OCS Federal Perspectives: CSBG Performance Management Updates

NASCSP 2018 Winter Conference
Thursday, March 01, 2018, 8:30am

Presenters: Seth Hassett, Bill Bolduc, Elisha Anderson, Monique Alcantara, Latisha Harley, Roneika Carr

Agenda

• OCS Organization: The Division of Community Assistance (DCA)
• Community Services Block Grant (CSBG) Updates
  – CSBG Performance Management
  – Training and Technical Assistance/Partnerships
  – CSBG Grant Monitoring
Key CSBG Communication Channels

**Purpose:** To communicate to the CSBG Network OCS initiatives

- **Information Memorandum** - provides guidance to assist in implementing the CSBG legislation, program instruction and policy clarification.
- **Dear Colleague Letter** – provides updates on CSBG funding, initiatives and program developments.
- **Action Transmittal** – provides information and guidance to the network on initiatives where a specific action is required.

CSBG Performance Management Framework

- Involves an inclusive, multi-pronged approach
- Provides accountability at 3 levels (local, state, federal)
- Ensures efficiency and effectiveness
- Incorporates extensive input from the CSBG Network
- Demonstrates stronger results for individuals, families and communities with low-income nationwide

Theory of Change

*The National Community Action Network Theory of Change*

- **Community Action Goals**
  - Goal 1: Mobilizing people and families to take action
  - Goal 2: Mobilizing resources
  - Goal 3: Mobilizing community leaders

- **Core Principles**
  - People can be powerful allies
  - People want to be part of change
  - People want to help others

- **Services and Strategies**

- **Performance Management**
Results Oriented Management and Accountability System (ROMA) Next Generation

• A system for quality improvement to allow the network to measure, analyze and communicate performance
  - National Performance Indicators (NPIs)
  - Revised to measure impact of CSBG
  - Finalized NPIs: January 2017
  - Developed by the ROMA NG Center of Excellence
  - Implemented: FY 2017
  - Implemented Through: CSBG Annual Report
  - Included in first Annual Report: 4/7/2017

Continuous Learning & Improvement

• The Components of the Performance Management Framework (State and Federal Accountability Measures and ROMA Next Generation (NG)) will help the CSBG Network generate robust results for individuals with low-incomes and the communities served.

• State and Federal Accountability Measures and ROMA NG will help Community Action at all three levels shift to a culture of continuous learning and continuous improvement rather than a compliance and reporting culture.
Performance Management Framework Updates

CSBG Performance Management Framework – Implementation

Key Federal Guidance: IM-144 State and Federal Accountability Measures, IM-150 ACSI Target Setting & IM-152 Annual Report

State Accountability Measures – Background

- Created to track performance about critical activities and functions
- Developed with extensive CSBG Network input
- Detailed in IM No. 144 | Released October 2, 2015
- Collected through:
  - State Plan
  - Annual Report
- Implemented: FY 2016
State Accountability Measures

- Efficiency and Effectiveness
- State Plan Development
- Distribution of Funds
- Grantee Monitoring and Corrective Action
- Organizational Standards for Eligible Entities
- State Linkages and Communication
- Data Collection, Analysis, and Reporting

CSBG State Plan & Annual Report – Module 1

<table>
<thead>
<tr>
<th>CSBG State Plan</th>
<th>CSBG Annual Report – Module 1</th>
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<tbody>
<tr>
<td>Automated application in OLDC</td>
<td>Automated application in OLDC</td>
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<tr>
<td>Initiated Organizational Standards</td>
<td>Auto-populated responses from the State Plan</td>
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<td>Collects information on <strong>planned</strong> performance in these critical areas:</td>
<td>Collects information on <strong>actual</strong> performance in these critical areas:</td>
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<td>Development of state plan</td>
<td>Development of state plan</td>
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<td>Use of funds</td>
<td>Use of funds</td>
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<td>Grant monitoring</td>
<td>Grant monitoring</td>
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<td>Training and technical assistance</td>
<td>Training and technical assistance</td>
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<td>Review and feedback from OCS</td>
<td>Review and feedback from OCS</td>
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<tr>
<td><strong>Next Step:</strong> Updated State Plan in July 2018</td>
<td><strong>Next Steps:</strong> Automate Modules 2-4 in March 2019</td>
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FY2018 CSBG State Plan Revisions

- CSBG Model Plan → CSBG State Plan (CSP)
- Revisions based on technological refinements
  - Skip Logic
  - Pre-population
  - Cloning
  - CSBG Eligible Entity Master List
- Character Limits Updated
- Fewer Attachments
- Added options for dropdowns, check-all, and select one
- States should report on the Federal Fiscal Year
CSBG State Plan Clearance

- Current OMB Clearance: July 2015 – July 2018
- New OMB Clearance Required
  - COMPLETED: November 17, 2017 – January 16, 2018: Public Open Comment Period #1
  - NEXT: February 2018 – March 2018: Public Open Comment Period #2
- Implementation: FY2019 CSBG State Plan Submission
  - July 2, 2018: Anticipated date that the On-Line Data Collection (OLDC) will open for state submissions for the FY 2019 CSBG State Plan
- Ongoing updates from OCS

Webinars on the CSBG State Plan

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<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Audience</th>
<th>Description</th>
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<tbody>
<tr>
<td>January 9, 2018</td>
<td>3:00PM</td>
<td>All states</td>
<td>Changes to CSP. To discuss the proposed revisions to the CSBG State Plan. RECORDING CAN BE FOUND ON NASCSP WEBSITE</td>
</tr>
<tr>
<td>March 15, 2018</td>
<td>3:00PM</td>
<td>States submitting new plan in FY 2019</td>
<td>State Plan Prep! Things that need to be in place in order to be able to submit the CSBG State Plan, including CSBG Hearing Requirements, Attachments, and SF-424M. This will be repeated on an annual basis.</td>
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<tr>
<td>April 17, 2018</td>
<td>3:00PM</td>
<td>States submitting new plan</td>
<td>Button Down: Designation Letter(s), Authorizing Officials, Certifications. Requirements in regards to the designation letter, authorized officials and certifications. This will be repeated on an annual basis.</td>
</tr>
<tr>
<td>May 15, 2018</td>
<td>3:00PM</td>
<td>All states</td>
<td>Great! We Made It! A webinar to take place after the public comment periods close, and the CSBG State Plan is finalized to discuss the final revisions.</td>
</tr>
<tr>
<td>June 20, 2018</td>
<td>3:00PM</td>
<td>States submitting new plans</td>
<td>Submitting the Plan! A refresher training course on entering your data into the CSBG State Plan to include any differences from last year’s submission. This will be repeated on an annual basis.</td>
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<tr>
<td>June 21, 2018</td>
<td>3:00PM</td>
<td>States submitting the SF-424M apart from the plan</td>
<td>Submitting the SF-424M! An annual webinar focused on refreshers for submitting the SF-424M June 21, 2018</td>
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CSBG Annual Report - Module 1 Process Update & 2018 Review

The CSBG Annual Report - Module 1:
- Creates summary data by states and regions
- Populates national averages
- Highlights anomalies in regions
- Gathers information on states that are outliers in certain categories
- Looks at promising practices
- Provides baseline analysis on organizational standards
- Launch: February 5 – March 31 (FY 2018 review for FY 2017 data)
Organizational Standards

**Purpose:** to ensure that all eligible entities have appropriate organizational capacity

- CSBG Organizational Standards Center of Excellence (COE)
  - 3 thematic groups; 9 categories; 58 standards
  - Detailed in IM No. 138 | Released January 26, 2015
  - Implemented in FY 2016
  - Assessed for the 1st time in 2017 through the FY 2016 Annual Report
  - Organizational Standards Snapshots
  - Will not be updated for FY 2017

CSBG Organizational Standards “Snapshots”

Organizational Standards: Continuous Improvement

- **Analyze Internal Data**
  - Revisit information in the snapshots to identify priority areas for technical assistance and improvement across the state

- **Conduct State Level Analysis**
  - Identifying specific standards that need improvement
  - Looking for patterns among multiple entities, or
  - Identifying opportunities for technical assistance or support to several entities at once
Organizational Standards:
Continuous Improvement cont.

• Support Eligible Entities on Continuous Improvement
  – OCS encourages states to work with each entity to do the following:
    • Set targets for improvement, and
    • Create technical assistance plans to support those improvements

• OCS will continue to work with national and regional technical assistance partners to identify priority areas for technical assistance.

National and Regional Technical Assistance

• States and eligible entities are encouraged to use available technical assistance resources:
  – The Organizational Standards Center of Excellence administered by Community Action Partnership (CAP)
  – The CSBG Data Technical Assistance Center administered by the National Association for State Community Services Programs (NASCSP)
  – Regional Performance and Innovation Consortia (RPIC)
  – Community Action Program Legal Services, Inc. (CAPLAW)

Federal Accountability Measures (FAM)

• Establishing Baselines – Using available data sources, OCS defined its data collection methodology to calculate the baseline for each Federal Accountability Measure.

• Setting Targets – Considering the baseline, program resources, and CSBG Network expectations, OCS set targets for each Federal Accountability Measure with an established baseline.

• Measuring Progress – OCS developed two types of documents to support its monitoring and to share the results of its performance measurement to the CSBG Network:
  – Dashboard: CSBG Federal Accountability Measures
  – Report: CSBG Federal Accountability Measures
Dashboard: CSBG Federal Accountability Measures

- Implemented: FY 2016
- Previous Report: FY 2017
- Next Report: FY 2018

- Measures:
  - State Plan Review and Acceptance
  - Distribution of Funds
  -Grant Monitoring and Corrective Action
  -Grant Literature - Analysis, Use
  -Organizational Standards
  -Training and Technical Assistance
  -Communications
  -Grant Solicitation

- Sources of information:
  - State Plan
  -Annual Report
  -ACSI
  -Grant Monitoring
  -Other Federal Systems

ACSI Survey

Purpose: Survey data used to set targets and inform improvement strategies for the Federal Accountability Measures.

- Survey of Eligible Entities
  - First survey of eligible entities conducted in 1st Q 2016
  - Second survey conducted in June 2017
  - Survey results shared with states in August 2017

- Survey of States
  - Second survey of states conducted 1st Q 2016
  - Third survey of states conducted in October/November 2017
  - Results shared with OCS in January 2018

Community Services Block Grant
American Customer Satisfaction Index (ACSI) Score

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<tr>
<th>ACSI Score</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
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<tr>
<td>58</td>
<td>61</td>
<td>62</td>
<td></td>
</tr>
<tr>
<td>61</td>
<td>62</td>
<td>72</td>
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</table>
The 2017 ACSI Grantee Survey increased in the CSI from 58 to 62 from 2015 to 2017.

 Participation increased from 39 to 45.

<table>
<thead>
<tr>
<th>Category</th>
<th>2015 Score</th>
<th>2017 Score</th>
<th>Direction</th>
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<tbody>
<tr>
<td>Plan Review &amp; Acceptance</td>
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<td>66</td>
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<tr>
<td>Grant Monitoring</td>
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<td>Data Calculation</td>
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<tr>
<td>Training &amp; Technical Assistance - Staff</td>
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<td>70</td>
<td>↓</td>
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<tr>
<td>Training &amp; Technical Assistance - Providers</td>
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<tr>
<td>Communication</td>
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<td>↑</td>
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<tr>
<td>Customer Satisfaction Index</td>
<td>58</td>
<td>62</td>
<td>↓</td>
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<tr>
<td>Confidence in OCS</td>
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<tr>
<td>Trust in OCS</td>
<td>60</td>
<td>66</td>
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CSBG Training and Technical Assistance

Strengthening CSBG State Plan

OCS Feedback to the States

Quarterly Calls with States and RPICs
- Building relationships with OCS and peers
- Brainstorming ideas and improving processes
- Identifying and addressing concerns
- Networking opportunities
- Webinars

Quarterly Call Topics
- General updates
- CSBG State Plan
- CSBG Annual Report
State Plan and Annual Report Feedback Process – What Should I Expect?

• Written feedback within 45 days of receipt of the submitted State Plan or 60 days of receipt of the submitted Annual Report.
• A call with the state CSBG contact after OCS’ feedback to discuss the status of the submitted plan or report.
• Ongoing communication to provide technical until the State Plan has been accepted or the Annual Report has been finalized.

Training and Technical Assistance (T/TA) Strategy

• Detailed in IM No. 151
• Cooperative Agreements – Investments to build network capacity in:
  – performance management,
  – infrastructure and analytics,
  – governance,
  – leadership,
  – staff development,
  – effective State Oversight, and
  – Results-Oriented Services and Strategies

Training and Technical Assistance (T/TA) Strategy (cont.)

• CSBG Data Task Force – building network capacity for collecting, analyzing, reporting and using performance data
• Theory of Change – Tool to support performance management and evaluation models for Community Action;
• Regional Events – Two to Three regional technical assistance events per year; and
• Customer Feedback – Focus on continuous improvement and customer service at all levels of the network
T/TA Purpose

- To improve T/TA at all levels of the network to fulfill the promise of the new Performance Management Framework
- Priority areas:
  - Cooperative Agreements
  - CSBG Data Task Force
  - Theory of Change
  - Regional Events
  - Customer Feedback - ACSI

CSBG T/TA Cooperative Agreements

- Current grant awards:
  - Nationwide Performance Management System Development and Data Collection, Analysis and Reporting for CSBG
  - CSBG Legal Training and Technical Assistance
  - CSBG Learning Communities Resource Center
  - Regional Performance and Innovation Consortium (RPIC)
  - Organizational Standards Center of Excellence (OSCOE)

CSBG Grant Monitoring

Financial Operations & Accountability Branch (FOAB)
State Assessment
Issuance of a Monitoring Draft Report in the last 3 years

Best Practices for States

Opportunities for Improvements

CSBG Funds
- Reduce the timeliness of late draw downs.
- Disburse funds to eligible entities on a timely basis.

Risk Management
- Enhance risk assessment methods to make more efficient use of state monitoring resources.

Tripartite Board
- Reduce the length of time of vacancies.

Audit Readiness
- Follow-up on Single Audit issues, including other program or financial attributes.
- Federal Financial Reporting (SF-425)
  - Ensure completeness and accuracy over reporting.

10(e) on the Final FFR should match the total Federal Cash Disbursements reported in PMS. This section must be completed if indirect expenses are charged to CSBG. Note: Indirect expenses must support an approved Negotiated Indirect Cost Agreement.

OCS Support

- CSBG Program Specialist
- General CSBG Inquiries for States: CSBGStates@acf.hhs.gov

Please copy CSBGStates@acf.hhs.gov on all emails.

Questions?