

§ 2522.540

§ 2522.540 Do the costs of performance measurement or evaluation count towards the statutory cap on administrative costs?

No, the costs of performance measurement and evaluation do not count towards the statutory five percent cap on administrative costs in the grant, as provided in § 2540.110 of this chapter.

[70 FR 39603, July 8, 2005]

PERFORMANCE MEASURES: REQUIREMENTS AND PROCEDURES

§ 2522.550 What basic requirements must I follow in measuring performance under my grant?

All grantees must establish, track, and assess performance measures for their programs. As a grantee, you must ensure that any program under your oversight fulfills performance measure and evaluation requirements. In addition, you must:

- (a) Establish ambitious performance measures in consultation with AmeriCorps, or the State commission, as appropriate, following §§ 2422.560 through 2422.660 of this subpart;
- (b) Ensure that any program under your oversight collects and organizes performance data on an ongoing basis, at least annually;
- (c) Ensure that any program under your oversight tracks progress toward meeting your performance measures;
- (d) Ensure that any program under your oversight corrects performance deficiencies promptly; and
- (e) Accurately and fairly present the results in reports to AmeriCorps.

[70 FR 39603, July 8, 2005]

§ 2522.560 What are performance measures and performance measurement?

- (a) Performance measures are measurable indicators of a program's performance as it relates to member service activities.
- (b) Performance measurement is the process of regularly measuring the services provided by your program and the effect your program has in communities or in the lives of members or community beneficiaries.
- (c) The main purpose of performance measurement is to strengthen your AmeriCorps program and foster contin-

45 CFR Ch. XXV (10–1–24 Edition)

uous improvement and to identify best practices and models that merit replication. Performance measurement will also help identify programmatic weaknesses that need attention.

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§ 2522.570 What information on performance measures must my grant application include?

You must submit all of the following as part of your application for each program:

- (a) Proposed performance measures, as described in § 2522.580 and § 2522.590 of this part.
- (b) Estimated performance data for the program years for which you submit your application; and
- (c) Actual performance data, where available, as follows:
 - (i) For continuation programs, performance data over the course of the grant to date; and
 - (ii) For recompetiting programs, performance data for the preceding three-year grant cycle.

[70 FR 39603, July 8, 2005]

§ 2522.580 What performance measures am I required to submit to AmeriCorps?

- (a) When applying for funds, you must submit, at a minimum, the following performance measures:
 - (1) One set of aligned performance measures (one output, one intermediate-outcome, and one end-outcome) that capture the results of your program's primary activity, or area of significant activity for programs whose design precludes identifying a primary activity; and
 - (2) Any national performance measures AmeriCorps may require, as specified in paragraph (b) of § 2522.590.
- (b) For example, a tutoring program might use the following aligned performance measures:
 - (1) Output: Number of students that participated in a tutoring program;
 - (2) Intermediate-Outcome: Percent of students reading more books; and
 - (3) End-Outcome: Number and percent of students who have improved their reading score to grade level.
- (c) AmeriCorps encourages you to exceed the minimum requirements expressed in this section and expects, in

second and subsequent grant cycles, that you will more fully develop your performance measures, including establishing multiple performance indicators, and improving and refining those you used in the past. Any performance measures you submit beyond what is required in paragraph (a)(1) of this section may or may not be aligned sets of measures.

[70 FR 39603, July 8, 2005]

§ 2522.590 Who develops my performance measures?

(a) You are responsible for developing your program-specific performance measures through your own internal process.

(b) In addition, AmeriCorps may, in consultation with grantees, establish performance measures that will apply to all AmeriCorps-sponsored programs, which you will be responsible for collecting and meeting.

[70 FR 39603, July 8, 2005]

§ 2522.600 Who approves my performance measures?

(a) AmeriCorps will review and approve performance measures, as part of the grant application review process, for all non-formula programs. If AmeriCorps selects your application for funding, AmeriCorps will approve your performance measures as part of your grant award.

(b) If you are a program submitting an application under the State formula category, the applicable State commission is responsible for reviewing and approving your performance measures. AmeriCorps will not separately approve these measures.

[70 FR 39603, July 8, 2005]

§ 2522.610 What is the difference in performance measurements requirements for competitive and formula programs?

(a) Except as provided in paragraph (b) of this section, State commissions are responsible for making the final determination of performance measures for State formula programs, while AmeriCorps makes the final determination for all other programs.

(b) AmeriCorps may, through the State commission, require that for-

mula programs meet certain national performance measures above and beyond what the State commission has individually negotiated with its formula grantees.

(c) While State commissions must hold their sub-grantees responsible for their performance measures, a State commission, as a grantee, is responsible to AmeriCorps for its formula programs' performance measures.

[70 FR 39603, July 8, 2005]

§ 2522.620 How do I report my performance measures to AmeriCorps?

AmeriCorps sets specific reporting requirements, including frequency and deadlines, for performance measures in the grant award.

(a) In general, you are required to report on the actual results that occurred when implementing the grant and to regularly measure your program's performance.

(b) Your report must include the results on the performance measures approved as part of your grant award.

(c) At a minimum you are required to report on outputs at the end of year one and outputs and intermediate outcomes at the end of years two and three. We encourage you to exceed these minimum requirements.

[70 FR 39603, July 8, 2005, as amended at 73 FR 53760, Sept. 17, 2008]

§ 2522.630 What must I do if I am not able to meet my performance measures?

If you are not on track to meet your performance measures, you must develop and submit to AmeriCorps, or the State commission for formula programs, a corrective action plan, consistent with paragraph (a) of this section, or submit a request to AmeriCorps, or the State commission for formula programs, consistent with paragraph (b) of this section, to amend your requirements under the circumstances described in § 2522.640 of this subpart.

(a) Your corrective action plan must be in writing and include all of the following:

(1) The factors impacting your performance goals;

(2) The strategy you are using and corrective action you are taking to get

§ 2522.640

back on track toward your established performance measures; and

(3) The timeframe in which you plan to achieve getting back on track with your performance measures.

(b) A request to amend your performance measures must include all of the following:

(1) Why you are not on track to meet your performance requirements;

(2) How you have been tracking performance measures;

(3) Evidence of the corrective action you have taken;

(4) Any new proposed performance measures or targets; and

(5) Your plan to ensure that you meet any new measures.

(c) You must submit your plan under paragraph (a) of this section, or your request under paragraph (b) of this section, within 30 days of determining that you are not on track to meeting your performance measures.

(d) If you are a formula program, the State commission that approves the plan under paragraph (a) of this section or the request to amend your performance measures under paragraph (b) of this section, must forward an information copy to AmeriCorps' program office within 15 days of approving the plan or the request.

[70 FR 39603, July 8, 2005]

§ 2522.640 Under what circumstances may I change my performance measures?

(a) You may change your performance measures only if AmeriCorps or, for formula programs, the State commission, approves your request to do so based on your need to:

(1) Adjust your performance measure or target based on experience so that your program's goals are more realistic and manageable;

(2) Replace a measure related to one issue area with one related to a different issue area that is more aligned with your program service activity. For example, you may need to replace an objective related to health with one related to the environment;

(3) Redefine the service that individuals perform under the grant. For example, you may need to define your service as tutoring adults in English,

45 CFR Ch. XXV (10–1–24 Edition)

as opposed to operating an after-school program for third-graders;

(4) Eliminate an activity because you have been unable to secure necessary matching funding; or

(5) Replace one measure with another. For example, you may decide that you want to replace one measure of literacy tutoring (increased attendance at school) with another (percentage of students who are promoted to the next grade level).

(b) [Reserved]

[70 FR 39603, July 8, 2005]

§ 2522.650 What happens if I fail to meet the performance measures included in my grant?

(a) If you are significantly under-performing based on the performance measures approved in your grant, or fail to collect appropriate data to allow performance measurement, AmeriCorps, or the State commission for formula grantees, may specify a period of correction, after consulting with you. As a grantee, you must report results at the end of the period of correction. At that point, if you continue to under-perform, or fail to collect appropriate data to allow performance measurement, AmeriCorps may take one or more of the following actions:

(1) Reduce the amount of your grant;

(2) Suspend or terminate your grant;

(3) Use this information to assess any application from your organization for a new AmeriCorps grant or a new grant under another program administered by AmeriCorps;

(4) Amend the terms of any AmeriCorps grants to your organization; or

(5) Take other actions that AmeriCorps deems appropriate.

(b) If you are a State commission whose formula program(s) is significantly under-performing or failing to collect appropriate data to allow performance measurement, we encourage you to take action as delineated in paragraph (a) of this section.

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EVALUATING PROGRAMS: REQUIREMENTS
AND PROCEDURES**§ 2522.700 How does evaluation differ from performance measurement?**

(a) Evaluation is a more in-depth, rigorous effort to measure the impact of programs. While performance measurement and evaluation both include systematic data collection and measurement of progress, evaluation uses scientifically-based research methods to assess the effectiveness of programs by comparing the observed program outcomes with what would have happened in the absence of the program. Unlike performance measures, evaluations estimate the impacts of programs by comparing the outcomes for individuals receiving a service or participating in a program to the outcomes for similar individuals not receiving a service or not participating in a program. For example, an evaluation of a literacy program may compare the reading ability of students in a program over time to a similar group of students not participating in a program.

(b) Performance measurement is the process of systematically and regularly collecting and monitoring data related to the direction of observed changes in communities, participants (members), or end beneficiaries receiving your program's services. It is intended to provide an indication of your program's operations and performance. In contrast to evaluation, it is not intended to establish a causal relationship between your program and a desired (or undesired) program outcome. For example, a performance measure for a literacy program may include the percentage of students receiving services from your program who increase their reading ability from "below grade level" to "at or above grade level". This measure indicates something good is happening to your program's service beneficiaries, but it does not indicate that the change can be wholly attributed to your program's services.

[70 FR 39603, July 8, 2005]

§ 2522.710 What are my evaluation requirements?

(a) If you are a State commission, you must establish and enforce evaluation

requirements for your State formula subgrantees, as you deem appropriate.

(b) If you are a State competitive or direct AmeriCorps grantee (other than an Education Award Program grantee), and your average annual AmeriCorps program grant is \$500,000 or more, you must arrange for an independent evaluation of your program, and you must submit the evaluation with any application to AmeriCorps for competitive funds as required in § 2522.730 of this subpart.

(c) If you are a State competitive or direct AmeriCorps grantee whose average annual AmeriCorps program grant is less than \$500,000, or an Education Award Program grantee, you must conduct an internal evaluation of your program, and you must submit the evaluation with any application to AmeriCorps for competitive funds as required in § 2522.730 of this subpart.

(d) AmeriCorps may, in its discretion, supersede these requirements with an alternative evaluation approach, including one conducted by the AmeriCorps at the national level.

(e) Grantees must cooperate fully with all AmeriCorps evaluation activities.

[70 FR 39603, July 8, 2005]

§ 2522.720 How many years must my evaluation cover?

(a) If you are a State formula grantee, you must conduct an evaluation, as your State commission requires.

(b) If you are a State competitive or direct AmeriCorps grantee, your evaluation must cover a minimum of one year but may cover longer periods.

[70 FR 39603, July 8, 2005]

§ 2522.730 How and when do I submit my evaluation to the AmeriCorps?

(a) If you are an existing grantee re-competing for AmeriCorps funds for the first time, you must submit a summary of your evaluation efforts or plan to date, and a copy of any evaluation that has been completed, as part of your application for funding.

(b) If you again compete for AmeriCorps funding after a second