



*Community Services & Revitalization Review:
A Roadmap to Excellence*

Department Review Initiated

By Mayor Greg Fischer

2012

LOUISVILLE METRO DEPARTMENT OF
**COMMUNITY SERVICES
AND REVITALIZATION**

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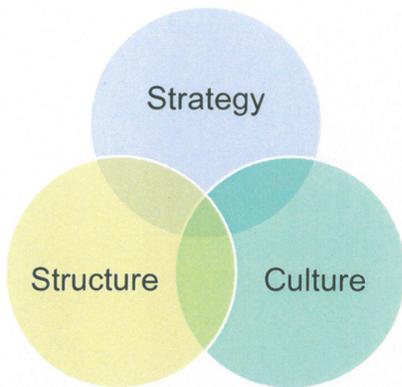
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LOUISVILLE METRO DEPARTMENT OF
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TABLE OF CONTENTS

INTRODUCTION	2
OVERVIEW OF METHODOLOGY	3
EXECUTIVE SUMMARY	3
RECOMMENDATIONS	5
ANALYSIS	14
INTERVIEW PROCESS	14
SWOT ANALYSIS	14
ENGAGEMENT SURVEY	18
BENCHMARK DATA	20
SATISFACTION SURVEY DATA	23
CLIENT FEEDBACK	23
PARTNER / AGENCY FEEDBACK	24
APPENDIX	26
REVIEW TEAM BIOS	27
DIRECTOR PROFILE	29
ENGAGEMENT SURVEY & RESULTS	33
BENCHMARK DATA	34
CLIENT SATISFACTION SURVEY & RESULTS	35
PARTNER/RECIPIENT AGENCY RELATIONSHIP FEEDBACK	36
FINANCIAL & RESOURCE ALIGNMENT OF CSR	37
PUBLISHED STATISTICAL DATA	38
SUPPORTING TOOLS & DOCUMENTS	39



*CONDUCT AN IN DEPTH REVIEW
OF THE DEPARTMENT'S
STRATEGY, STRUCTURE, AND CULTURE
LOOKING FOR OPPORTUNITIES
TO TAKE THE DEPARTMENT
TO THE NEXT LEVEL OF EXCELLENCE!*

INTRODUCTION

Mayor Greg Fischer's stated purpose of "Dare to be Great" fuels the execution of his leadership vision to make Metro Louisville "the best municipal government in the United States." Since 2011, Fischer commissioned review teams to assess the effective and efficient delivery of public services by Louisville's municipal government. Metro Louisville is challenged to drive progress through the use of data, continuous improvement and breakthrough methods connected to the most important community needs for quality of life and economic health.

This review team was charged with looking to identify current internal best practices, determine key strategic challenges, assess the leadership team, look for potential blind spots, and review the systems for process improvement specific to the Community Services & Revitalization (CSR) Department. The CSR mission is designed to assist residents in establishing long-term economic, physical, and social well-being by focusing on four major areas: crisis emergency assistance, efficient housing at various price points, household income supports, and advocacy for special needs populations.

The CSR Review Team examined the organizational situation using the three essential building blocks of an agile organization: Strategy, Structure, and Culture. Additionally, the Louisville Metro Citizen's Bill of Rights and the Baldrige Criteria for Performance Excellence were valuable tools used by the review team members to evaluate the accomplishment of mission and strategic objectives to enhance societal wellbeing and to produce benefits for the citizens. Results reported cover the most important requirements for CSR organization's success, highlighted in the Leadership, Strategic Planning, Customer Focus, Workforce Focus, and Operations Focus sub-categories. The following building blocks of an agile organization and key criteria for performance excellence were used to support this review:

STRATEGY –

- Mission, Vision and Values
- Leadership Effectiveness
- Strategic Planning
- Goals/Results Focus

STRUCTURE –

- Decision Making Process
- Policies & Procedures
- Knowledge Management
- Resource Allocation & Alignment
- Business Results

CULTURE –

- Support of Metro's Values
- Quality Customer Service
- Staff Engagement
- Communications & Transparency
- Trust & Teamwork
- Improvement Focus

OVERVIEW & METHODOLOGY

The team was comprised of individuals experienced in Organizational Development, Lean Manufacturing, Business Performance Consulting, Operations Management, Auditing, Investigation, and Interviewing. The process leveraged the skills and knowledge of the team to conduct an organizational assessment of Community Services & Revitalization (CSR) with regards to its Strategy, Structure, and Culture. The overall process took ~120 days to completion and touched over 150 staff, 135 Metro Louisville citizens, over 25 outside agencies, and 5 regional cities. A mixed methods research approach was used, to include: interviews, comparative data, tables, anecdotal information, surveys, and benchmarking. Recommendations were tested for validity via follow-up interviews and additional research. The report findings and recommendations were compiled and agreed upon by consensus of the entire team. The recommendations made are designed and presented in a way that will provide leadership with a planned approach to move the organization towards its desired state of operational excellence.

EXECUTIVE SUMMARY

The core strengths of the CSR organization include a staff that is passionate about helping Clients/Citizens in need, as well as strong coworker relationships. However, the power of this passion and relationships are moderated by some very clear concerns. Chief among the concerns is a lack of confidence in leadership and direction, lack of cooperation across the organization, generally low employee engagement and overall untapped potential. Internally, this stems largely from divisions that have not become integrated with one another, in part due to not being led with a vision that transcends organizational boundaries and builds confidence. Externally, there is a sizeable sentiment among community based organizations and “partners” that their expertise is not solicited nor embraced to truly help solve problems and innovate for solutions. To explain this in greater detail the team looked for predominant themes and root causes.

Of the research findings the most predominant theme was the lack of confidence and trust in the existing leadership team. This deficiency played a significant role in the department’s lack of strategic direction and overall cohesiveness. Communications have become very siloed and heavily reliant on e-mail versus face-to-face interactions and open discussion. Evidence was found that following the state audit of 2008, some major changes took place that were intended to increase accountability and establish control where control was lacking. However, the way in which accountability and performance was addressed by some members of the management team created an environment of deep distrust, fear of retaliation, lack of engagement and little teamwork. It is the unanimous belief of the Review Team that a significant change in leadership must occur in order to correct the direction of the organization, and change its culture to align with the Mayor’s goals and values. After which, management skills training must be conducted with consistent and fair application emphasized and expected of management. Failure to do both of these things may only further erode trust and teamwork within the organization.

The second largest theme was the lack of understanding and support for the Housing aspects of CSR; Revitalization is under resourced and under supported. The division has not been given adequate direction to be more strategic in the way it addresses Land Use and Development, nor has its requests for support and resources been elevated in importance. Additional resources must be given to the

Revitalization division to increase its ability to improve neighborhoods and reduce vacant properties. The division also needs a stronger leadership position with Land Bank and Vacant/Abandoned Properties initiatives.

The organization did exhibit a number of individual strengths closer to the front lines. The biggest strength was that employees of CSR are purpose driven and deeply care about the community they serve. The review found that despite little real job training and weak overall leadership, the entire staff has kept things moving forward regardless. Many of the frontline supervisors are doing everything they can to support their teams and celebrate success, with little to no funding or support from some in upper management to do so. Many supervisors and managers are also trying to address performance with no formal training or informal mentoring by their managers.

Another strength of the organization was staff's overwhelming desire to have a voice in decision making to improve the services they provide to their clients to help them become self-sufficient. Employees had plenty of suggestions for increasing client accountability and program revenues; and yet the organization had no formal means of getting to these great ideas for discussion and decision making. The review process found some beginning stages of this in pockets, however it was not found across the organization or with the understanding of the parameters that come with involvement. The employees need an avenue to provide input in a structured way via team meetings and regular engagement surveys. As a result of this review process, employees are even more ready to be involved in the improvement process and have great hope that there will be positive change. Failure to make these changes could result in further decline in engagement, morale and performance across the organization.

Recognition should be given to the existing leadership team for their willingness to step into the roles they were given following the significant changes and challenges faced by CSR in recent years. The team was very responsive to all requests for information, and it was obvious that they were chosen to step up as leaders based on their work products and excellent work ethic. It must also be noted that the leadership team has worked very hard to address all of the 2008 State Auditor findings. To the review team's knowledge, CSR has addressed all but one or two of the 2008 findings, and have received no new findings since then.

To move the organization from its current state to its desired state of excellence will require a significant investment of time, resources, energy and focus. Our recommendation is to first rebuild and equip the leadership team to be strong, vision oriented, people focused leaders. Then this team needs to spend a significant amount of time focused on being an effective leadership team and in the process craft a lasting mission, vision and strategy for CSR. Once the new strategy is set, overall structure and culture must be aligned to support the strategy. And most importantly, the entire CSR staff should be engaged in the process, such that they are the ones who ultimately own this new direction and are committed to their role in bringing it to life. The recommendations outlined in this report are designed to assist in this process and help CSR achieve a new level of organizational excellence. Our hope is that this transformation process can serve as a model of effectiveness for other Departments with Metro Government.

RECOMMENDATIONS

For ease of implementation and to highlight priorities, the recommendations are presented using a phased approach. Each of the four phases have defined implementation timeframes and have been subcategorized by Strategy, Structure, and Culture.

PHASE 1: FOUNDATIONAL – TO BE IMPLEMENTED IN THE FIRST 90 DAYS

STRATEGY (FIRST 90 DAYS)

1. Name a permanent director of CSR along with making necessary adjustments to the leadership team.
2. Develop a public relations strategy to educate Citizens on the good work of CSR, including a renewed focus on self-sufficiency, and to minimize the negative impact of yet another change in Department Leadership under Mayor Fisher’s administration.
3. Conduct an in-depth strategic planning process with the goal to build the new leadership team and craft an aligned mission, vision and strategies to define the future of CSR.
 - a. Consider modeling the process after Nashville, Tennessee’s process for developing their plan to end homelessness.
4. Develop a Vision/Mission Statement that encompasses and speaks to all of CSR such as “preventing homelessness.”
5. Build collaborative relationships with other regional metro Housing and Family Services organizations to create a network of information and idea sharing.
 - a. Explore how Columbus and Cincinnati generate program revenue; looking for ways to increase CSR program revenues by ~5%.
 - b. Explore how Nashville keeps its Administrative cost at 14%; looking for ways to reduce CSR expenses by ~5%.
 - c. Explore the Cincinnati model for self-sufficiency; moving clients from emergency beds to case management.
 - d. Explore how Baltimore and other cities deal with their vacant and abandoned properties; looking for ways to reduce the % of abandoned properties.
6. Design and implement an annual or bi-annual competitive RFP process (similar to the Kentucky Housing Corporation) to identify a select few development projects to support with Metro Grant money.

Nashville’s vision: “...be a community without chronic homelessness by assuring access to safe, affordable, and permanent housing with a comprehensive area of support services.”

- a. Promote development projects and total rehab projects that address the needs of Youth, Aging, Disabled, etc. and/or provides easy access to services and supports, such as transportation, grocery, community centers, banks, playgrounds, community gardens, etc.
 - b. An annual bid process would allow the developers to plan and present in accordance with published criteria and Metro objectives and be able to leverage Metro backing for fundraising.
7. Conduct a comprehensive review of program policies with the goal to increase program revenues by another 5% in various programs, in addition to increasing client accountability for funds received. This is consistent with best practice examples from peer benchmarking cities. Some examples of this:
- a. Provide fewer forgivable loans, requiring deposits more, and providing less funding to repeat users.
 - b. Require recipients to enroll in self-sufficiency or volunteerism programs in exchange for program supports.
 - c. Require participation in the Family Economic Success program in order to continue to receive benefits.
 - d. Have Micro-Enterprise business owners, if successful after 3-5yrs; repay a percent of the MEP loan over time.
 - e. Benchmark the use of the Healing Place model for self-sufficiency.
8. Recruit and hire more grant writers to get the talent needed on staff to maximize funding streams; additionally make sure the organizational structure is in place to execute on grant commitments.

STRUCTURE (FIRST 90 DAYS)

9. Develop outcome and performance metrics that are aligned with the newly developed mission, vision and strategies of CSR.
- a. Metrics should create a clear line of sight for every employee within the organization.
 - b. Metrics should measure the Quality (benefit of interaction), Service (client satisfaction), and Value (unit/cost) of the programs and work being done by the employee.
 - c. Metrics should also look at draw down and project to plan completion rates to monitor potential recaptures if not achieved.
10. Evaluate the structure and resource allocation across CSR and make changes in alignment and support of the newly developed mission and strategic goals of CSR. Look to combine like functions and programs together and where synergies can be created. Some examples of this would be:
- a. Integrate Community Action Partnership (CAP) into the Neighborhood Place (NP) model for providing services out in the community served; technically moving the NP program in under CAP.
 - b. Move Sr. Nutrition and Summer Lunch together as Nutrition under CAP.

- c. Move Home Repair to Revitalization to create a field presence that could be used to help identify vacant properties and to monitor developer progress.
 - d. Move CSBG Administration under Compliance & Administration similar to CDBG Administration.
 - e. Flatten the levels of supervision in the NP model, reducing the two Supervisors to NP Site Administrators, all reporting directly to the NP Program Manager.
 - f. Move youth programming from Parks to CSR within Outreach & Advocacy, and move the community center structure maintenance from Parks to Facilities.
 - g. Take the opportunity to put similarly titled and paid employees together within programs and/or assigning them similar tasks.
 - h. Rebalance administrative support resources and staff to better align with the most critical goals of the organization.
 - i. Consider the development of a Master Facilities Plan and office layout to make sure each office move is realistic, purposeful, and long term.
11. Develop 3-5 metrics of success for Neighborhood Place partners to incorporate into performance goal and employee evaluations as a part of being a NP Partner for shared accountability.
- a. Make the NP Site Administrators responsible for collecting and reporting the metric results back to the NP Operations Team (NP Partners).
12. Mayor's Office should appoint a senior level person with the authority to hold team members accountable as Chair of the Vacant, Abandoned, and Underutilized Properties (VAP) Team to formalize the team structure, establish leadership, and elevate accountability and responsibility of the team to achieve defined common goals.
- a. Permanent seats on team should include CSR, Parks, Health & Wellness, Codes & Regs, LMPD, Master Commissioner, Public Works, etc.
 - b. Invite representatives of Metro Council's Vacant Properties Ad Hoc Committee and a representative of the Bloomberg Grant to be a part of the team for more cross-collaboration of efforts.
 - c. Hold agency directors seated on the team responsible for developing and implementing an action plan in support of its strategic goals:
 - i. Advocacy & Compassion
 - ii. Consistent, Steady and Actionable progress
 - iii. Research, Redevelopment, and Recovery
 - d. Develop outcomes and specific



timelines to evaluate overall effectiveness.

- e. Develop a communication plan to meet with residents in targeted areas.
13. Appoint the Director or Assistant Director of CSR as Chair of the Landbank Board to keep the Landbank process moving forward. (During the writing of this report, the Landbank Board was without a Chairperson.)

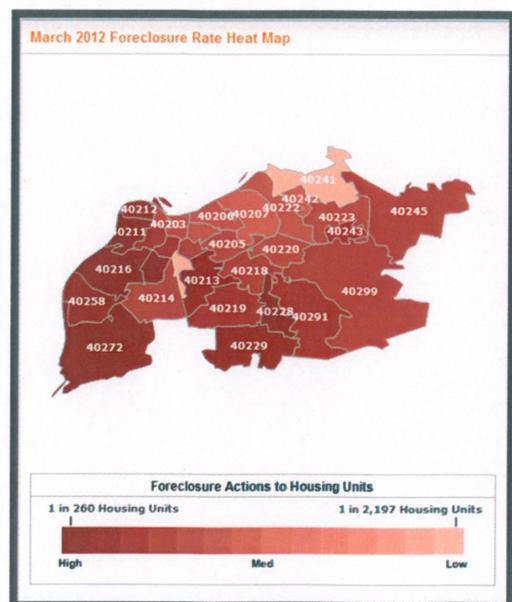
CULTURE (FIRST 90 DAYS)

14. Conduct a thorough assimilation process, if a new Director is named and to address any changes in the make up of the senior leadership team. Conduct ongoing, intensive leadership teambuilding both within the first 90 days and at a minimum on a quarterly basis for the first year.
15. Develop shared goals for the CSR leadership team, and hold the leadership team accountable for working together to achieve the goals as an aligned team.
16. Develop a culture change plan, starting with Metro Values, and hold the leadership team responsible for leading the plan and ensuring the engagement of all CSR employees into the new culture. The culture plan follows, and supports, the new strategy and structure.
17. Hold the management and leadership team accountable for taking a balanced and consistent approach to employee discipline.
18. Human Resources needs to be involved as part of decision making for all documented levels of performance management (i.e., Section 14.4 of the Louisville Metro Personnel Policy), to ensure effective and consistent application of the progressive discipline process.
19. Improve effectiveness of Staff Meetings to better leverage the time and talents of the team by having clear agendas, outcomes, and opportunities to prioritize and address problems or make improvements as a team.
20. Improve decision making processes at all levels in the organization. One possible alternative is to implement a consistent decision making and empowerment model. (see Appendix for an example of one such model)
21. Improve communications at all levels within the organization, both formal and informal communications. Address the concern that employees do not currently feel that their input or opinions are neither sought out or matter to leadership.
22. Create a focus, and target initiatives to build capability and leverage current talent of all CSR employees by providing them the tools, supplies and training needed to do their jobs.
23. Review the safety and security policy to address the needs of the employees working in the field and how the general public gains access to facilities and staff.

PHASE 2: ACCELERATE – TO BE IMPLEMENTED IN THE FIRST 6 MONTHS

STRATEGY (FIRST 6 MONTHS)

24. The VAP Team and CSR need to establish a targeted area for neighborhood revitalization and stabilization; subsequently dedicating 60-80% of all available plans, resources and grant money to improve the targeted area; creating a community where people are incented to remain, live and thrive.
 - a. Look for small but noticeable area that can be completed within a one year period as part of the criteria for determining a target area.
 - b. Offer no interest loans with reasonable repayment terms for total rehabs and external repairs in the target area to create visible neighborhood improvement.
 - c. Offer forgiveness for down payment assistance when buying in the target area.
25. Explore the strategic use of the Affordable Housing Trust Fund money to kick start major developments.
 - a. Include more Community Centers and Section 8 housing.
 - b. Offer discounted CSR loans for repayment into the trust fund.
26. Update the powers of the Landbank and review its pricing policy on how properties are dispersed.
 - a. Take a tactical approach to moving properties through to Landbank in support of creating pockets of properties for developers.
 - b. Lower the price dramatically if it supports an effort to reduce homelessness or supports another CSR program outcome or need.
 - c. Lower the price dramatically if it is in a targeted area for revitalization.
 - d. Lower the price by the cost to continually maintain or demolish it.
 - e. Lower the price to \$1 if the property is to become a playground, a community gardens or recreational space.
 - f. Consider establishing a process or legislation to return the money generated from triple tax to
 - i. pay for moving properties through to Landbank,
 - ii. maintain the properties in Landbank, or
 - iii. to the Affordable Housing Trust Fund.



27. Expand grant funding to prevent foreclosures eventually resulting in homelessness.
28. Strengthen and expand Neighborhood Place (NP) services specifically in the areas of employment, housing, and youth development.
 - a. Do more employment readiness support such as resume writing assistance, interviewing skills development, cover letter writing, and basic computer practice.
 - b. Offer Foreclosure Prevention Assistance; bringing area lenders into the NP partnership.

STRUCTURE (FIRST 6 MONTHS)

29. Establish service level agreements between CSR and OMB and Economic Development (ED) to clearly define the expectations for service and products received from OMB and ED in exchange for the ~\$10 million paid from grant funds.
30. Streamline the payment process and its control mechanisms to speed up the agency's ability to help those in crisis and pay for services rendered.
31. Negotiate in the next labor agreement a process for internal reassignments, changing job duties, or downsizing as a result of organizational realignments or funding changes to limit resulting inequities between union and non-union employees. (Current contract expires June 2012)
32. Have Labor Union and Management reps meet monthly to review upcoming changes and address or discuss employee grievances and concerns as a team.
33. Hire more staff in Human Resources trained in Employee and Labor Relations to provide increased support to CSR and other Metro agencies.

CULTURE (FIRST 6 MONTHS)

34. Post the new mission, vision, strategies and values of CSR in all meeting rooms and offices to remind employees to make sure their work is aimed at achieving that goal. Provide continuous communications, stories, and recognition of employees who support the new direction. Define the roles of the leadership team to reinforce the new direction and culture at every opportunity. Remove from the organization those employees at all levels that are not supportive of the new direction and culture.
35. Require the development of a cost-saving idea or process improvement idea in employee performance goals each year to engage employees in innovation and focus on improving their organization.
36. Improve the client and employee experience at the 810 Barrett building by upgrading the HVAC system, repainting, re-flooring, and repair of structural damage.
37. Entire senior leadership team needs to role model the culture by establishing a presence at the front line, taking time to periodically walk the floor, make personal connections with staff,



and engage employees in the new direction on a one-on-one basis. This could be done in addition to some of the forums put in place by existing leadership (e.g., coffees with the Director).

38. Empower managers accordingly within their roles to make purchase approvals, thus making the overall process less frustrating and more efficient for all involved.
39. Conduct Management training in topics such as: progressive discipline, conflict management, diversity, goal setting and reviews, harassment, communications, recognition, team-building, decision-making, controls, empowering staff, etc.
40. Develop a recognition process for “catching people doing things right” supportive of the new strategies and culture of CSR, including role modeling the values and bringing innovation to the organization. .

PHASE 3: INTEGRATE – TO BE IMPLEMENTED IN THE FIRST YEAR

STRATEGY (FIRST YEAR)

41. Cross-collaborate with Office of Management & Budget (OMB) and HUD to do more self-reporting and monitoring to prevent audit related issues before they can occur, versus addressing issues only when identified in a public audit.
42. Establish a Think Tank of housing developers both non-profit and for profit to generate ideas for removing barriers in the affordable housing development process; look for ways to speed up the process from grant funding to move-in.
43. Use MEP companies as subcontractors on small painting and maintenance projects at the 810 Barrett building.
44. Explore the possibility of establishing a 501 C.3 like the Zoo and Parks to raise money for various program needs like the Baby Store and the Community Store.

STRUCTURE (FIRST YEAR)

45. Integrate various agency databases for improved planning and resourcing initiatives –
 - a. Get info from Code Enforcement and local utilities databases to determine vacant properties to apply triple tax rates.
 - b. Develop a client database to track all programs used and for how much by the client, to track those that simply roll from one crisis fund to the next and back again, rather than moving to self-sufficiency, via job training or MEP.
46. Standardize the underwriting package using technical support and input from grantors and partner lenders to make them more concise and efficient.
47. Create a Partner Agency Advisory Council (PAAC) for input on CSR projects and initiatives in advance of, or during implementation.
48. Utilize a criteria matrix when outsourcing services to partner agencies to avoid a possible public perception of favoring certain agencies based on political ties, versus need and capability.

CULTURE (FIRST YEAR)

49. Utilize interview teams (including a representative from HR) and decision matrixes during the hiring process to provide input on and support for hiring decisions made; thus making the hiring process more consistent and transparent.
50. Implement an annual “Code of Conduct / Ethics Policy” questionnaire, using a self-reporting mechanism to monitor employee compliance with expectations.
51. Conduct quarterly goal reviews with employees; have the employee be a part of the process to establish the goals and metrics and evaluate themselves against the goals.
52. Train management on performance management practices to effectively deal with poor performance, regardless of union status.
53. Review the current employee discipline appeals process for overall effectiveness, considering the need for the creation of an appeals committee.
54. Develop a communication brochure for each program using a standard and simple template covering the program purpose, strategy, functions of, and requirements for assistance.
 - a. Compile all of these and keep copies within all other programs for reference if needed.
 - b. Use these brochures as the template for the CSR program webpages.
55. Conduct grant program Brown Bag sessions to highlight and share info about all of the various programs in CSR along with covering the technical changes made to the grants as they occur.
56. Structure the quarterly meetings to cover not only important topics but could also be used to
 - a. Build the culture, reinforce the values and celebrate employees and new ideas
 - b. Share best practices
 - c. Q&A with the Director
 - d. Share budget and spend down information
57. Continue doing a newsletter, but on a monthly basis and have it highlight a program a month along with internal best practices and employee recognitions.
58. Address the feedback received via the Review Team’s Quality Customer Satisfaction survey and the Partner/Agency Relationship Satisfaction survey.
59. Identify a support staff person to coordinate addressing training needs identified across the operating areas of CSR; training needs an ongoing emphasis to keep staff and management knowledgeable of the programs and changes that occur sometimes annually.

PHASE 4: ONGOING – TO BE REPEATED AT SOME REGULAR INTERVAL

60. Conduct ongoing teambuilding with the leadership team.
61. Conduct another Engagement Survey using the same questions and identifiers as used by the Review Team during this process to gauge improvement after a one year period of implementing the recommendations made in this report.
62. Conduct a 360 degree review (or a similar leadership development tool) of the leadership team and possibly its management team at a later date to ensure ongoing progress of leadership and the team culture.
63. Develop a process for getting client/customer satisfaction feedback on a regular basis for all programs.
64. Develop a process for getting Partner/Agency satisfaction feedback on a regular basis for all programs.
65. Productive conflict should be embraced and leveraged to produce better ideas and ones that all involved can find some level of support for.
66. When key decisions are made, include discussion of how it will get communicated and implemented across the organization.



ANALYSIS EXPLAINED

The following section provides an in-depth summary of results from each of the research methods used. This information was used to formulate the recommendations outlined in the report.

INTERVIEW PROCESS

The review process started with formal interviews using pairs of two review team members interviewing single employees or teams of employees. As the interview process developed, individual review members later would conduct follow-up interviews or informal interviews to further research into various topics or themes. Some employees rather than be interviewed provided in depth information via e-mail or printed documents. In all the Review Team was able to talk to 31% (47 of 151) of the full-time employee population.

Based on the data collected during the interview process, the following summary of the Community Services & Revitalization department was created using a SWOT analysis for presentation. This then became the basis for further research, investigation and a number of the recommendations.

STRENGTHS

Policies & Procedures – CSR (and OMB) has done a lot of work to create policy and procedures in response to the 2008 state audit. Most of them were created specific to how funds are released, though they did create a code of conduct like policy to address employee matters. The Compliance & Administrative staff has also made great strides and improvements to the various report documents in an attempt to standardize them.

Communications – There are some good internal examples of communication such as regular staff meetings, newsletters, and quarterly all CSR staff meetings. In pockets there also seems to be good face-to-face open door communication that was appreciated by employees.

Client Support – CSR Staff are passionate about supporting clients and try to find ways to help them. Staff is very much internally motivated by the purpose of their work and their ability to serve the community in need.

Administration & Compliance – Numerous internal control policies and reporting documents indicate that open issues from the 2008 state audit have been resolved or are in process. Frontline staff that were aware of how things were prior to and post audit, were appreciative of the work done in response to the audit.

Individual Leader Strengths – A number of CSR leaders were identified as having specific strengths worth mentioning. Some of the senior leaders and the management team were noted for their strong technical knowledge of the areas they manage. A couple managers were also highlighted for their communication style and that they recognize and appreciate their staff. As a result, they were mentioned as the preferred managers to work for.

Overall Leadership Team – The leadership of CSR was repeatedly recognized for their individual expertise in the areas in which they were responsible. During the review process it was observed that the

leadership team was beginning to shift away from tactical positioning to more strategic planning and thinking. The team was beginning to discuss the development of “outcome” metrics versus their current “output” metrics; along with leadership discussion on what should the Mission Statement be post the reorganization to become Community Services & Revitalization.

WEAKNESSES

Culture – There was a reoccurring theme across CSR of fear, distrust, intimidation and very low engagement in generating new ideas. Many believe that the funding is allocated and decisions are made based on personal relationship with the current or previous Mayor, or with the leadership of CSR. And in some situations employees felt they were being viewed as disloyal for going outside of a real or perceived hierarchy. Some employees felt retaliated against as a result of such perceived actions.

Decision Making – There is no consistently applied decision making model in place. Decisions appear to be made in siloes, without consistency of thought, and with no business justification behind them explained.

Communication – Communication within the department is heavily reliant upon e-mail and staff meetings; occurs in siloes even within CSR, and tends to be more directive in nature than inclusive. Communication has also been stifled by a fear of retaliation and a feeling of “it doesn’t matter what I say” attitude among many.

Innovative Thinking – The department lacks innovative thinking and promoting new ideas. Staff meetings fail to look for new ways of doing work, or serving the clients more efficiently, or generating program revenues, or creating client accountability for program funds. When suggestions are made, there is no process to follow through on them.

Alignment on Direction – Plan documents place a higher emphasis on housing goals over other services, yet budget ratios do not align with that emphasis. There is even some debate between CSR leadership as to what defines Housing.

Leadership Team – Leadership lacks a strong, inclusive, and decisive leadership style; unable to create a vision for all of CSR; and avoids conflict and holding people accountable. Viewed as being technically savvy, but has yet to demonstrate the leadership and management skills needed to shift the culture to align with the Mayor’s values.

Root Causes of Homelessness

Lack of Affordable Housing
Profound Physical Disability
Mental Illness
Developmental Disabilities
Severe Trauma
Educational Deficiencies
Learning Disabilities
Addiction
Domestic Violence
Severe Family Dysfunction
No family or Significant Support System
Criminal History
Limited Occupational Skill Set
Life Skill Deficiency
Transportation Deficiency
Prior Long Term Institutionalization
Generational Poverty

--Nashville Coalition for the Homeless

The CSR leadership team is not a cohesive team. Management and leadership style differences, along with a general distrust of each other, and what appears to be disregard for the expertise each brings to the table, has only furthered communications issues within the team, preventing them from creating a common vision for the organization and common successful outcomes.

Metrics – CSR is measuring outputs versus outcomes. Most staff could not talk about or point to any metrics; nor could they align what metric they did know of to higher purpose goals or department metrics. None of the metrics in place looked at cost of service or could be used to report efficiency gains if asked. Overall lack of a meaningful metrics within CSR.

HR Practices – Performance appears to be addressed in a very inconsistent way. The perception among many is that the organization simply moves people to other areas or jobs within CSR rather than deal with poor performance or behavioral issues. When discipline or counselings are conducted they appear inconsistent and perceived by employees at times as retaliatory in nature. Goal setting and regular performance reviews appear to be haphazard and inconsistently structured for meaningful results.

Resources – A number of vacancies were identified on the organizational chart, most appeared within Revitalization. Gaps in grant writing, technology and underwriting have already created major challenges in getting projects off the ground and will further hurt the organization in continuing to grow its grant resources.

Policies & Procedures – There was an overall lack of written, updated and enforced programmatic policies and procedures. Program policies tend to be held in the knowledge base of current incumbents, and subject matter experts. What policies did exist were more specific to each grant program or were dictated by outside departments or agencies such as Metro Policy, OMB, and HUD. Policies in need of updating to address current environmental changes and budget constraints tend to remain stagnant and not reviewed for opportunities and rewritten.

Knowledge Transfer and Employee Education – There is little to no training; when employees leave a job, they typically take the knowledge of how to do that job with them without passing it on. Additionally managers are getting no guidance or training on how to manage staff consistently and effectively to manage performance and in accordance with basic HR law and the union contract.

Flow of Funds – Many complained of the department's inability to pay vendors, clients, and partner agencies in an efficient manner. The high number of approvals required seems to be an excessive control, undermining empowerment, and restricting the efficient flow of payments regardless of their monetary value.

810 Barrett Facility – The East Government Center is in need of many structural repairs and a basic paint scheme applied to enhance the professional appearance of CSR. Additionally the effectiveness of pest control and general maintenance programs are in need of major improvement. Such poor working conditions have an adverse impact on the morale of staff and the clients served at this facility.

Union Issues – The union contract appears to be poorly understood and is not considered strategically during employee movements and staff reductions. The approach taken in the past has resulted in pay disparity and perceived fair treatment disparities.

OPPORTUNITIES

Strategic Partnerships – Create partnership teams and think tanks to bring other metro departments and partner agencies together towards common goals or strategic initiatives. Build Community Advisory Teams on how to address local housing needs.

Financial Policy – Internal policies need to be reviewed to look for ways to increase current income streams such as housing fees and tax income. Create client accountability and reduce repeat annual crisis funding use. Consider tighter controls for forgivable loans. Look for innovative new ways of generating income to expand impact of programs that struggle to get donations like the Community and Baby Stores at the Neighborhood Places.

Leverage Funding – Consider making bigger more strategic and high profile commitments earlier in the development planning process with partner agencies rather than to help them at the end of multiple projects to fill in funding gaps.

Improve Leadership – Create a Director Profile, providing a detailed overview of critical success factors for the Director of CSR; evaluate current incumbents against it; improve overall Leadership team effectiveness.

*“With enough momentum,
nearly any kind of change
is possible.” – John C. Maxwell*

Vacant Properties / Landbank – Review the properties and the process for moving properties to Vacancy status and through the Landbank process by becoming more strategic and looking for opportunities to create major development areas and increase tax income.

Self-Sufficiency Programs – Focus on helping clients become more self-sufficient to end the cycle of poverty and homelessness; increase grant writing efforts critical for securing future funding of self-sufficiency programs.

Strategic Planning – Conduct a strategic planning and mission statement development retreat; connect CSR mission, values and goals with the Mayor’s Bill of Rights and the Metro Strategic Plan; align dollars, goals, resources accordingly; use as the starting point for aligning all policies, goals and metrics within CSR to achieve the desired outcomes.

Training – More job-based knowledge training, cross training, and leadership development at all levels.

Organization Restructure – Restructure CSR to better meet the strategic goals already outlined in the multi-year plans; putting more resources back into Revitalization (Housing) and more grant writers to support and grow Housing and Self-Sufficiency grant funding.

Problem Solving & Decision Making – Develop an agreed upon problem solving and decision making model to get away from the current process which is very individualized and overall ineffective. This will increase effectiveness and overall buy-in by the effected employees and processes.

Accounts Payable – Streamline the current accounting and approval process for timely payments to contractors and clients in need; the current process can take up to 6 months for payments.

Positive Public Relations – Build community and citizen support for the mission of CSR; overcome views of “welfare state” and “working the system”; help change the face of homelessness; develop more high profile housing developments like Park Duvall.

Team Meeting vs. Staff Meetings – Face-to face communication needs to occur more, especially when sensitive employee matters are involved. Staff meetings are more conducive to one-way communication and not for dialogue and idea generation to problem-solving. Staff meetings also tend to further the silo of information flow, versus forming teams around ideas, problems or goals.

THREATS

Funding – Grants being cut at the Federal, State and Local levels; and becoming more competitive versus entitlement.

Public Opinion – CSR is creating a “welfare state” and builds dependency in clients; could impact future funding and public support.

Agency Partners – Losing confidence in CSR, especially Developers.

Lack of Urgency – The department’s inability to move quickly and efficiently puts funds at risk of recapture.

Human Resources – Staff are leaving due to the frustration of continuous change, lack of unified direction, leadership style, and overall lack of engagement.

Political – Challenges with Metro Council agendas, Mayor’s Office intervention to make up for weak CSR leadership.

ENGAGEMENT SURVEY

Following the initial phase of interviews the Review Team designed and administered an engagement survey to all CSR employees during the last two weeks of March. The goal of the survey was to give every CSR employee the opportunity to have a “voice” and make their feelings known beyond the interviews conducted. Based on the themes that developed in the interviews and the expertise of the Review Team members themselves, the team determined that the survey should focus exclusively on employee engagement given a known link between organization results and employee engagement.

The survey was developed based on the latest engagement research and leveraging best practices from leading research organizations including Gallup, Mercer and Kenexa. The survey contained 14 close-ended statements, 2 open-ended questions and 4 demographic identifiers. See Appendix for a copy of the survey. The survey was administered through a Survey Monkey link sent to all CSR employees. The team received 104 responses within the first 3 days and a total response rate of 118 before the survey closed. The review team viewed the 78% response rate as an indication that CSR employees not only trusted the confidentiality of the survey process, but as another demonstration of their strong desire to provide input to improving the organization through this process.

The survey results identified three significant strengths; defined as 75% or more employees rating the statement as a “4” or “5” on a 5 point agreement scale:

Pride in the work.	88% of associates rated this item in the positive.
Positive relationships with coworkers.	87% of associates rated this item in the positive.
Clear expectations of the work.	80% of associates rated this item in the positive.

These results are significant in that pride, relationships and clear expectations are foundational conditions for employees to feel connected and engaged in the organization. Analysis of the written comments gave additional support to these strengths with comments such as:

- “I appreciate the good feeling of helping others; at the end of the day I appreciate feeling like I’ve made a difference in helping someone....”
- “Helping the community and working with some great people.”
- “Knowing that the work we do directly benefits some of the neediest in our community.”
- “My immediate coworkers and supervisors in (department name). WONDERFUL! We share the same commitment to our senior volunteers and desire to excel at our jobs...and we RESPECT each other’s talents/gifts to the team.”
- “I feel as though my division works well as a team, and we have a common goal of making our city better for the community.”
- “I also appreciate the teamwork amongst coworkers and the zeal to serve and make the community a better place to live.”

The survey also identified several significant weaknesses; defined as 25% or more employees rating the statement as a “1” or “2” on a 5 point agreement scale:

Confidence in senior leaders.	50% of associates rated this item negatively.
Cooperation and teamwork across CSR.	48% of associates rated this item negatively.
My input and opinions are valued.	33% of associates rated this item negatively.
Satisfaction with recognition received.	33% of associated rated this item negatively.

These results are concerning in that each of these factors is an important precondition for employees to feel connected and engaged in the organization. The lack of confidence in senior leaders and the lack of cooperation across CSR are particularly concerning and must be addressed for future success of CSR.

Analysis of the written comments gave additional support to the weaknesses identified along with identifying additional opportunities including the need for an improved focus on Client Support and the need for doing Strategic Planning and setting a Clear Direction:

- “Attitude of upper level management is to manage by fear, paranoia, belittling of subordinate employees at all levels.”

- “They need to understand that most of the people who work in this department do so because they have passion and compassion for the folks that we service. Everyone I know here feels insignificant, undervalued, and unappreciated.”
- “I used to look forward to coming to work and helping lots of clients. In the last couple of years, there has been so much red tape and change, that we have gotten away from doing what our program’s original intentions were, which is to serve a large number of needy people.”
- “Communication and coordination among the Divisions. Silos seem to still somewhat exist among Divisions and rifts remain in response.”
- “A long term strategic plan so that the direction of the department is not subject to the whim of new leadership or new administration, but has a long term purpose with clearly stated objectives.”
- “Replacing change due to short-sighted agendas and the resulting chaos with defined, purposeful, mission driven decisions.”
- “Being able to have freedom of speech, without repercussion.”
- “Involve the co-workers in the decision making process.”

The four demographic questions were included in order to evaluate whether there were significant differences in Union Affiliation, Gender, Tenure, and Education Level. The only meaningful differences were with Tenure.

The tenure categories were designed to gauge the impact on employees following significant changes that took place within the organization over the years. Employees with less than 2 years of tenure were the most positive overall, whereas those with 2-4 years of tenure were the most negative overall. Employees with longer tenure were more moderate.

For a summary of the actual ratings and a more thorough analysis of the survey, see Appendix.

BENCHMARK DATA

The review team benchmarked the following regional cities with similar demographics during its review process: Nashville, TN; Cincinnati, OH; Columbus, OH; Indianapolis, IN; and Raleigh, NC.

These cities were chosen based on their ability to win competitive grants offered by the U.S. Department of Urban Housing and Development (HUD), and because of their ability to mobilize and work with internal and external partners to draw-down those grant funds at a rate of almost double that of peer cities. Specific topics reviewed were: 1) Promoting Self-sufficiency, 2) Housing Constraints, 3) Performance

City	Total Population	Median Income
Louisville, KY	262,764	\$32,483
Nashville, TN	605,473	\$45,540
Cincinnati, OH	333,473	\$32,754
Columbus, OH	769,360	\$41,370
Indianapolis, IN	807,584	\$40,278
Raleigh, NC	409,791	\$51,969

Measurement, and 4) Program Income. The benchmark process was designed to collect best practices to help address some of the challenges expressed by the CSR leadership team.

Data used in the benchmarking process was collected from HUD's website (www.hud.gov), The 2010 Consolidated Annual Performance and Evaluation Report (CAPER) and The Five Year Strategic Plan for each jurisdiction, various HUD officials, and many of local government officials.

To briefly explain the term "Program Income", it is revenue generated by a program funded by a HUD grant. During the benchmarking process it was found that a majority of the sister cities included in the review derive program income from a combination of loan repayments, rental income, code enforcement, and the sale of property.

NASHVILLE

Nashville, TN was selected in part because of their ability to receive the most in government ARRA funds, when compared to other US cities.

During the research process it was found that Nashville had the lowest Administrative costs as a percentage of total funds. This was in part because of how they are organized, but is worth further investigation and cross-collaboration for shared learning.

Specific to performance measurement, the Nashville Metropolitan Development and Housing Authority has plans to shift to a performance based system that rewards sub recipients and contractors that are able to perform in a timely manner and satisfy all the regulatory conditions of the grant programs.

CINCINNATI

Cincinnati, OH was selected not only due to its similar size and demographics, but it was also one of the top performers in getting government ARRA funds.

The city of Cincinnati has plans to promote self-sufficiency and reduce homelessness by offering fewer beds to the homeless via emergency shelters in an effort to offer more intensive case management services that support individual development and well as develop and follow through with case plans that move clients from homelessness to housing and self-sufficiency.

Specific to housing constraints, Cincinnati plans to combat the long waiting lists associated with Section 8 programs with its Section 8 Tenant Counseling and Placement Program, which assists Section 8 voucher holders in securing housing in low poverty neighborhoods.

Cincinnati is also working to change the perception of families and individuals receiving Section 8 Housing assistance in hopes that more property owners will consider leasing their properties to Section 8 recipients.

During the research process it was found that Cincinnati is currently bringing in almost \$2.3 million annually in program income; the highest amount among the cities benchmarked.

COLUMBUS

The city of Columbus has formed the Columbus Area Affordable Housing Task Force to monitor and discuss issues related to Section 8. The task force consists of federal, state, and local government organizations, housing funders, housing and homeless service providers, and community representatives.

Columbus, OH like Cincinnati is also working to change the perception of families and individuals receiving Section 8 Housing assistance in hopes that more property owners will consider leasing their properties to Section 8 recipients.

The city of Columbus sponsored and earned income from a unique program, entitled the School's Out Program, which benefits working parents by providing a camp for children when school is not in session.

INDIANAPOLIS

The city of Indianapolis has made promoting family, individual, and neighborhood self-sufficiency a primary goal in its Antipoverty Strategy. The Antipoverty Strategy includes workforce development, job training, economic development, services to low-income residents, special needs housing, and the development and protection of low-income housing stock. Indianapolis has also developed the Indianapolis Blueprint to End Homelessness as an important part of their plan to achieve family self-sufficiency.

Housing was the top priority of all five cities benchmarked, yet Indianapolis was the most aligned with that priority with 38% of CDBG funding dedicated to Housing programs.

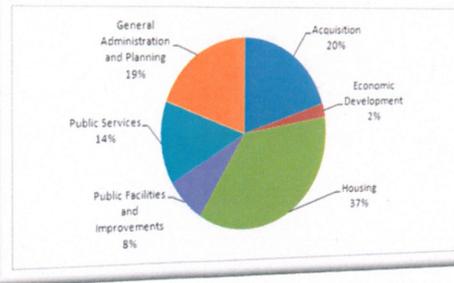
With regards to generating program income, different from some of the cities benchmarked, Indianapolis collects revenue from demolition services as well.

RALEIGH

Raleigh, NC in addition to being of similar size to Louisville was named one of the top "10 Great Cities for Raising Families" by Kiplinger in August 2010, providing the team with a great reason to benchmark.

Of the cities benchmarked, in dealing with housing constraints it was noted that Raleigh was performing significantly better in producing rental units through its CHDOs. Raleigh outpaced the second highest performer in this category by 143%.

Louisville, KY		
2009 CDBG Allocation		
Program Income During Program Year 2009		\$11,894,234.00
Total Available		\$1,810,951.27
		\$13,705,185.27
Type of Activity	Expenditure	Percentage
Acquisition	\$2,803,516.35	20.88%
Economic Development	\$325,000.00	2.33%
Housing	\$5,100,277.72	36.54%
Public Facilities and Improvements	\$1,078,095.21	7.72%
Public Services	\$1,940,285.71	13.90%
General Administration and Planning	\$2,712,778.97	19.43%
Total	\$13,959,953.96	100%



Specific to performance measurement, Raleigh has developed a system to determine how effectively programs are meeting needs, improve performance, and direct resources more accurately. The city plans to report results for all grant funded programs in the Consolidated Annual Performance and Evaluation Report.

Next to Columbus, OH of the cities benchmarked, Raleigh had the second highest percentage of total CDBG budget coming from program income.

SATISFACTION SURVEY DATA

To complete provide a complete perspective of organizational performance the Review Team needed to get feedback from partners and clients regarding topics of Quality Customer Service and Positive Business Relationships. To achieve this goal two surveys were conducted. The following is a summary of the findings from each.

CLIENT SATISFACTION SURVEY

The survey research objective was to assess the “Quality Customer Service” experience of CSR clients and staff’s ability to effectively serve the citizens of Louisville. Successful organizations use surveys like this to provide the structure to turn strategy into action through measurement, analysis, and knowledge management. The survey elements were based upon on the Metro Citizen's Bill of Rights (i.e., Quality Customer Service and Timely Notice). Best practices from leading research organizations were also used to determine the overall customer satisfaction levels.

The Review Team designed and produced the survey (since CSR had no known existing process), containing 4 closed-ended questions and intended to take no more than a few minutes to complete. Surveys were to be returned to the Review Team in a pre-addressed sealed envelope. With the help of the Assistant Director of Community Services and her staff, 200 surveys were distributed to various locations for completion after every client interaction during a one week period. See Appendix for a copy of the survey itself. Given the small time frame and sample size, this process was not intended for thorough survey analysis, but rather to take a snapshot in time and to create a model for ongoing Client Satisfaction Survey within CSR.

The team received 135 surveys back for a return rate of 68% indicated not only the staff’s willingness to ask for client feedback but also the clients trust in the process. The survey finding indicated the following:

1. **Highly successful resolution of problems:** 84% of the respondents replied “Yes” to successful resolution of their specific issue, of which 91 percent regarded their issues as “Crisis or High” level of importance.
2. **No significant weaknesses or trends to report:** 16% respondents, who replied “No” to successful resolution, indicate they were disappointed with the answer to what they considered of crisis or high importance. See written comments for improvement opportunities.
3. **Excellent Customer Service Ratings:**

- 86% “Completely Satisfied” overall ratings supported the CSR customer process.
- 92% “Overall” performance scorecard rating may indicate a practical, professional application for the Louisville Metro Citizen's Bill of Rights

Though the survey did not ask for written comments, some clients wrote the following on the survey, providing CSR with additional feedback and suggestions for improvement:

Positive Feedback –

- “I really appreciate the courtesy and honest care.”
- “Paid my LG&E (checked ‘Completely Satisfied’)”
- “He was awesome.”
- “Scheduled appointment to see social worker.”
- “Replaced my furnace (checked ‘Completely Satisfied’)”

Suggestions for Improvement –

- “When they sit you down to help you, they could say ‘Hi’ or ‘How are you?’”
- “Improve the dress code of the staff.”
- “Didn't get information explained right.”
- “If approved, it would be a huge help (checked ‘Somewhat Satisfied’)”
- “Delay in processing.”
- “Completely dissatisfied with the Micro Enterprise class (many problems)”

PARTNER / RECIPIENT AGENCY RELATIONSHIP SURVEY

The survey research objective was to assess CSRs performance as perceived by their Key Partners and Grant Recipient Agencies. The survey elements were based upon on the Mayor’s eight principles for effective government, which also helped to evaluate the overall quality of the relationship between CSR and their partners.

The Review Team designed and produced the survey (since CSR had no known existing process), containing 9 questions, 6 of which were open-ended and intended to take no more than a 15 minutes to complete. The survey was administered through a Survey Monkey link sent to ~80 Partners and Recipient Agencies, providing them with 3-5 days to complete before the survey would be closed. The team received a total of 21 for a response rate of ~26%. The short turnaround time on the survey most likely had an impact on the response rate. Follow-up interviews were therefore conducted with a few Key Partners and Grant Recipient Agencies to provide context for the ratings and to gather actionable feedback.

The highest scores assigned to CSR were in:

Customer Service	86% favorable
Truthfulness & Trustworthy	86% favorable
Timeliness in Execution	71% favorable
Innovative	71% favorable

Of the 66 comments in total, the most frequently mentioned positive comments were about frontline employees. Some examples:

- I appreciate “the ability to communicate with staff who are responsive.”
- “I appreciate the open and caring relationship from [two named frontline employees]. They want our partnership to be successful.”
- “Highly professional staff in Compliance and Monitoring.”

The three lowest scores assigned to CSR were in:

Focus on Growth	29% dissatisfied
Transparency	24% dissatisfied
Innovative	24% dissatisfied

Of the 66 comments in total, the second most frequently mentioned comments were about collaboration and partnership opportunities. Some examples:

- “I think CSR staff work very hard to do their jobs, work collaboratively, and provide the best service, however, I feel they need more direction and support from above to freely be more innovative and/or results oriented. Without established priorities from above, the staff cannot know what outcomes and projects are most important and are less able to give clear answers because things may change.”
- “I believe there is a lot of collaboration but more could be done, for example piggy backing on the state level trainings.”
- “Make a better effort to understand what we do, make meaningful efforts to facilitate collaborations with agencies in an environment open to possibilities (and failure) rather than scolding or demanding one.”
- “Continue to work towards creating more of a partnership feel versus what might, at times, seem somewhat patriarchal, this admittedly necessary when it comes to accountability.”

The overall positive theme from the surveys and interviews is that CSR is viewed as professional, knowledgeable, and honest. The primary suggestion for improvement is that currently CSR does not seem pre-disposed to engage in a high level exchange of information, ideas, or joint problem solving methods with the community. In addition, they felt that CSR could be more transparent in planning and decision-making, and perhaps more importantly to approach their external partners as members of the same team – to actively learn more about the capabilities of external agencies and how to best build on their assets.

APPENDIX

APPENDIX ATTACHMENTS

- A. Review Team Bios
- B. Director Profile
- C. Engagement Survey and Results
- D. Benchmark DATA
- E. Client Satisfaction Survey and Results
- F. Partner/Recipient Agency Relationship Survey and Results
- G. Financial & Resource Alignment of CSR Graphs
- H. Published Statistical Data
- I. Supporting Tools and Models

APPENDIX A

CSR Review Team Bios

Kate L. Farrow (Chair) is a proven business leader and change agent specializing in operational excellence. She has spent her career in both the private and public sectors, managing and improving a variety of operations. Kate is currently Manager of Field Revenue Operations with the Louisville Water Company. During her 18 year tenure with the Louisville Water Company, she has gained experience in Organizational Effectiveness, Labor and Employee Relations, Leadership Development, Performance Management, and Change Management. Kate graduated Summa cum Laude and 1st in her class at Sullivan University with a Bachelors of Science in Business Administration, specializing in Management.

Wanda M. Carson, a native of Louisville, Kentucky has over 25 year of experience in the insurance industry as a trained negotiator and skilled interviewer. She currently works for Liberty Mutual Insurance Company, whose creed is to “help people live safer more secure lives”. Wanda earned a Bachelor of Science in Criminal Justice from Kentucky State University.

Kevin Connelly is founding director of the Center for Nonprofit Excellence that provides training, technical assistance and networking services to over 400 agency members. He has over 30 years’ experience within the government and nonprofit sectors in program management, training, consultation and leadership positions. He has worked with non-governmental organizations in Ireland and India on collaborative projects. He is also an adjunct lecturer at the University of Louisville in the graduate school of Urban and Public Affairs.

Nicole Jacobsen-Nally is a Certified Trust and Financial Analyst and is a Senior Vice-President and Trust Manager for Argent Trust Company. She has over 25 years of combined experience in the investment and estate planning arena with various organizations. She currently serves on the Board of Commissioners for the Louisville Metro Housing Authority and is an Executive Board Member and Treasurer for Riverside-The Farnsley Moreman Landing, Inc. She has served in other capacities including, Executive Committee for the Estate Planning Council of Louisville and President of the Society for Financial Planning Services. She is a graduate of the Leadership Louisville program and a Bingham Fellow. She holds a BS from the University of Louisville.

Joseph MacDonald is the Director for Lean Strategic Deployment and Organizational Performance at the Creative Resolution Leadership Group. As former executive director for Waterfront Park Place Condominiums, his turnaround business plan completed the luxury high-rise condo complex, which was insolvent upon his arrival. He is a retired U.S. Army Infantry officer and serves on the Board of Directors for Community Living, as the chair for Sustainable Fund Development. He holds a Bachelor’s of Art & Master of Journalism degree from Temple University; his Doctoral of Management in Organizational Leadership studies at the University of Phoenix focused on Leadership Best Practices.

Dave Neumann, PhD is Director of Organization Development at Yum Brands where he has been in various executive HR and OD roles. In total he has over 28 years’ experience in the OD/HR profession. He specializes in organization effectiveness, leadership development, team building, and the alignment of strategy, structure and culture. He has served on the Louisville Zoo Foundation Board, the Dare to Care Board HR Committee and the Bingham Clinic Board. He holds a PhD in Industrial & Organizational Psychology from the University of Maryland.

Mayria “May” Porter is a Certified Internal Auditor with over five years of combined financial and internal audit experience. May began her career at PricewaterhouseCoopers as an associate in the Assurance Practice in the Louisville, KY office. She is now an internal auditor with the Office of Internal Audit for Louisville Metro Government. May earned a Bachelor’s of Science in Accounting from the University of Kentucky and a Masters of Business Administration from the University of Louisville.

APPENDIX B

DIRECTOR PROFILE

The organizational and cultural change needed to the extent described in this report will require a highly skilled and well-rounded leader. Provided here is a comprehensive profile outlining and describing the skills and abilities needed in a Director to be successful in transforming CSR from its current state to its desired state of excellence. Executive and mid-level management staff appears to be fully competent in the technical aspects of their jobs and the programs they manage; yet have struggled to develop a vision, strategy, metrics, team-building, and managing and motivating staff to succeed. Therefore this Director Profile places a greater emphasis on Leadership and Management skills and abilities over Technical knowledge of the grant programs and services.

“Look for intelligence and judgment and, most critically, a capacity to anticipate, to see around corners.”

– Colin Powell

The characteristics that should be sought in the CSR Director could be broken out into three weighted categories: Leadership (50%), Management (30%), and Technical (20%).

DEMONSTRATED LEADERSHIP SKILLS

- ✓ **Visionary** – Able to establish a vision and mission for the organization that inspires action to achieve.
- ✓ **Self-confident** – Not afraid to speak the truth or present ideas they feel confident about to their superiors or in intimidating situations.
- ✓ **Open to ideas** – Willing to listen to, and seek out the ideas of the subject matter experts around them and leverage them in decision-making.
- ✓ **Decisive** – Able to make decisions at the right time with the right amount of information; not afraid to take a stand or take measured risks.
- ✓ **Motivational leader** – Understands that staff is motivated by a compelling vision and a desire to make a positive impact on clients. They need someone that can speak to their hearts; getting them to engage in improvement ideas.
- ✓ **Great communicator** – Skilled in communicating with all types of stakeholders; selects and uses the appropriate medium (e.g., face-to-face, phone, e-mail, etc.) for communications.
- ✓ **Relationship builder** – Willing to reach out to partner with peers, outside agencies, and constituents; looking for the win-win opportunities.
- ✓ **Recognizes team members** – Gives credit where credit is due; looking to spread the credit for successes as widely and as deep into the organization as possible.
- ✓ **Team builder** – Able to build teams both internal and external, focusing them on achieving a common goal and leveraging the strengths of team members.

- ✓ **Leads with integrity** – Leads in a way that is true to their values and the Mayor’s values, and is not suspected of having hidden agendas.
- ✓ **Leads with humility** – Displays confidence; not arrogance. Is willing to ask for help and owns their mistakes.
- ✓ **Appetite for learning** – Takes the time to look out and around for new ideas and learn from the subject matter experts or peer cities and agencies.

DEMONSTRATED MANAGEMENT SKILLS

- ✓ **Business minded** – Knows how to present meaningful business cases to decision-makers to justify a suggested course of action; anticipates problems and can outline various resulting outcomes for decision-making.
- ✓ **Financially savvy** – Knows how to get the most from scarce resources, using forethought and out of the box-thinking.
- ✓ **Experienced supervisor devoted to staff development** – Able to conduct regular one-on-one coaching and development with junior managers, or lead brown bag luncheons with management and supervisory staff on how to manage productivity with consistency, and in a unionized environment.
- ✓ **Skilled in conflict management** – Knows to listen carefully, find common ground, and can be diplomatic in conflict situations without sidestepping the critical issues to be resolved or addressed.
- ✓ **Project Management Experience** – able to manage complex projects and plans such as property development and overseeing the implementation of multiple grants at once.
- ✓ **Has an improvement and efficiency focus** – Challenges staff to think outside of the norm; to look for ways to do things more efficiently; to work smarter not harder.
- ✓ **Able to set plans and goals** – Knows how to establish meaningful plans, goals and metrics that will achieve the desired outcomes in support of the higher Mission and Vision of the organization.
- ✓ **Manages with controls and metrics** – Knows how to manage using the right metrics and amount of control mechanisms in place that will promote productivity and efficiency, not hinder it.
- ✓ **Understand process analysis and redesign** – Can zero in on the cause of a problem develop solutions; translating analysis in to actions that fit.

DEMONSTRATED TECHNICAL SKILLS

- ✓ **Bachelor's degree** (minimum) in Social Service, Urban Planning, Accounting, Management, Marketing, Communications, or other related field, along with 10+ years of management experience.
- ✓ **Understands Housing and Development** – Understands and is committed to the need for adequate affordable housing and understands the time needed to complete developments from planning to occupancy. Has property development experience working with private developers and/or non-profit developers.
- ✓ **Planning and Development underwriting experience** – Has knowledge of, or experience working with planning and permitting, and can appreciate the time needed to underwrite a development plan.
- ✓ **Social Services exposure or experience** – Has some experience or cursory knowledge of social services and the specific programs provided by Community Services.
- ✓ **Grants writing and management experience** – Has knowledge of how grants work, including applying for and complying with the expectations. Capable of learning, or already has in depth knowledge of some of the grants currently managed by CSR.
- ✓ **Unionized workforce experience** – May have a background and experience working with labor management agreements; understands how to manage effectively and consistently and in partnership with the union workforce to achieve departmental goals.

APPENDIX C

CSR ENGAGEMENT SURVEY

Final March 19, 2012

We want to hear from you! The purpose of this survey is to help the CSR Review Team identify areas of strength and opportunity across the entire Department. Please take a few minutes to answer the questions below. Your responses will be combined with those of all other CSR Staff and no individual ratings or comments will be identified. All information will be returned directly to the CSR Review Team for analysis, and will be kept strictly anonymous. The demographic questions at the end are included to help us identify trends only, but note that they are optional and you can select "Choose to not respond" if you prefer.

1. I know what is expected of me at work.
2. There is a clear link between my work and the mission of CSR.
3. I am encouraged to be innovative at work.
4. I have the materials and equipment to do my job right.
5. I have access to updated policies, procedures and information I need to do my job.
6. I am proud of the work that I do.
7. My input is valued.
8. My opinions seem to count at work.
9. I receive constructive and developmental feedback on my performance.
10. We have good cooperation and teamwork across CSR.
11. I have positive relationships with my coworkers.
12. I am satisfied with the recognition I receive.
13. I have confidence in our senior leaders.
14. We are successful in meeting the needs of our clients and stakeholders.

15. What do you appreciate the most about working at CSR?

16. What is the one thing that if changed, would have the greatest positive impact on the organization?

17. How long have you worked at CSR?

- a. Less than 2 years
- b. 2 – 4 years
- c. 5 – 10 years
- d. More than 10 years
- e. Choose to not respond

18. What is your gender?

- a. Male
- b. Female
- c. Choose to not respond

19. What is your union affiliation?

- a. Union member
- b. Non-union
- c. Choose to not respond

20. What is the highest education level you achieved?

- a. High School/GED
- b. Some college/Associates Degree
- c. BA/BS Degree
- d. Graduate Degree
- e. Choose to not respond

Thank you!

CSR ENGAGEMENT SURVEY RESULTS

April 14, 2012

	Total Group	Union Affiliation		Gender		Tenure				Education			
		Union	Non-Union	Male	Female	<2	2-4	5-10	10+	HS/GED	Some college	BA/BS	Grad
Number of Respondents	118	25	61	14	75	12	24	23	35	6	24	33	26
1. I know what is expected of me at work	80	84	79	65	84	83	70	83	86	83	75	88	81
2. There is a clear link between my work and the mission of CSR	67	68	66	58/28	70	67	44	78	75	100	58	72	58
3. I am encouraged to be innovative at work	59	52	69	64/28	61	92	44/35	74	54	67	63/25	67	54/27
4. I have the materials and equipment to do my job right	61	68	53	50/29	62	67/25	55	57	57	83	46/33	66	62
5. I have access to updated policies, procedures & info	71	80	69	78	70	75	66	79	72	83	63	69	85
6. I am proud of the work I do	88	88	87	71	92	84	83	96	89	100	79	91	92
7. My input is valued	48/33	44/28	54/34	50/28	51/34	75/25	30/52	57	52/35	67	38/42	51/30	54/31
8. My opinions seem to count at work	43/32	36/28	48/34	43/36	45/34	75	22/64	57	41/30	60	29/46	45/30	50/31
9. I receive constructive and developmental feedback	57	68	56	57	58	66	39/31	70	60	100	42/33	61	62
10. We have cooperation and teamwork across CSR	35/48	40/32	30/58	28/50	37/48	75	9/83	48/39	30/44	67	26/57	30/52	43/43
11. I have positive relationships with my coworkers	87	96	84	100	87	92	74	91	94	83	88	91	89
12. I am satisfied with the recognition I receive	43/32	52	43/33	50	43/37	73	30/35	39/43	43/31	83	30/43	47	43/42
13. I have confidence in our senior leaders	28/50	28/48	33/48	21/43	32/48	66	13/70	26/48	30/50	83	30/55	24/49	32/48
14. We are successful meeting needs of clients/stakeholders	54	64	51	71	51	50	39/30	65	56/30	83	37/29	49	68

* Numbers in **Black** or **Green** (75%+) represent % Positive (Agree + Strongly Agree); **Red** (>25%) represents % Negative (Disagree + Strongly Disagree)

APPENDIX D

HUD Competitive ARRA Grant Analysis

The American Recovery and Reinvestment Act (ARRA) presented city and county community development agencies and their housing authorities with a unique opportunity to compete for one-time competitive grant funding. No other city-county agency responded to the charge better than the Nashville Metropolitan Development and Housing Agency (MDHA). This fact suggests that MDHA works well with other city development functions and has a track record of results.

Competitive Stimulus Grant Performance	Stimulus Expenditure Performance	Textual Analysis
		<p>Nashville MDHA won \$36 Million—more than the total grant funding awarded to ten of its peer cities</p> <p>MDHA works closely with city officials to implement the development activities approved by the Mayor, Council and MDHA Board.</p> <p>MDHA is a partner in downtown development.</p> <p>MDHA departments include: construction, asset management, development, finance and rental assistance.</p> <p>Neither Louisville nor its housing authority won a single competitive ARRA grant from HUD.</p> <p>MDHA excels in its ability to implement development programs funded by the federal government.</p> <p>Its federal expenditures approach 81% as of Dec. 2011, almost double the rate of drawing-down federal funds compared to its peer cities.</p> <p>Program areas include: MicroEnterprise, Urban Development, WaterFront Development, Design Review, Redevelopment Districts, Plans & Reports, Disaster Recovery, Brownfields, Fair Housing, Weatherization, Homeowner Rehab, Affordable Housing, NSP and Neighborhood Programs</p>

***Data derives from Recovery.gov and is current as of Dec. 31, 2011
 Analysis performed by the Office of Performance Improvement.

Community Development Block Grant (CDBG) Allocations and Expenditures

Source: US Department of Urban Housing and Development

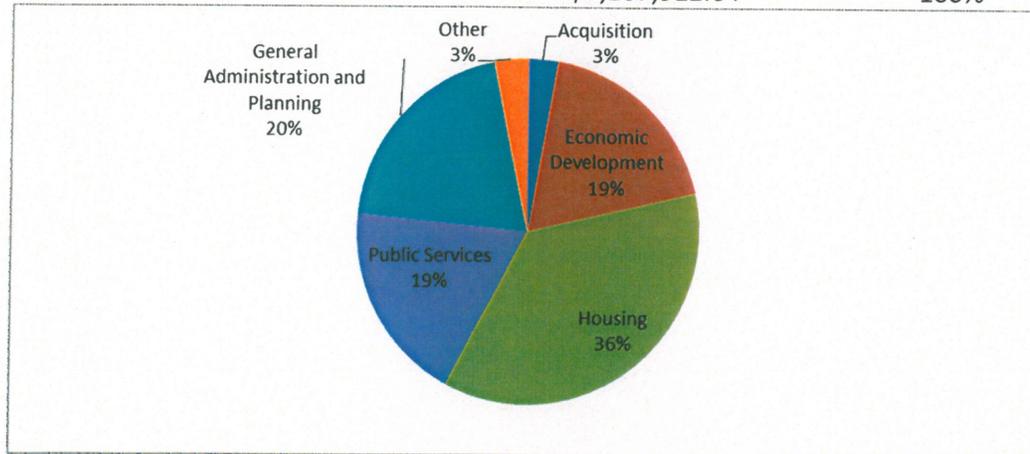
Website: State and Local Community Planning and Development Information

<http://www.hud.gov/offices/cpd/about/local/>

Columbus, OH

2009 CDBG Allocation	\$6,457,750.00
Program Income During Program Year 2009	\$1,494,673.78
Total Available	\$7,952,423.78

Type of Activity	Expenditure	Percentage
Acquisition	\$194,467.55	2.74%
Economic Development	\$1,324,998.21	18.64%
Housing	\$2,585,747.82	36.38%
Public Services	\$1,340,021.39	18.85%
General Administration and Planning	\$1,431,800.80	20.14%
Other	\$230,876.87	3.25%
Total	\$7,107,912.64	100%



Cincinnati, OH

2009 CDBG Allocation

\$13,007,722.00

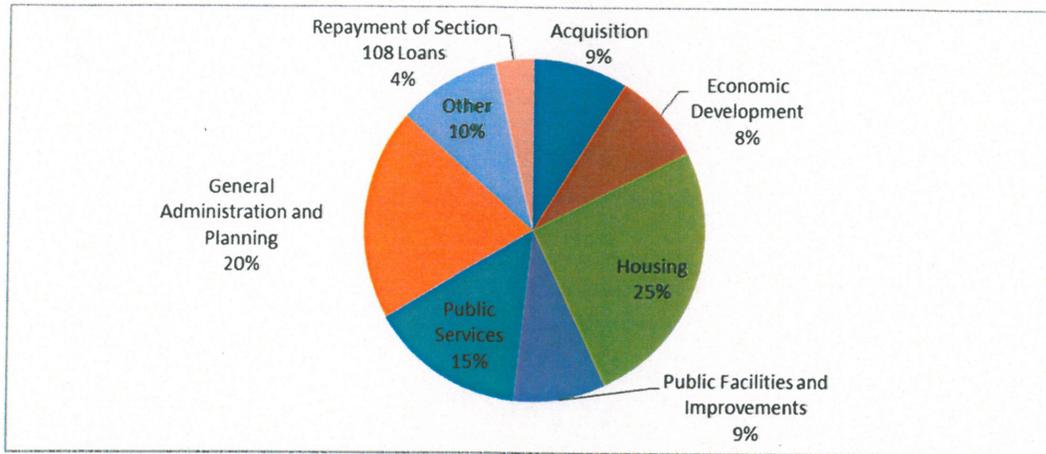
Program Income During Program Year 2009

\$2,295,388.67

Total Available

\$15,303,110.67

Type of Activity	Expenditure	Percentage
Acquisition	\$1,218,439.57	8.86%
Economic Development	\$1,184,499.79	8.62%
Housing	\$3,497,348.68	25.44%
Public Facilities and Improvements	\$1,202,618.85	8.75%
Public Services	\$2,037,240.94	14.82%
General Administration and Planning	\$2,761,161.57	20.09%
Other	\$1,339,954.95	9.75%
Repayment of Section 108 Loans	\$505,961.00	3.68%
Total	\$13,747,225.35	100%



Nashville, TN

2009 CDBG Allocation

\$4,984,105.00

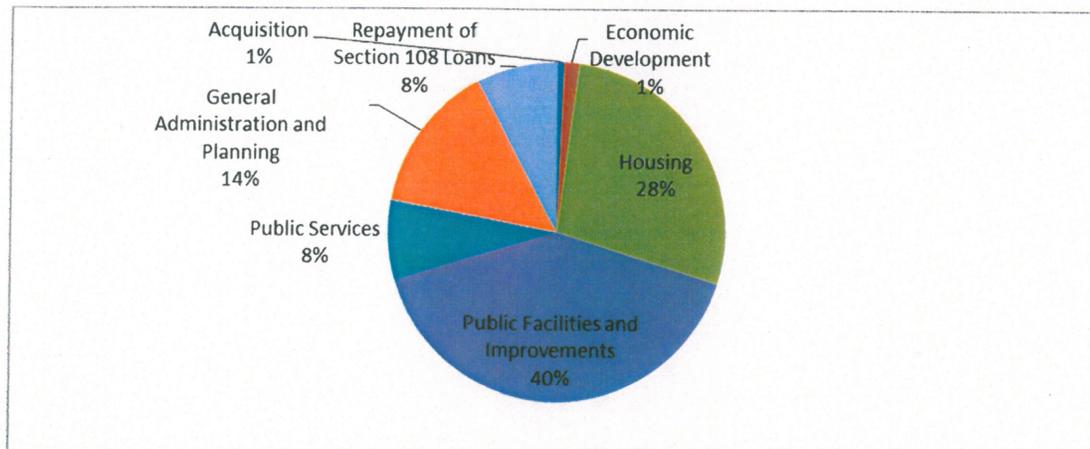
Program Income During Program Year 2009

\$288,282.33

Total Available

\$5,272,387.33

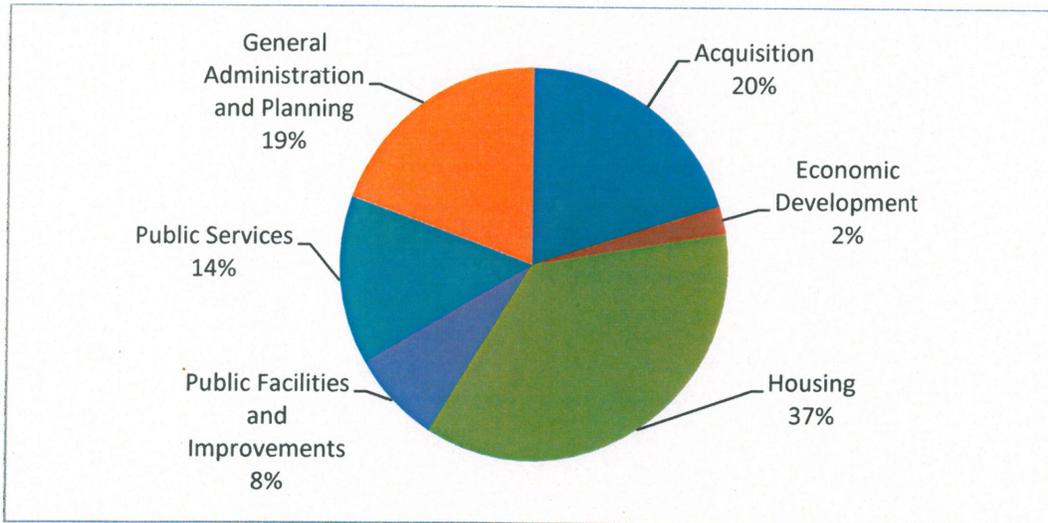
Type of Activity	Expenditure	Percentage
Acquisition	\$34,987.70	0.62%
Economic Development	\$82,013.06	1.45%
Housing	\$1,577,003.80	27.83%
Public Facilities and Improvements	\$2,292,173.94	40.45%
Public Services	\$431,189.26	7.61%
General Administration and Planning	\$806,367.27	14.23%
Repayment of Section 108 Loans	\$443,503.50	7.83%
Total	\$5,667,238.53	100%



Louisville, KY

2009 CDBG Allocation	\$11,894,234.00
Program Income During Program Year 2009	\$1,810,951.27
Total Available	\$13,705,185.27

Type of Activity	Expenditure	Percentage
Acquisition	\$2,803,516.35	20.08%
Economic Development	\$325,000.00	2.33%
Housing	\$5,100,277.72	36.54%
Public Facilities and Improvements	\$1,078,095.21	7.72%
Public Services	\$1,940,285.71	13.90%
General Administration and Planning	\$2,712,778.97	19.43%
Total	\$13,959,953.96	100%



Indianapolis, IN

2009 CDBG Allocation

\$9,584,284.00

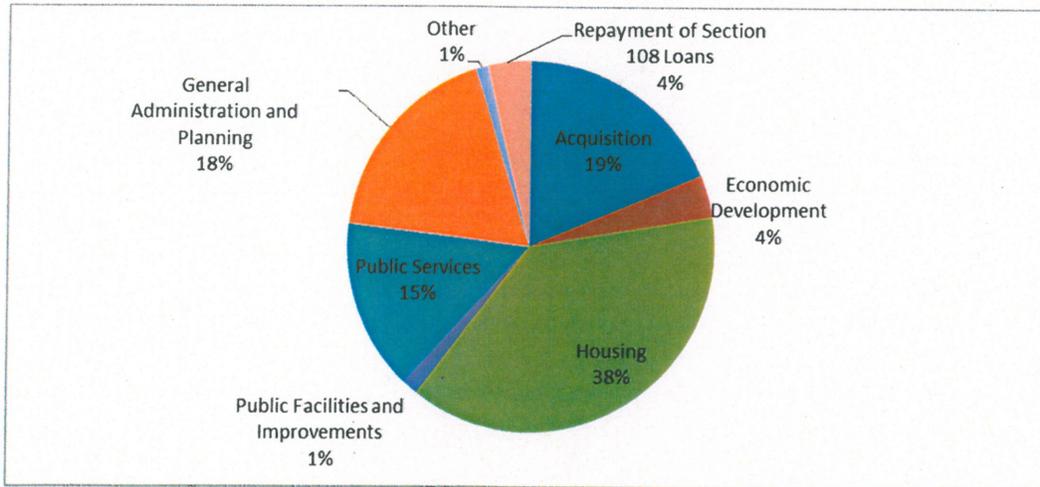
Program Income During Program Year 2009

\$1,601,556.92

Total Available

\$11,185,840.92

Type of Activity	Expenditure	Percentage
Acquisition	\$2,075,812.99	18.71%
Economic Development	\$408,426.57	3.68%
Housing	\$4,233,363.58	38.15%
Public Facilities and Improvements	\$162,702.32	1.47%
Public Services	\$1,655,835.84	14.92%
General Administration and Planning	\$2,019,847.62	18.20%
Other	\$118,854.96	1.07%
Repayment of Section 108 Loans	\$422,660.00	3.81%
Total	\$11,097,503.88	100%



Raleigh, NC

2009 CDBG Allocation

\$2,450,530.00

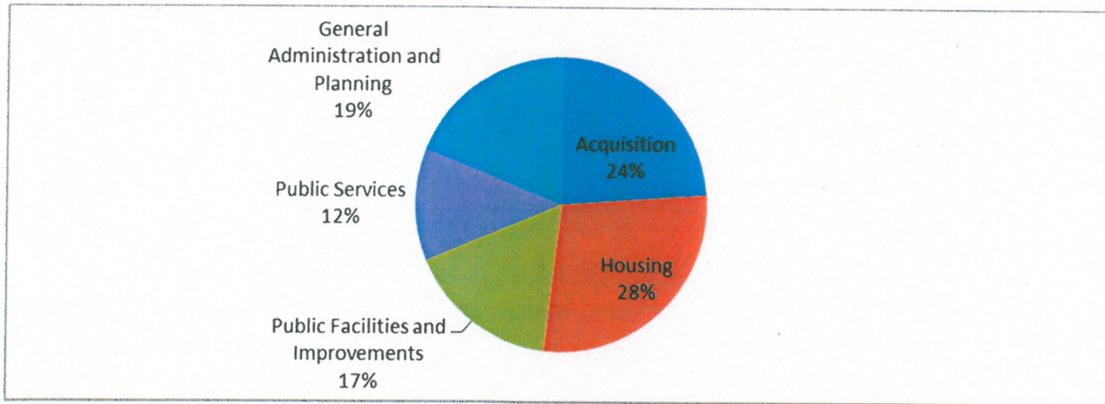
Program Income During Program Year 2009

\$506,645.22

Total Available

\$2,957,175.22

Type of Activity	Expenditure	Percentage
Acquisition	\$521,121.33	23.88%
Housing	\$611,232.58	28.01%
Public Facilities and Improvements	\$366,812.64	16.81%
Public Services	\$269,335.12	12.34%
General Administration and Planning	\$413,325.30	18.94%
Total	\$2,181,826.97	100%



CDBG Housing, Economic Development, Public Service Expenditures, and G&A Expenditures

Source: US Department of Urban Housing and Development

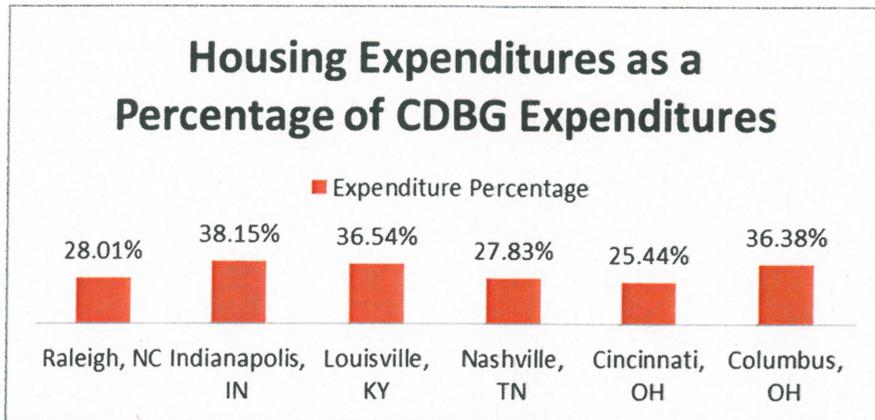
Website: State and Local Community Planning and Development Information

<http://www.hud.gov/offices/cpd/about/local/>

Source: Program Year 2010 Consolidated Annual Performance and Evaluation Report (CAPER) – Each Jurisdiction

Housing Expenditure Comparison

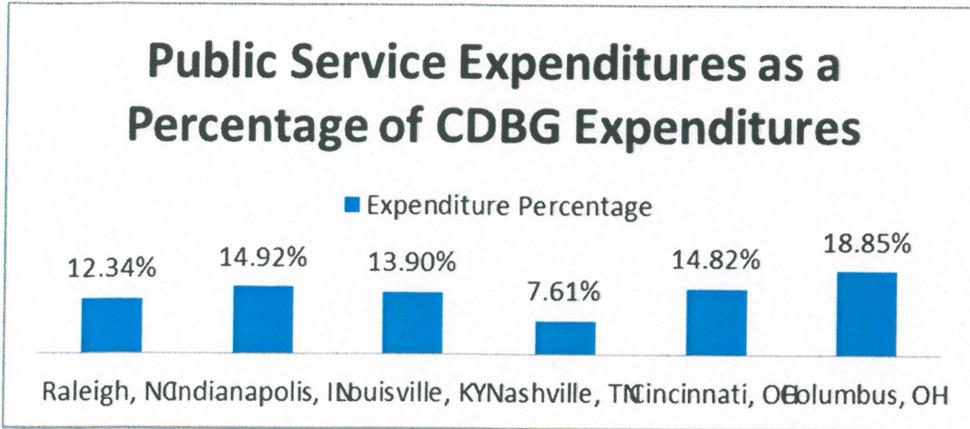
Jurisdiction	Expenditure Percentage
Raleigh, NC	28.01%
Indianapolis, IN	38.15%
Louisville, KY	36.54%
Nashville, TN	27.83%
Cincinnati, OH	25.44%
Columbus, OH	36.38%



Each jurisdiction identified Housing as a top priority. Housing activities include down payment assistance, housing unit repairs and rehabilitation, housing unit production and tenant based rental assistance programs.

Public Service Expenditure Comparison

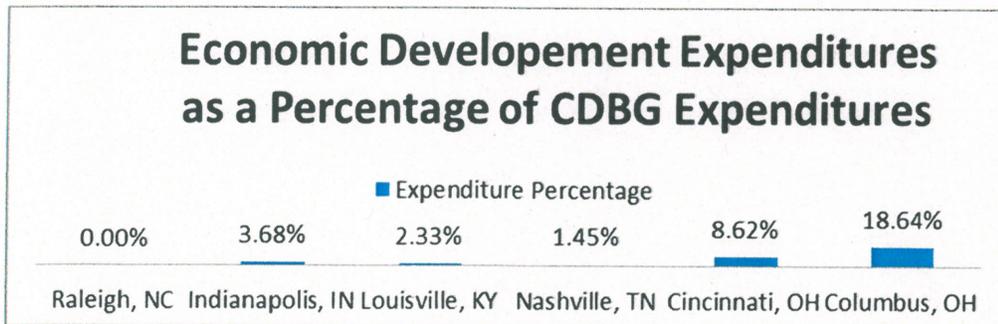
Jurisdiction	Expenditure Percentage
Raleigh, NC	12.34%
Indianapolis, IN	14.92%
Louisville, KY	13.90%
Nashville, TN	7.61%
Cincinnati, OH	14.82%



Public Service expenditures include job training, youth services, addressing fair housing issues, general public services, and health services. The cities of Cincinnati and Columbus offers funding to non-profits for community-oriented projects not related to housing including scholarships for tutoring, youth programs, and job training.

Economic Development Expenditure Comparison

Jurisdiction	Expenditure Percentage
Raleigh, NC	0.00%
Indianapolis, IN	3.68%
Louisville, KY	2.33%
Nashville, TN	1.45%
Cincinnati, OH	8.62%
Columbus, OH	18.64%

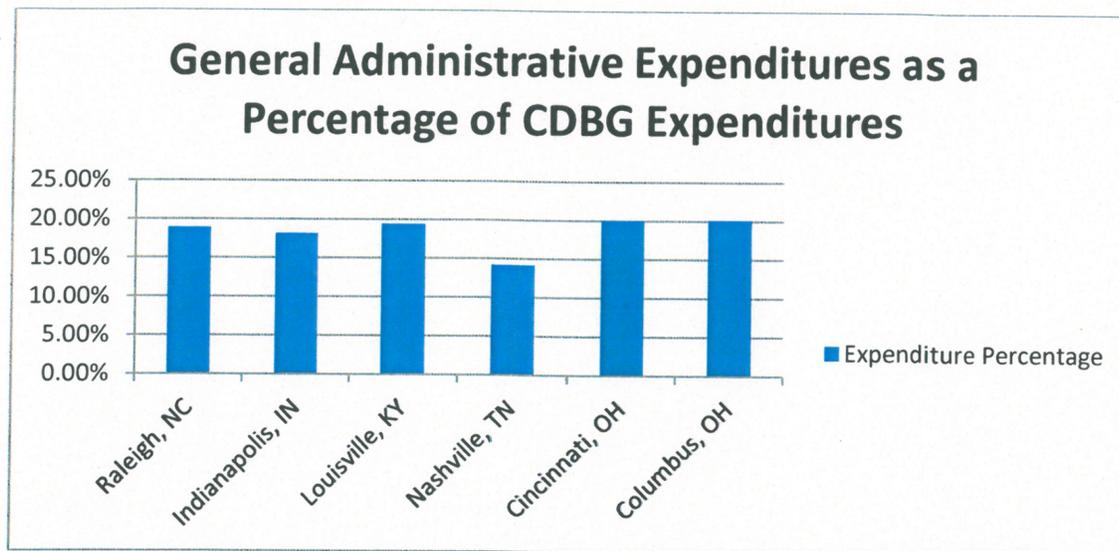


Economic Development activities include commercial building acquisition, construction, and rehabilitation. Activities also include direct financial assistance in the form of forgivable and low interest bearing loans to small and developing businesses. The city of Indianapolis expended CDBG funds on

economic development activities that also included commercial façade projects, summer youth programs and job training and placement programs.

General Administrative Expenses Expenditure Comparison

Jurisdiction	Expenditure Percentage
Raleigh, NC	18.94%
Indianapolis, IN	18.20%
Louisville, KY	19.43%
Nashville, TN	14.23%
Cincinnati, OH	20.09%
Columbus, OH	20.14%



Of the jurisdictions reviewed, Louisville is among the cities spending a greater percentage of its CDBG funds on administrative expenses instead of programming. However, Nashville spends the least on administrative expenditure. Louisville can explore how Nashville is able to spend such a small percentage of CDBG funds on administrative expenditures.

CDBG Program Income

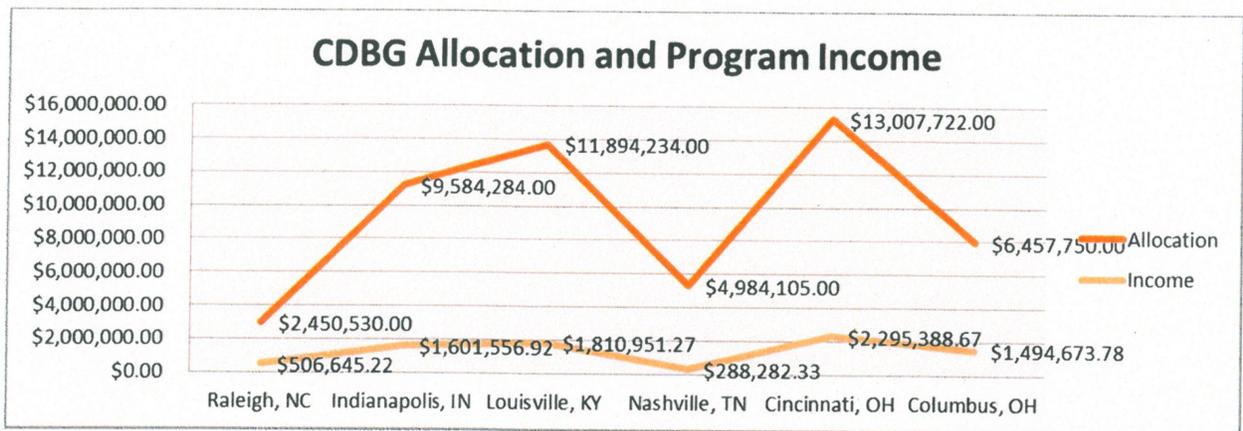
Source: US Department of Urban Housing and Development

Website: State and Local Community Planning and Development Information

<http://www.hud.gov/offices/cpd/about/local/>

Source: Program Year 2010 Consolidated Annual Performance and Evaluation Report (CAPER) – Each Jurisdiction

Jurisdiction	Allocation	Income
Raleigh, NC	\$2,450,530.00	\$506,645.22
Indianapolis, IN	\$9,584,284.00	\$1,601,556.92
Louisville, KY	\$11,894,234.00	\$1,810,951.27
Nashville, TN	\$4,984,105.00	\$288,282.33
Cincinnati, OH	\$13,007,722.00	\$2,295,388.67
Columbus, OH	\$6,457,750.00	\$1,494,673.78



The graph above compares the Program Year 2009 CDBG allocation for each jurisdiction. The allocations are based on a formula developed by the Department of Housing and Urban Development (HUD).

The graph also compares the amount of program income generated during the 2009 program year by each jurisdiction.

HOME Grant CHDO Production

Source: US Department of Urban Housing and Development

Website: State and Local Community Planning and Development Information

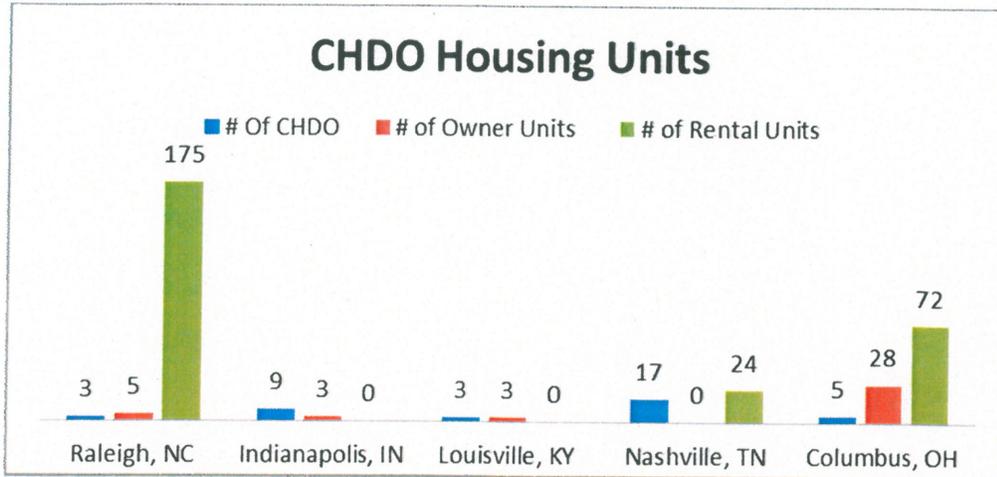
<http://www.hud.gov/offices/cpd/about/local/>

Source: Program Year 2010 Consolidated Annual Performance and Evaluation Report (CAPER) – Each Jurisdiction

CHDO

Jurisdiction	# Of CHDO	# of Owner Units	# of Rental Units
Raleigh, NC		3	5
			175

Indianapolis, IN	9	3	0
Louisville, KY	3	3	0
Nashville, TN	17	0	24
Columbus, OH	5	28	72



The jurisdictions are required by HUD to reserve 15% of their HOME allocation for affordable housing development projects sponsored or developed by Community Housing Development Organizations (CHDOs). The graph above shows the amount of certified CHDOs in each jurisdiction and the amount of units produced for program year 2010.

HUD Incomplete Projects as of 12/31/2011

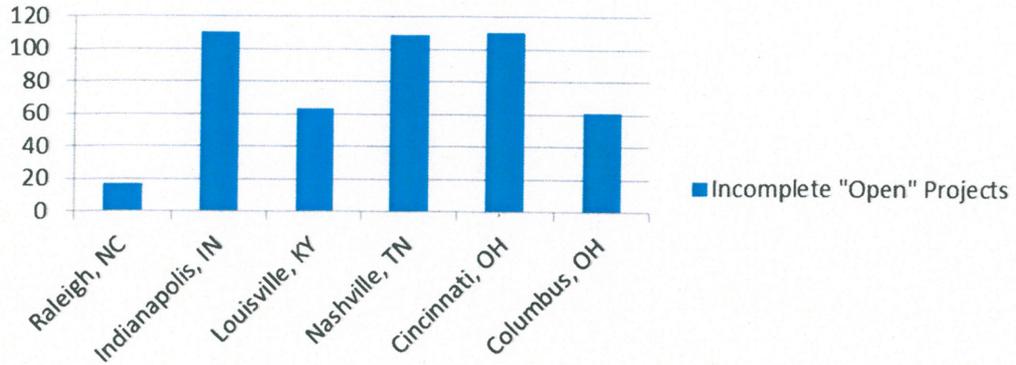
Source: US Department of Urban Housing and Development

Website: State and Local Community Planning and Development Information

<http://www.hud.gov/offices/cpd/about/local/>

Jurisdiction	Incomplete "Open" Projects
Raleigh, NC	17
Indianapolis, IN	110
Louisville, KY	63
Nashville, TN	109
Cincinnati, OH	110
Columbus, OH	61

Incomplete "Open" Projects



APPENDIX E

QUALITY CUSTOMER SERVICE SURVEY

Hello!

Your opinion is important. Please take a few minutes to tell us about your experience today.

1. How important did you consider your issue to be? (Check one only)

Crisis High Medium Low

2. Were we able to help you today? (Check one only) YES NO Somewhat

If not, explain why: _____

3. Rate each item for how satisfied you are with the service you received today, using the scale below of 1 to 5.

(1=Completely Dissatisfied; 2=Somewhat Dissatisfied; 3=Neutral; 4=Somewhat Satisfied; 5=Completely Satisfied)

(a.) I was treated with courtesy and respect like a valued customer.

(b.) The representative took the time to listen to, and to understand, my issue.

(c.) I was given an effective answer to solve my issue the first time.

(d.) I was provided a timely response to resolve my issue.

4. How would you rate your "Overall" satisfaction level for your visit today? (Check one only)

Completely Satisfied

Somewhat Satisfied

Neutral

Somewhat Dissatisfied

Completely Dissatisfied

Thank you for your help. We will take your input into consideration to improve the city's customer services for you in the future.

Sincerely,

The Mayor's Review Team

Louisville Metro Community Services & Revitalization

3/26/12

CS&R QUALITY CUSTOMER SERVICE SURVEY RESULTS

April 16, 2012

	Total Group	ISSUE: CRISIS LEVEL (C)	HIGH LEVEL (H)	MEDIUM LEVEL (M)	LOW LEVEL (L)
1. Number of Respondents					
Complete Data 83%	112	60	41	6	5
* Incomplete data (17%)	23	12	8	1	2
TOTAL	135	72	49	7	7
2. Were we able to help you?	110				
YES: 84%	92: 73/*19	53 58% : 43/*10	30 33% : 24/*6	6: 5/*1	3: 1/*2
NO/SOMEWHAT: (16%)	18: 13/*5	6: 4/*2	12: 9/*3	0	1
3. Rating "OVERALL" Satisfaction level	Completely Satisfied	Somewhat Satisfied	Neutral	Somewhat Dissatisfied	Completely Dissatisfied
TOTAL: 110	95 86% : 43C/24H/ 5M/1L +(*22)	9 (8%): 2C/5H +(*2)	2 (2%): 1C/1H	3 (3%): 1C/2H	1 (1%): 1H
4. Citizen's Bill of Rights (Quality Customer Service Focus)	Completely Satisfied 92%	Somewhat Satisfied	Neutral	Somewhat Dissatisfied	Completely Dissatisfied
A. I was treated with courtesy and respect like a valued customer	82 95%	0	1	1	1
B. The representative took time to listen & understand my issue	80 93%	2	1	2	0
C. I was given an effective answer to solve my issue the first time	74 88%	4	3	3	0
D. I was provided a timely response to resolve my issue	76 90%	2	2	3	1

* Numbers in **Green** (75%+) = % Positive (Completely Satisfied); **Red** (>25%) = % Negative (Somewhat to Completely Dissatisfied)

APPENDIX F

Partner/Agency Relationship Survey

Question	Total Responses					% Satisfied		% Dissatisfied	
	High	Sat	Neutral	Low	Dissatisfied	High	Sat	Neutral	Low
1. Access - Convenience	5	9	3	1	3	67%	19%		
2. Focus on Growth	6	7	2	5	1	62%	29%		
3. Collaborative	7	8	4	1	1	52%	10%		
4. Transparency	3	7	5	2	3	48%	24%		
5. Innovative	4	11	1	3	2	71%	24%		
6. Customer Service	8	10	0	1	2	86%	14%		
7. Execution & Timeliness	8	7	2	3	1	71%	19%		
8. Truthful and Trustworthy	8	10	2	0	0	86%	0%		

Question

1. Access - Convenience
2. Focus on Growth
3. Collaborative
4. Transparency
5. Innovative
6. Customer Service
7. Execution & Timeliness
8. Truthful and Trustworthy

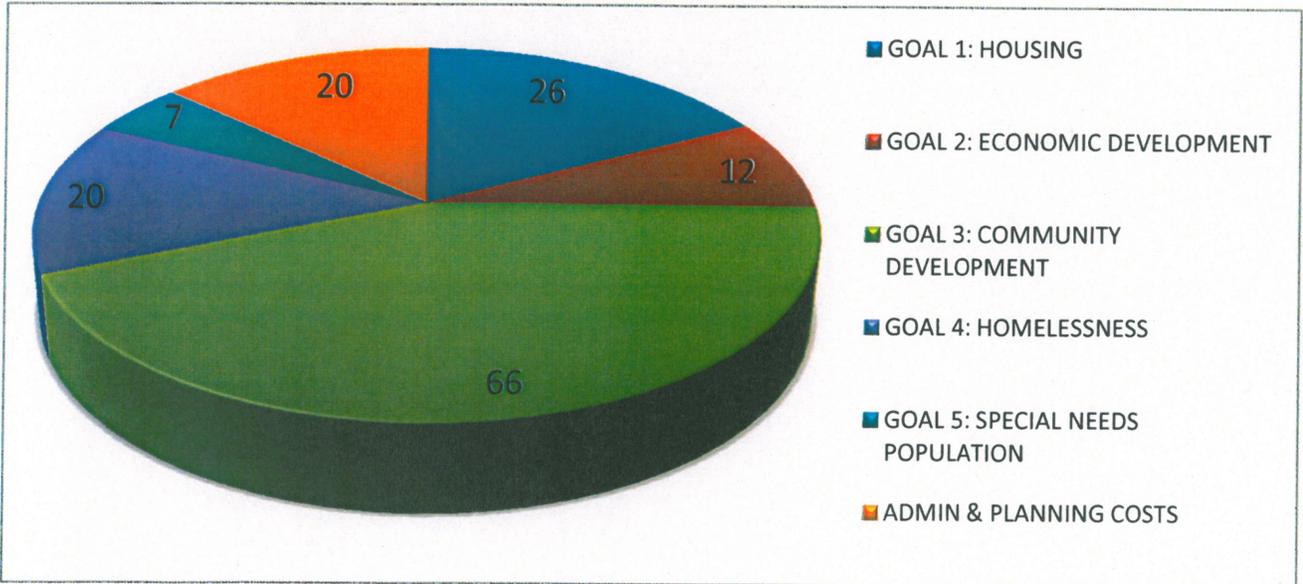
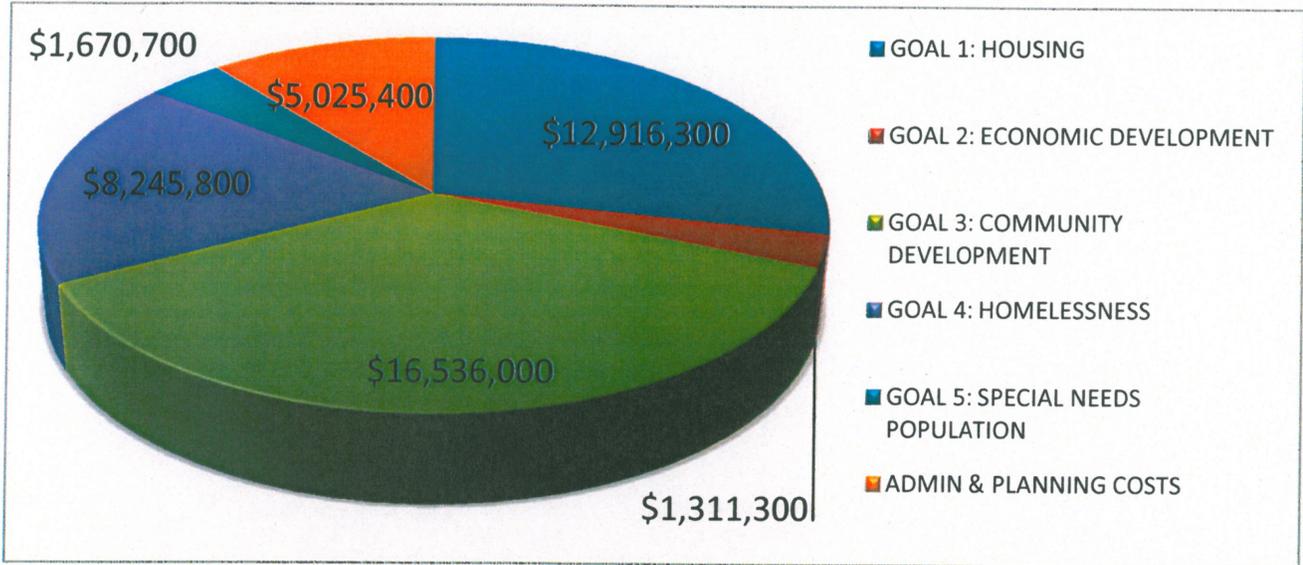
APPENDIX G



LOUISVILLE METRO DEPARTMENT OF
**COMMUNITY SERVICES
AND REVITALIZATION**

FINANCIAL & RESOURCE ALIGNMENT OF CS&R

<u>GOAL</u>	<u>AMOUNT</u>	<u>%</u>	<u>CSR STAFF</u>	<u>%</u>
GOAL 1: HOUSING	\$ 12,916,300	28%	26	17%
GOAL 2: ECONOMIC DEVELOPMENT	\$ 1,311,300	3%	12	8%
GOAL 3: COMMUNITY DEVELOPMENT	\$ 16,536,000	36%	66	44%
GOAL 4: HOMELESSNESS	\$ 8,245,800	18%	20	13%
GOAL 5: SPECIAL NEEDS POPULATION	\$ 1,670,700	4%	7	5%
ADMIN & PLANNING COSTS	\$ 5,025,400	11%	20	13%
	<u>\$ 45,705,500</u>		<u>151</u>	



APPENDIX H



Foreclosure rates: 20 cities with highest filings and state-by-state rankings

The highest foreclosure rates are primarily in cities where the proceedings don't move through the courts.

By Melinda Fulmer of MSN Real Estate

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Like 33

9



In the first quarter of 2011, all but one of the 20 highest foreclosure rate metros — Cape Coral-Fort Myers, Fla. — were in "nonjudicial" states where foreclosure proceedings don't move through the courts. Foreclosures in these states are moving more rapidly.

California cities accounted for 11 of the 20 highest foreclosure rates. But Las Vegas retained its top spot in the quarter as the market where the most buyers who gambled on a home stood to lose.

Here are the cities with the highest rates, followed by state-by-state rankings.

20 cities with highest foreclosure rates, 2011 first quarter

Rank	Metro	Total # of filings	% Housing units	1/every # of households	% change from Q4 2010	% change from Q1 2010
1	Las Vegas-Paradise, NV	26,275	3.21	31	-11.54	-7.74
2	Modesto, CA	3,809	2.17	46	-9.52	-25.87
3	Stockton, CA	4,821	2.11	47	-7.2	-23.8
4	Phoenix-Mesa-Scottsdale, AZ	36,422	2.1	48	14.16	-19.42
5	Vallejo-Fairfield, CA	3,111	2.06	48	-5.53	-14.11
6	Riverside-San Bernardino-Ontario, CA	29,859	2.04	49	-6.84	-27.17
7	Merced, CA	1,605	1.91	52	-11.18	-30.43
8	Reno-Sparks, NV	3,369	1.84	54	-5.66	-10.78
9	Bakersfield, CA	4,729	1.72	58	-17.35	-25.45
10	Fresno, CA	4,986	1.61	62	5.21	-7.51
11	Sacramento-Arden-Arcade-Roseville, CA	13,606	1.59	63	-10.94	-21.98
12	Visalia-Porterville, CA	2,091	1.5	67	-7.93	-14.69
13	Boise City-Nampa, ID	3,458	1.42	70	3.01	-10.58
14	Prescott, AZ	1,456	1.36	73	25.41	-9.79
15	Atlanta-Sandy Springs-Marietta, GA	27,250	1.26	79	-4.13	-6.48
16	Salt Lake City, UT	4,907	1.22	82	-0.45	-4.81
17	Oxnard-Thousand Oaks-Ventura, CA	3,340	1.22	82	-9.44	-15.06
18	Cape Coral-Fort Myers, FL	4,248	1.16	86	-34.48	-58.74
19	Salinas, CA	1,616	1.15	87	2.34	-31.93
20	Detroit-Warren-Livonia, MI	21,192	1.12	90	-9.58	-25.31

Chart data provided by RealtyTrac

Foreclosure filings by state, 2011 first quarter

Rank	State	Total # of filings	1/every # of households	% change from Q4 2010	% change from Q1 2010
1	Nevada	32,066	35	-10.38	-7.21
2	Arizona	46,047	60	15.18	-17.31
3	California	168,543	80	-3.57	-22.07
4	Utah	9,680	98	-7.08	-10
5	Idaho	6,117	106	8.38	-3.53
6	Georgia	37,509	108	-3.59	-6.02

7	Michigan	37,506	121	-9.71	-17.99
8	Florida	58,322	152	-47.16	-62.02
9	Colorado	13,847	157	-11.91	-13.58
10	Illinois	33,092	160	-20.42	-27.72
11	Hawaii	2,564	201	-15.77	-21.97
12	Ohio	24,697	206	-22.66	-25.66
13	Wisconsin	11,776	220	-4.96	1.13
14	Washington	12,784	220	-10.1	40.11
15	Oregon	7,058	232	-20.75	-41.55
16	Arkansas	5,306	247	-2.16	-15.05
17	South Carolina	8,225	253	-14.05	-12.36
18	Texas	34,646	281	1.45	-7.25
19	Tennessee	9,777	284	27.57	-18.32
20	New Hampshire	2,099	286	10.71	-18.89
21	Delaware	1,331	298	-1.04	9.91
22	New Mexico	2,895	303	-16.14	-13.27
23	Missouri	8,783	305	-10.37	-3.27
24	Minnesota	7,539	309	-12	-18.18
25	Rhode Island	1,440	314	-3.36	-22.95
26	Virginia	10,323	323	-20.59	-28.97
27	Iowa	4,108	327	-0.29	141.79*
28	Indiana	8,377	335	-30.41	-36.62
29	Kansas	3,599	343	1.44	-12.11
30	Louisiana	5,275	372	10.8	34.39
31	Alaska	753	377	9.77	-17.88
32	Oklahoma	4,313	383	-11.44	-24.15
33	Alabama	5,570	392	-11.5	-14.91
34	New Jersey	8,795	401	-42.99	-43.6
35	Maryland	4,777	490	-20.17	-67.84
36	North Carolina	8,178	521	-27.18	-11.7
37	Pennsylvania	10,401	531	-35.49	-29.29
38	Massachusetts	5,008	549	-46.21	-61.83
39	Connecticut	2,476	584	-39.43	-64.58
40	Montana	736	600	-13	-17.95
41	Kentucky	2,921	662	-16.9	-4.17
42	Maine	899	784	-0.44	-19.8
43	New York	8,252	972	-10.75	-32.08
44	Wyoming	244	1,022	3.83	67.12*
45	Nebraska	699	1,133	-26.03	-32.66
46	Mississippi	1,083	1,184	-43.24	-19.96
47	South Dakota	272	1,344	-33.82	19.3
48	West Virginia	275	3,250	-36.93	24.43
49	North Dakota	75	4,219	-37.5	-48.28
50	Vermont	32	9,820	-31.91	-8.57
	District of Columbia	63	4,526	-84.41	-87.6
--	U.S.	681,153	191	-14.76	-26.93

Chart data provided by RealtyTrac

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9

Jefferson County

Population in July 2007: 262,764.

Males: 124,241 (47.3%)

Females: 138,523 (52.7%)

Median resident age: 35.8 years

Kentucky median age: 35.9 years

Zip codes: 40201, 40202, 40203, 40204, 40205, 40206, 40207, 40208, 40209, 40210, 40211, 40212, 40213, 40214, 40215, 40216, 40217, 40218, 40219, 40220, 40221, 40222, 40223, 40224, 40225, 40228, 40229, 40231, 40232, 40233, 40241, 40242, 40243, 40245, 40250, 40251, 40252, 40253, 40255, 40256, 40257, 40258, 40259, 40261, 40266, 40268, 40269, 40270, 40272, 40280, 40281, 40282, 40283, 40285, 40287, 40289, 40290, 40291, 40292, 40293, 40294, 40295, 40296, 40297, 40298, 40299.

Louisville Zip Code Map

Estimated median household income in 2009: \$32,483 (it was \$28,843 in 2000)

Louisville: \$32,483

Kentucky: \$40,072

Estimated per capita income in 2009: \$21,274

Louisville city income, earnings, and wages data

Estimated median house or condo value in 2009: \$120,331 (it was \$81,900 in 2000)

Louisville: \$120,331

Kentucky: \$117,800

Mean prices in 2009: All housing units: \$148,560; Detached houses: \$149,909; Townhouses or other attached units: \$128,858; In 2-unit structures: \$143,608; In 3-to-4-unit structures: \$155,778; In 5-or-more-unit structures: \$132,395; Mobile homes: \$48,144

Recent home sales, real estate maps, and home value estimator for zip codes: 40202, 40203, 40204, 40205, 40206, 40207, 40208, 40210, 40211, 40212, 40213, 40214, 40215, 40216, 40217, 40218, 40219, 40220, 40222, 40228, 40229, 40241, 40242, 40243, 40245, 40258, 40272, 40291, 40299.

Williamson County

Population in July 2009: 605,473. Population change since 2000: +11.0%

Males: 293,117 (48.4%)
Females: 312,356 (51.6%)

Median resident age: 33.9 years
Tennessee median age: 35.9 years

Estimated median household income in 2009: \$45,540 (it was \$39,232 in 2000)

Nashville-Davidson: \$45,540
Tennessee: \$41,725

Estimated per capita income in 2009: \$25,965

Nashville-Davidson (balance) income, earnings, and wages data

Estimated median house or condo value in 2009: \$166,400 (it was \$111,800 in 2000)

Nashville-Davidson: \$166,400
Tennessee: \$137,300

Mean prices in 2009: All housing units: \$201,284; Detached houses: \$209,165; Townhouses or other attached units: \$179,491; In 2-unit structures: \$182,277; In 3-to-4-unit structures: \$154,616; In 5-or-more-unit structures: \$176,745; Mobile homes: \$52,630; Occupied boats, RVs, vans, etc.: \$39,327

Median gross rent in 2009: \$777.

Hamilton County

Population in July 2009: 333,013. Population change since 2000: +0.5%

Males: 157,172 (47.2%)
Females: 175,841 (52.8%)

Median resident age: 32.1 years
Ohio median age: 36.2 years

Zip codes: 45201, 45202, 45203, 45204, 45205, 45206, 45207, 45208, 45209, 45210, 45211, 45212, 45213, 45214, 45215, 45216, 45217, 45218, 45219, 45220, 45221, 45222, 45223, 45224, 45225, 45226, 45227, 45228, 45229, 45230, 45231, 45232, 45233, 45234, 45235, 45236, 45237, 45238, 45239, 45240, 45241, 45242, 45243, 45244, 45245, 45246, 45247, 45248, 45249, 45250, 45251, 45252, 45253, 45254, 45255, 45258, 45262, 45263, 45264, 45267, 45268, 45269, 45270, 45271, 45273, 45274, 45275, 45277, 45296, 45298, 45299, 45944, 45999.

Cincinnati Zip Code Map

Estimated median household income in 2009: \$32,754 (it was \$29,493 in 2000)

Cincinnati: \$32,754
Ohio: \$45,395

Estimated per capita income in 2009: \$23,593

Cincinnati city income, earnings, and wages data

Estimated median house or condo value in 2009: \$126,000 (it was \$93,200 in 2000)

Cincinnati: \$126,000
Ohio: \$134,600

Mean prices in 2009: All housing units: \$183,101; Detached houses: \$184,369; Townhouses or other attached units: \$194,306; In 2-unit structures: \$145,691; In 3-to-4-unit structures: \$186,791; In 5-or-more-unit structures: \$231,594; Mobile homes: \$69,505; Occupied boats, RVs, vans, etc.: \$298,345

Median gross rent in 2009: \$588.

Recent home sales, real estate maps, and home value estimator for zip codes: 45202, 45204, 45205, 45206, 45207, 45208, 45209, 45211, 45212, 45213, 45214, 45215, 45216, 45217, 45218, 45219, 45220, 45223, 45224, 45226, 45227, 45229, 45230, 45231, 45233, 45236, 45237, 45238, 45239, 45240, 45241, 45243, 45244, 45245, 45246, 45247, 45248, 45249, 45251, 45252, 45255.

Franklin County

Population in July 2009: 769,360. Population change since 2000: +8.1%

Males: 374,020 (48.6%)
Females: 395,340 (51.4%)

Median resident age: 30.6 years
Ohio median age: 36.2 years

Zip codes: 43085, 43201, 43202, 43203, 43204, 43205, 43206, 43207, 43209, 43210, 43211, 43212, 43213, 43214, 43215, 43216, 43217, 43218, 43219, 43220, 43221, 43222, 43223, 43224, 43226, 43227, 43228, 43229, 43230, 43231, 43232, 43234, 43235, 43236, 43240, 43251, 43260, 43265, 43266, 43268, 43270, 43271, 43272, 43279, 43284, 43287, 43291, 43299.

Columbus Zip Code Map

Estimated median household income in 2009: \$41,370 (it was \$37,897 in 2000)

Columbus: \$41,370
Ohio: \$45,395

Estimated per capita income in 2009: \$22,809

Columbus city income, earnings, and wages data

Estimated median house or condo value in 2009: \$138,200 (it was \$99,100 in 2000)

Columbus: \$138,200
Ohio: \$134,600

Mean prices in 2009: All housing units: \$153,970; Detached houses: \$158,353; Townhouses or other attached units: \$138,352; In 2-unit structures: \$162,079; In 3-to-4-unit structures: \$124,372; In 5-or-more-unit structures: \$118,458; Mobile homes: \$38,195; Occupied boats, RVs, vans, etc.: \$79,415

Median gross rent in 2009: \$761.

Recent home sales, real estate maps, and home value estimator for zip codes: 43201, 43202, 43203, 43204, 43205, 43206, 43207, 43209, 43211, 43212, 43214, 43215, 43217, 43219, 43220, 43221, 43222, 43223, 43224, 43227, 43228, 43229, 43231, 43232, 43235, 43240.

Marion County

Population in July 2009: 807,584. Population change since 2000: +3.3%

Males: 390,751 (48.4%)
Females: 416,833 (51.6%)

Median resident age: 33.5 years
Indiana median age: 35.2 years

Zip codes: 46201, 46202, 46203, 46204, 46205, 46206, 46207, 46208, 46209, 46211, 46214, 46216, 46217, 46218, 46219, 46220, 46221, 46222, 46223, 46224, 46225, 46226, 46227, 46228, 46229, 46230, 46231, 46234, 46235, 46236, 46237, 46239, 46240, 46241, 46242, 46244, 46247, 46249, 46250, 46251, 46253, 46254, 46255, 46256, 46259, 46260, 46266, 46268, 46274, 46275, 46277, 46278, 46280, 46282, 46283, 46285, 46290, 46291, 46295, 46298.

Indianapolis Zip Code Map

Estimated median household income in 2009: \$40,278 (it was \$40,051 in 2000)

Indianapolis: \$40,278
Indiana: \$45,424

Estimated per capita income in 2009: \$23,049

Indianapolis city (balance) income, earnings, and wages data

Estimated median house or condo value in 2009: \$120,400 (it was \$96,600 in 2000)

Indianapolis: \$120,400
Indiana: \$123,100

Mean prices in 2009: All housing units: \$144,403; Detached houses: \$148,211; Townhouses or other attached units: \$144,288; In 2-unit structures: \$104,679; In 3-to-4-unit structures: \$105,217; In 5-or-more-unit structures: \$140,869; Mobile homes: \$30,610; Occupied boats, RVs, vans, etc.: \$132,037

Median gross rent in 2009: \$715.

Recent home sales, real estate maps, and home value estimator for zip codes: 46201, 46202, 46203, 46204, 46205, 46208, 46214, 46216, 46217, 46218, 46219, 46220, 46221, 46222, 46224, 46225, 46226, 46227, 46228, 46229, 46231, 46234, 46235, 46236, 46237, 46239, 46240, 46241, 46250, 46254, 46256, 46259, 46260, 46268, 46278, 46280.

Wake County

Population in July 2009: 405,791. Population change since 2000: +47.0%

Males: 200,840 (49.5%)

Females: 204,951 (50.5%)

Median resident age: 30.9 years

North Carolina median age: 35.3 years

Zip codes: [27601](#), [27602](#), [27603](#), [27604](#), [27605](#), [27606](#), [27607](#), [27608](#), [27609](#), [27610](#), [27611](#), [27612](#), [27613](#), [27614](#), [27615](#), [27616](#), [27619](#), [27620](#), [27621](#), [27622](#), [27623](#), [27624](#), [27625](#), [27626](#), [27627](#), [27628](#), [27629](#), [27634](#), [27635](#), [27636](#), [27640](#), [27650](#), [27656](#), [27658](#), [27661](#), [27668](#), [27675](#), [27676](#), [27690](#), [27695](#), [27697](#), [27698](#), [27699](#).

Raleigh Zip Code Map

Estimated median household income in 2009: \$51,969 (it was \$46,612 in 2000)

Raleigh: \$51,969

North Carolina: \$43,674

Estimated per capita income in 2009: \$28,775

Raleigh city income, earnings, and wages data

Estimated median house or condo value in 2009: \$214,900 (it was \$152,400 in 2000)

Raleigh: \$214,900

North Carolina: \$155,500

Mean prices in 2009: All housing units: \$248,874; Detached houses: \$270,184; Townhouses or other attached units: \$169,367; In 2-unit structures: \$230,099; In 3-to-4-unit structures: \$170,911; In 5-or-more-unit structures: \$156,057; Mobile homes: \$42,716; Occupied boats, RVs, vans, etc.: \$18,381

Median gross rent in 2009: \$845.

Recent home sales, real estate maps, and home value estimator for zip codes: [27601](#), [27603](#), [27604](#), [27605](#), [27606](#), [27607](#), [27608](#), [27609](#), [27610](#), [27612](#), [27613](#), [27614](#), [27615](#), [27616](#), [27617](#).

APPENDIX I

SUPPORTING TOOLS & MODELS

The following tools and models have been used by other organization including the Louisville Water Company to implement the ideas and recommendations made in this report. It is by no means to be considered as the solution to all that CSR needs, it is merely provided in an effort to share best practices.

PRE-DECISIONAL INVOLVEMENT

Pre-decisional involvement is about getting input from subject matter experts when making decisions. In doing so the decision is improved and it often increases the buy-in of those affected by the final decision.

With input comes accountability for the outcome of the decision, therefore not everyone involved can be a “Full Partner” in the decision. The Levels of

Involvement Scale is a great tool for defining who should be involved and at what level. Defining this upfront is also a great way to communicate to employees when and at what level they will or will not be involved in decision making, eliminated false expectations and improving up-front communications

Peter Laze's Scale for Pre-decisional Involvement

Level I	Informed	<i>Communicated to</i>
Level II	Consulted	Opportunity to influence through <i>giving feedback on what is already designed</i>
Level III	Developers	<i>Participation in developing solutions, changes and proposals</i>
Level IV	Input in decision-making	Opportunity to influence final decision through consensus building corrective action
Level V	Involvement in final decision	Full Partners in reaching final decisions by consensus, formulating plans, monitoring, taking corrective action, assisting goals and activities

DECISION-MAKING MODEL

In addition to adopting the levels of involvement scale employees, managers and advisory teams need to understand how business decisions are made and the accountability that comes with having pre-decisional involvement. Some decisions are clearly appropriate for individuals to make, while others require a collaboration of individuals, and yet some need to be made by a team. The following conditions are to be considered in all decisions made:

- Time Restraints
- Accountability to Constituents, Clients, and Employees
- Intuitive Decision-Making requiring no input
- Problem Requires the Use of a Problem-Solving Model
- Magnitude of the Decision
- Impact on the Unionized Workforce

The example below uses the Decision Making Model with the Levels of Involvement to provide clear and upfront communication on how the organization makes various decisions. It also provides a type of communication checklist for when leaders begin to engage in decision making.

	Mayor	Chief	Director	Asst Dir	Manager	Supervisor	Staff	Council	Advisory Team
Design or Guidance									
Strategic Planning	V	IV	IV	IV	II	II	I	II	I
Operational Teams									
Capital Plans & Budgets	III	IV	IV	V	III	II	I	I	I
Operating Plans & Budgets			IV	V	III	II	I	I	I
Frontline Teams									
Work Teams			I	II	V	V	IV		
Process Analysis & Redesign			I	II	III	V	IV		
Process Improvement Teams			I	II	III	IV	V		
Task Teams				I			V		

EMPOWERMENT MODEL

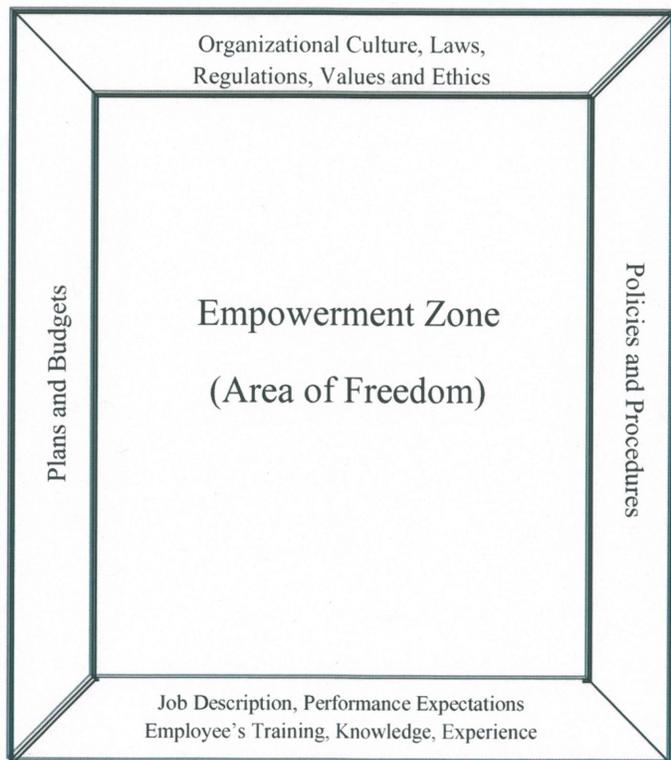
Empowering employees is allowing employees to take action within a set of defined boundaries (ie, the Area of Freedom) as a means of reducing unnecessary bureaucracy and improving efficiency and customer service. Each person's Area of Freedom is defined by four **fixed** boundaries:

On the top is the boundary fixed for the longest period of time - clear cultural, societal, and legal rules: don't knowingly sell dangerous products and keep your hands out of the till. Some rules are less universal: in one company, sales representatives might be expected to give football tickets to clients; in another company that might be grounds for dismissal.

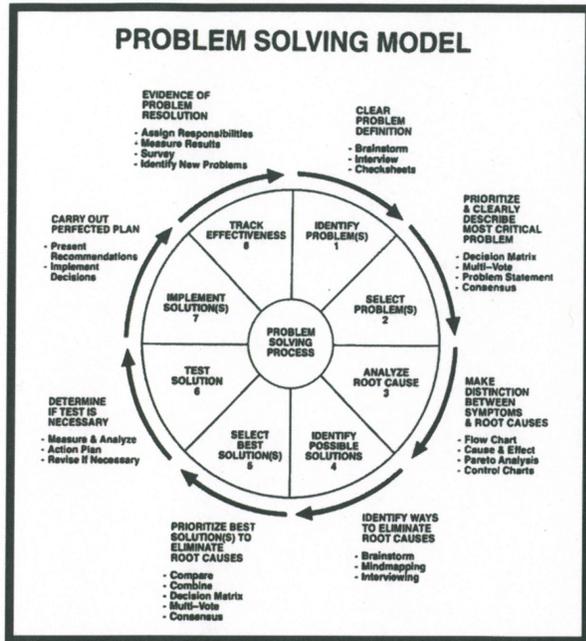
On the right side are company policies and procedures. Some of these are organization-wide, such as compensation policy. Others affect individual units; who is responsible for quality-manufacturing or quality control?

On the left, the area of freedom is bounded by the need to adhere to plans and budgets, which are usually fixed for specified time periods.

The lower boundary is the most personal. Some standards and objectives will probably be imposed, others negotiated. Our area of freedom grows closer to this boundary as we gain experience and knowledge.



PROBLEM-SOLVING MODEL



An eight step problem solving model can be used when it comes to ensuring a good method and the proper team tools are being used when trying to solve a complex problem with a team.

At each of the various steps, different team tools can be used, such as Brainstorming, Flow Charting, and Multi-voting to help move through the process effectively.

The use of this model and the tools help to effectively get to the root cause of a problem and subsequently develop meaningful solutions that all members of a team will support to implement.

The last and most important, but often forgotten step is to monitor the effectiveness of the solutions developed, and adjust as necessary.