured financial, legal, and ethical integrity
  - Implemented all best practices described on following best practices page

☐ Meet Standards, as evidenced by:
  - Effective board of directors
  - Selected, supported, and regularly evaluate CEO/ED
  - Created/Approved a strategic plan and regularly evaluate progress, approving any needed course corrections
  - Monitors and strengthens the organization and its programs and services
  - Ensured financial, legal, and ethical integrity
  - HAVE NOT implemented all best practices described on following best practices page

Areas for Improvement (self-identified, typically based on best practices worksheet):
  •
  •
  •

☐ Meet with Concern, as evidenced by multiple areas for improvement (above) or declining trends.

☐ Fail Standards, as evidenced by:
  - Ineffective board resulting in delayed or irregular decision making and oversight
  - Governance model is unclear or inconsistently practices
  - No clear vision, decision making, or commonly understood goals
  - Failure to secure resources needed for org. to accomplish goals
  - Failure to sustain competent executive staff
  - Failure to maintain constructive partnership with management
  - Failure to ensure that org. is meeting partnership and contractual commitments
  - Failure of duty to care leading to real or potential legal and reputational risk, including lack of compliance with the NW Charter Agreement

Corrective Actions (self-identified):
  •
  •
### Self-Assessment, Best Practices Worksheet

<table>
<thead>
<tr>
<th>Performance Objective</th>
<th>Y/N</th>
<th>Performance Objective</th>
<th>Y/N</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Board Governance</strong></td>
<td></td>
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<tr>
<td>Recruit and sustain a diverse group of knowledgeable members</td>
<td></td>
<td>Articulate the mission, accomplishments and goals to the public and garner support</td>
<td></td>
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<tr>
<td>Diversity of board tenure and adequate institutional knowledge. Regular rotation of board and committee chairs.</td>
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<td>Hold management accountable for performance against the stated goals, grant and contractual commitments.</td>
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<tr>
<td>Documented orientation process</td>
<td></td>
<td>Implemented reporting practices at the board (and committee) level that allow for oversight of programs, LOB and operations.</td>
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<tr>
<td>Documented board (and committee) roles and responsibilities</td>
<td></td>
<td>Adequate financial resources are secured (e.g. healthy liquidity, multi-year surpluses, healthy debt ratios)</td>
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</tr>
<tr>
<td>Continuous training opportunities that increase board members’ contribution</td>
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<td></td>
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<tr>
<td>Meeting practices that promote constructive dialogue, timely decisions and support fiduciary, strategic and generative leadership</td>
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<td>Documented self-assessment and action plan at least once every three years</td>
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<tr>
<td><strong>2. Management of the Chief Executive Officer/Executive Director</strong></td>
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<td><strong>5. External Support and Compliance</strong></td>
<td></td>
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<tr>
<td>Documented responsibilities of the CEO/ED</td>
<td></td>
<td>Review of annual audit including adequate financial controls</td>
<td></td>
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<tr>
<td>Documented goals to be achieved by the CEO/ED. Monitoring of the goals by the board</td>
<td></td>
<td>Adherence to legal standards and required documents (e.g. IRS Form 990, fidelity insurance with NWA as loss payee, whistle blower policy, document destruction policy)</td>
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<tr>
<td>Documented annual evaluation of the CEO/ED</td>
<td></td>
<td>Compliance with contractual obligations and grant agreements</td>
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<tr>
<td>Identify and resolve issues with or beyond the control of management that present risk</td>
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<td>Signed conflict of interest statements annually</td>
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<tr>
<td>Documented and implemented succession plan</td>
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<td>Compliance with by-laws</td>
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<tr>
<td><strong>3. Strategic Planning and Evaluation</strong></td>
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<tr>
<td>Documented mission statement used in strategic decision making</td>
<td></td>
<td>Compliance with NeighborWorks charting agreement including but not limited to resident representation</td>
<td></td>
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<tr>
<td>Documented strategic plan</td>
<td></td>
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<td></td>
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<tr>
<td>Approved annual operating plan</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Annual budget</td>
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</tbody>
</table>
Performance Objectives

Based on the experience of review staff throughout the NeighborWorks® network, the Program Review Department has identified four key objectives which are most essential to successful organizational operations in the area of MANAGEMENT: STAFFING AND PERSONNEL. These objectives are outlined below. The last paragraph identifies the risks which may ensue from a failure to reach these objectives. The term ENSURE (as opposed to ENCOURAGE) signifies a higher level of risk to the organization if the objective is not met.

1. **STAFFING MODEL AND STRUCTURE:** The organization has established and clearly identifies functional units, employee titles and responsibilities, and professional service agreements for fulfilling the organization’s mission, program services, internal operation and partnership obligations.

2. **HUMAN RESOURCES POLICIES AND PRACTICES:** The organization has established and documented human resource policies and maintains a practice of providing annual (or periodic) evaluations of its paid staff and professional service contract employees in fulfilling defined roles and responsibilities (job descriptions and work plans.)

3. **RECRUITMENT AND STAFF DEVELOPMENT:** The organization has established and maintains staff recruitment, compensation and skill development programs that provide and retain knowledgeable and committee staff (for unified vision, corporate internal functions, and each line of business.)

4. **STAFF MEETINGS AND REPORTING PRACTICES:** The organization is encouraged to establish, document, and maintain staff meeting and reporting practices in a manner that is consistent with its staffing model and results in timely and coordinated activities and decisions to sustain the organization's health, internal operations and services.

**RISK:** Insufficient exercise of management and oversight responsibilities could create unnecessary liabilities for the corporation and its members. Inadequate volunteer participation and orientation, and a lack of cyclical staff evaluations and training, can lead to ineffective board, committee and staff functioning and unproductive turnovers.
MANAGEMENT: STAFFING & PERSONNEL

SELF ASSESSMENT WORKSHEET
Overall Self-Assessment Worksheet

Overall Assessment: (Rate as Meet/Fail)

☐ Meet Standards, as evidenced by:

☐ Adequate staff capacity to sustain current programs and support organizational functions
  ○ Skill adequacy for each line of business
  ○ Vacant positions filled in a timely manner
  ○ Clear org. chart

☐ Practices result in staff who understand work expectations and current year performance
  ○ Up to date work plans and job descriptions
  ○ Up to date Human Resources policies and procedures
  ○ Polices include anti-nepotism, whistleblower, and conflict of interest

Areas for Improvement (self-identified):
  • 
  • 
  •

☐ Fail Standards, as evidenced by:

☐ Inadequate number of trained staff to perform organizational and programmatic functions

☐ High staff turnover rates that cause the org. to not achieve commitments and goals

Corrective Actions (self-identified):
  • 
  • 
  •

☐ Staff recruitment, development, compensation and meeting practices result in knowledgeable and committed staff
  ○ No excessive staff turnover
  ○ Process for establishing salaries
  ○ Staff development and cross-training practices in place
  ○ Staff meeting have regular meeting practices

☐ Irregular or poor performance of staff due to unclear/poor staffing structure, work plans, performance evaluation, recruitment, compensation, development, or communication practices.
Performance Objectives

Based on the experience of review staff throughout the NeighborWorks® network, the Program Review Department has identified four key objectives which are most essential to successful organizational operations in the area of PLANNING. These objectives are outlined below. The last paragraph identifies the risks which may ensue from a failure to reach these objectives. The term ENSURE (as opposed to ENCOURAGE) signifies a higher level of risk to the organization if the objective is not met.

1. **Annual Business Plan:** The board in partnership with senior staff has established a mission and annual operating/business plan that clearly identifies its primary lines of business, goals, needs (staff, funds, partners, skills, systems, etc.) and outcomes related to community revitalization and the production of affordable housing to benefit low-moderate income communities and households.

2. **EVALUATION:** The board in partnership with senior staff has implemented a process to evaluate the success of its plans (including each major line of business), achievement of goals and impact (outcomes), continued relevance to the community and partners, adequacy of resources and staffing to sustain efforts, effectiveness of service delivery strategies and approached and ability to adapt in a timely manner.

3. **STRATEGIC PLAN:** The organization is encouraged to establish a multi-year strategic plan that identified its organizational and line of business goals, needs, and outcomes.

4. **PROCESS:** The organization is encouraged to implement a planning process that involved its board and staff leadership including adequate representation and/or information from its customers and partnership stakeholders to ensure an understanding of the community needs and expectations, as well as the organization’s capacity and its potential and/or limitations to achieve its plans.

**RISK:** Undefined, undocumented, and unapproved goals fail to provide clarity to board members and staff, and could lead to inconsistent or inappropriate services, limited impact and wasted resources. A lack of cyclical planning can reduce consensus and jeopardize that organization’s image, resources and effectiveness.
PLANNING

SELF ASSESSMENT

WORKSHEET
PLANNING

Overall Self-Assessment Worksheet

Overall Assessment: (Rate as Meet/Fail)

☐ Meet Standards, as evidenced by:

☐ Annual Operating/Business Plan: The board in partnership with senior staff has established an annual plan that:
  ☐ Includes each line of business
  ☐ Includes goals
  ☐ Identifies needs (funding, staffing, partners, etc.)
  ☐ Defines desired outcomes

☐ The organization evaluates progress against the plan used agreed upon benchmarks and goals.
  ☐ Work plans tie to the achievement of the goals of the annual plan
  ☐ Regular monitoring includes staff and board
  ☐ Course corrections are made when necessary

Areas for Improvement (self-identified):

•
•
•

☐ Strategic Plan: The organization has established a multiyear strategic plan that:
  ☐ Identifies organizational and line of business goals and outcomes
  ☐ Identifies needs to achieve the goals and outcomes
  ☐ Identifies capacity, staffing, partnership and resource needs

☐ Inclusive Planning process that involved board, staff, and community and partner stakeholders.

☐ Fail Standards, as evidenced by:

☐ Plans are not adequate to guide the organization’s resources or programs resulting in limited production and impact

☐ High staff turnover rates that cause the org. to not achieve commitments and goals

Corrective Actions (self-identified):

•
•
•

☐ The organization does not monitor progress on a regular basis to determine if strategies, goals, and production are meeting local needs or partnership/contractual commitments.

☐ Starting in May 2017: The organization does not have a multiyear strategic plan
Performance Objectives

Based on the experience of review staff throughout the NeighborWorks® network, the Program Review Department has identified four key objectives which are most essential to successful organizational operations in the area of TECHNICAL OPERATING AND COMPLIANCE SYSTEMS. These objectives are outlined below. The last paragraph identifies the risks which may ensue from a failure to reach these objectives. The term ENSURE (as opposed to ENCOURAGE) signifies a higher level of risk to the organization if the objective is not met.

1. The organization has established, documented, and maintains a contract management system that identifies oversight, documentation and reporting responsibilities to ensure compliance with:
   a. Resource and program service contracts and lines of business standards.
   b. Professional service agreements (accounting, audit, legal, property management, loan servicing, specialized assessment and plans, training and technical assistance, computer support, etc.)
   c. Affiliated entity eservice agreements and capital resource transactions.

2. The organization has established and maintains a process to review all contracts and agreements (funding, programmatic, insurance, partnership, etc.) prior to approval to ensure that the obligations and impacts on the organization (internal operating and management systems, staffing issues, budget and cash flow implications, potential trade-offs, program service policies and procedures, board and committee participation, changes in partnership expectations and community image) are clearly understood and appropriately integrated into its business/strategic plans.

3. The organization’s service delivery procedures, practices, client management systems, documents and records comply with regulations and partner expectations and provide accurate and timely production reporting to NeighborWorks America and other significant funders. A process is in place to ensure that policies, procedures, practices, records and client management systems practices stay current with organizational changes, applicable regulations and line of business standards.
4. The organization is encouraged to periodically evaluate its service delivery policies, procedures, practices and client management systems to maximize staff service delivery efficiency and coordination and to provide annual and multi-year trend analyses.

RISK: Lack of written and approved operating policies and procedures for each major program service component may lead to inconsistent and unapproved service delivery. Failure to implement adequate client management, service delivery and contract management systems can lead to incomplete or inappropriate documentation, non-conformance with contracts and loss of funding. Failure to identify legal and contract demands prior to their approval can lead to unexpected liabilities and a loss of credibility and funding.
TECHNICAL OPERATING
AND COMPLIANCE SYSTEMS

SELF ASSESSMENT

WORKSHEETS
Technological Operating and Compliance Systems

Self-Assessment Worksheet

Overall Assessment: (Rate as Meet/Fail)

☐ Meet Standards, as evidenced by:

☐ Org. tracks, documents, and reports its services

☐ Client management systems result in accurate and timely documentation for reporting

☐ Contracts are documented, management responsibility is clear and followed.

Areas for Improvement (self-identified):

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☐ Fail Standards, as evidenced by:

☐ Org. cannot track services and production and services are delivered inconsistently or insufficiently resulting in a failure to achieve goals, customer dissatisfaction or loss of partners/resources

Corrective Actions (self-identified):

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☐ Org. has failed to manage existing contracts or to document an agreement/contract so that there is risk of failure or loss of resources/partners.