

2020

**ANNUAL TRAINING
CONFERENCE**

A Virtual Event

State Approaches to Monitoring during COVID-19

READY



RESILIENT

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NASCSP | www.nascsp.org

Definition of Monitoring

A comprehensive approach to ensuring compliance with Federal, State, Eligible Entity performance goals, administrative standards, financial requirements and Federal regulations governing the CSBG program, including reviewing, assessing, evaluating, and improving the quality and types of services provided by CSBG subrecipients to low-income individuals, families, and communities.

Just the Facts, Ma'am...

To determine whether eligible entities meet the performance goals, administrative standards, financial management requirements, and other requirements of a State, the State shall conduct the following reviews of eligible entities...(CSBG Act, Section 678B; 42 U.S.C. § 9914)

- A full on-site review of each such entity at least once during each 3-year period.
- An on-site review for each newly designated entity immediately after the completion of the first year.
- Follow-up reviews, including prompt return visits to entities that fail to meet the goals, standards, and requirements set by the State.
- Other reviews as appropriate

Annual Org Standards Monitoring

Organizational Standards Compliance Monitoring

The State CSBG Lead Agency is responsible for assessing the status of standards among all of the eligible entities annually and for reporting to OCS on the standards in the CSBG Annual Report. States may design an approach for assessing organizational standards that fits within the oversight framework in their State.

(IM 138)

CARES Act Supplemental Monitoring

Monitoring the CARES Act Supplemental

- If the state is integrating all CSBG CARES Supplemental monitoring into the Regular CSBG Full On-Site, the state should include an additional section specific to the CSBG CARES Supplemental monitoring.
- If the state is conducting a CSBG CARES Supplemental only monitoring, the state must create a CSBG CARES Supplemental monitoring report
(CARES Act Supplemental State Plan)

- State monitors look at more than compliance with program rules and regulations
- State monitors assess the effectiveness of the board of directors
- State monitors assess administrative and leadership capacity of agency management as it relates to meeting the Board of Director's goals
- Monitoring CAAs is part of a process to strengthen CAAs and the entire Community Action Network
- The State CSBG office has a system in place to document and inform the agency of findings and/or deficiencies
- The State CSBG office has a system in place to provide training and technical assistance when necessary
- The State CSBG Office has considered the Performance Management Framework



Effective Monitoring Practices

Mutual Respect

Open Communication

Joint Problem Solving



Overview

- Who are we
- COVID 19 Impact
- Monitoring:
 - Philosophy
 - Pre COVID 19
 - During COVID 19
 - Post COVID 19
- Resources

Who Are We...

California CSBG Network

- 58 Counties
- 60 CSBG Eligible Entities
 - Public/Private
 - CAA
 - MSFW
 - NAI
 - Limited Purpose Agencies
- Allocation:
 - Regular \$65M
 - CARES \$89.1M
 - Disaster Supplemental \$1.1M





Who are we...

California Health and Human Services Agency

Dept. of Community Services and Development

Energy and Environmental Services



Community Services Division



Who are we

- **Community Services Division**
- **Deputy Director**
- **Program Development Unit**
 - 2 Analyst
 - 1 Research Analyst
- **Technical Support Unit**
 - 1 Manager
 - 4 Analyst
 - 1 Office Technician
- **Field Operations Unit**
 - 1 Manager
 - 4 Analyst



COVID 19 Impact

- Additional CSBG Funding
 - CARES
- Pivot from Current Delivery Strategies
- Shelter in place
- Modified Work Environment
 - Telework

Corona Style

Best Practices

READY & RESILIENT

Share some nuggets

Sharing
Is
Caring



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Monitoring: What does it look like



Pre-
COVID 19

- Onsite Visit
- Desk Review

While in-
COVID 19

- Virtual Onsite
- Desk Review
- Coordination calls
- Enhanced Fiscal Reviews

Post
COVID 19

Philosophy

Monitoring is a collaborative partnership between the State lead office and the CSBG Eligible Entities.





Pre Covid

- PMA
- Onsite Monitoring followed the federal Statute
 - Once every 3-years
- Desk Review
 - If not required to have an onsite
- Board Meeting Attendance (coordinated w/onsite)
- Organizational Standards (annually)

Monitoring RONA Style (during COVID)

- Engaged Network
- Coordinated monitoring efforts
- Updated monitoring tool and report



Monitoring RONA Style (during COVID)

- Monitoring strategy
 - Virtual Onsite
 - Entrance
 - Exit
 - Desk Reviews
 - Expenditure Testing
 - Monthly/Quarterly Reviews
 - Programmatic Verification
 - Final Monitoring Report
- 
- Final Monitoring Report
 - Coordination Calls
 - Training and Technical Assistance
 - Request for feedback via a Monitoring survey.
 - Coordination Calls
 - Request for feedback via a Monitoring survey.

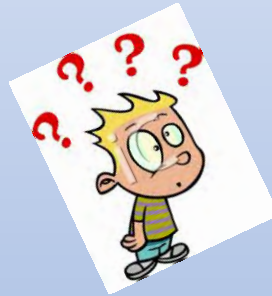
Post COVID 19

Maybe we continue to monitor virtually



What did OCS say?

Are we going onsite?



Maybe we do a hybrid

Benefits of the Monitoring Experience

- Objective Identification of areas of Weakness
- Reduces and Exposes areas of Risk
- Ensures agencies are aware of all applicable legal requirements
- Enhances agency efficiency – Window to Best Practices
- Encourages free and broad utilization of ROMA principles
- Feedback to support further Improvement

Benefits of the Monitoring Experience

Health Check

Monitoring community action agencies is part of a process to strengthen CAAs and the entire Community Action network.

The monitoring process should serve several purposes, including to provide the CAA with feedback about its programs, going beyond compliance to include an assessment of the CAA's ability to impact lives.



RESOURCES

- Your State's Monitoring Policies and Procedures
- Monitoring tool
- Federal and state laws and regulations
- Peer States
- NASCSP
 - Member Portal
 - Quarterly Calls
 - CSBG Program Director/Manager
- OCS Program Analyst
- CAPLAW website (Resources)
- NCAP

QUESTIONS



State Approach to Monitoring in Colorado

- Context
- Monitoring Processes
- Monitoring Philosophy
- Monitoring During COVID-19

Context for Colorado

- Colorado Department of Local Affairs is the Designated Agency
- Allocation
 - 6.5m - Annual
 - 8.7m CARES Act
- 64 Counties
- 32 Eligible Entities - Public/Private
 - Primarily Public
 - \$17k – \$900K Annual Allocations
- Staff
 - 3 program staff
 - 2.5 FTEs



Monitoring Processes – Desk Monitoring



Semiannual Report

Focuses primarily on Tripartite Board compliance



Fiscal Desk Monitoring

Full review of financial backup documentation



Monitoring Processes – Onsite Monitoring

Monitoring Tool Sections

- General Administration
- Tripartite board
- Needs Assessment
- Action Plan/Strategies/Services
- ROMA
- Client eligibility
- Fiscal Processes
- Grantee feedback on State program management

During the Onsite Visit

- State association attends
- Review responses to the monitoring tool with key personnel – ask follow-up questions
- Review client files for income eligibility processes/documentation
- Collect feedback from the grantee

After Visit

- Follow up questions
- Formal monitoring letter

Monitoring Processes – Onsite Monitoring

Monitoring Philosophy

Three priorities for the visit

- Compliance
- Technical Assistance
- Learning/Relationship Building

Compliance

- Determine the most important federal and state compliance issues
- What's relevant to the organization
- Identify concerns for that particular agency prior to the visit
- Let the grantee/program staff know if you've identified any major issues prior to issuing the monitoring letter

Technical Assistance



ESTABLISH TECHNICAL ASSISTANCE
AS A PRIORITY WITH THE GRANTEE
AT THE START OF THE VISIT



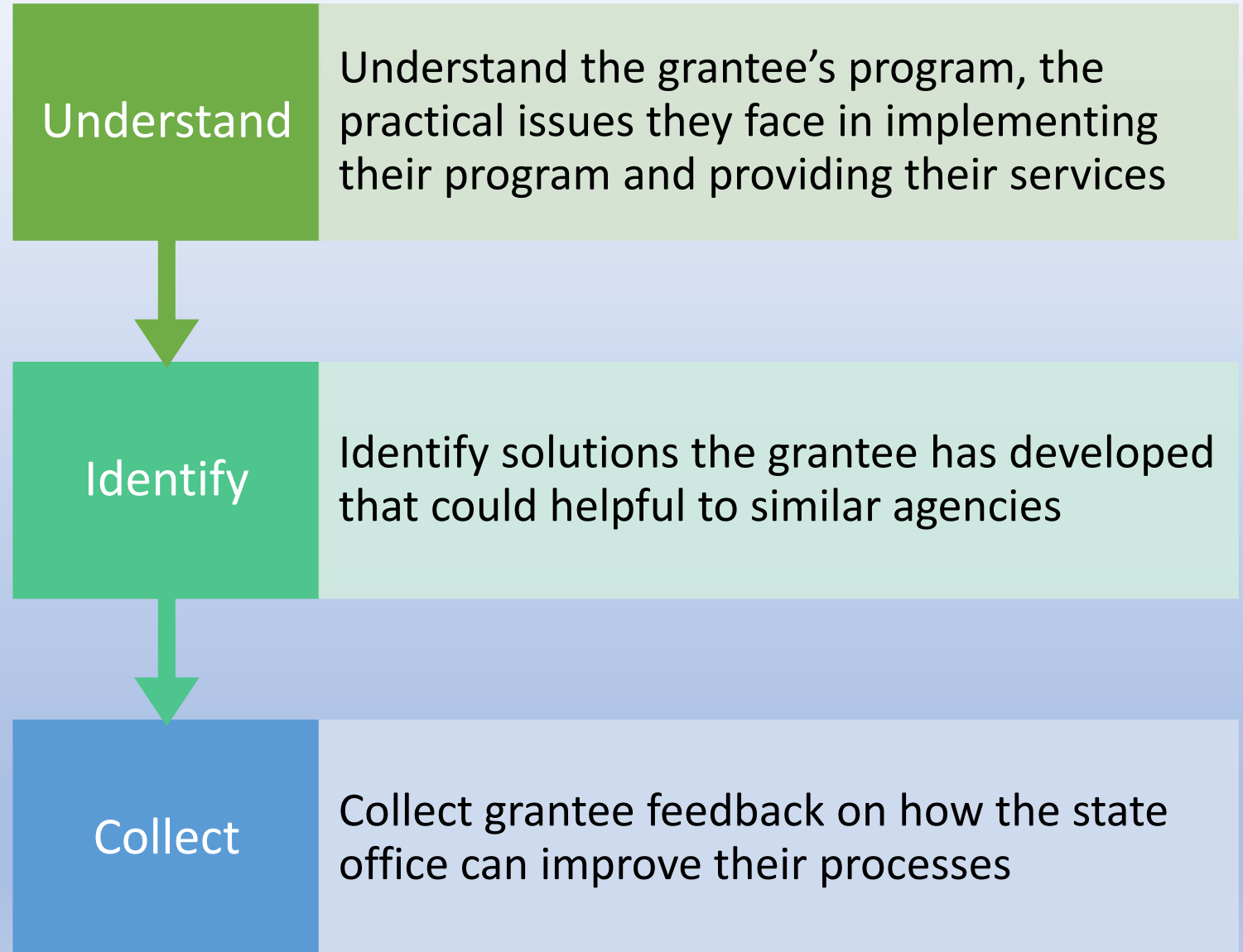
INCORPORATE OPPORTUNITIES
FOR GRANTEES TO IDENTIFY AREAS
FOR TA IN THE MONITORING TOOL



FOLLOW UP ON ADDITIONAL TA
RESOURCES OR SESSIONS

Learning/Relationship Building

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Monitoring During COVID- 19

Two-step process

- Onsite Visit
 - Review a predetermined set of files (typically client files to check for intake/income eligibility documentation)
 - Files are set out in a conference room before we arrive and we conduct our review without having to have an agency staff member present
 - Any follow up questions are asked during the conference call
- Conference Call/Virtual Visit
 - Review the monitoring tool with grantee staff

Monitoring During COVID- 19

Additional safety precautions for the onsite visit

- Only one staff member makes the onsite visit
- Conduct a self-wellness check prior to the visit
- Check local COVID-19 data and with the agency to confirm that there have been no cases identified within their staff
- Wear a mask



Questions?



Thank you!

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