National Association for State Community Services Programs

NASCSP

2023

WINTER TRAINING CONFERENCE
April 3 – 7 | Arlington, VA

MISSION POSSIBLE
Restoring Hope

Monitoring Workshop

www.nascsp.org

NASCSP 2023 Winter Training Conference | **www.nascsp.org**

State Monitoring Requirements

- A state CSBG office is required to conduct the following reviews of a CAA:

  - Full on-site review at least once every 3 years;

  - On-site review of newly-designated entities after the first year;

  - Other reviews as appropriate; and/or

  - A prompt follow-up review if a CAA fails to meet goals, standards, and requirements established by the state

U.S.C. § 9914
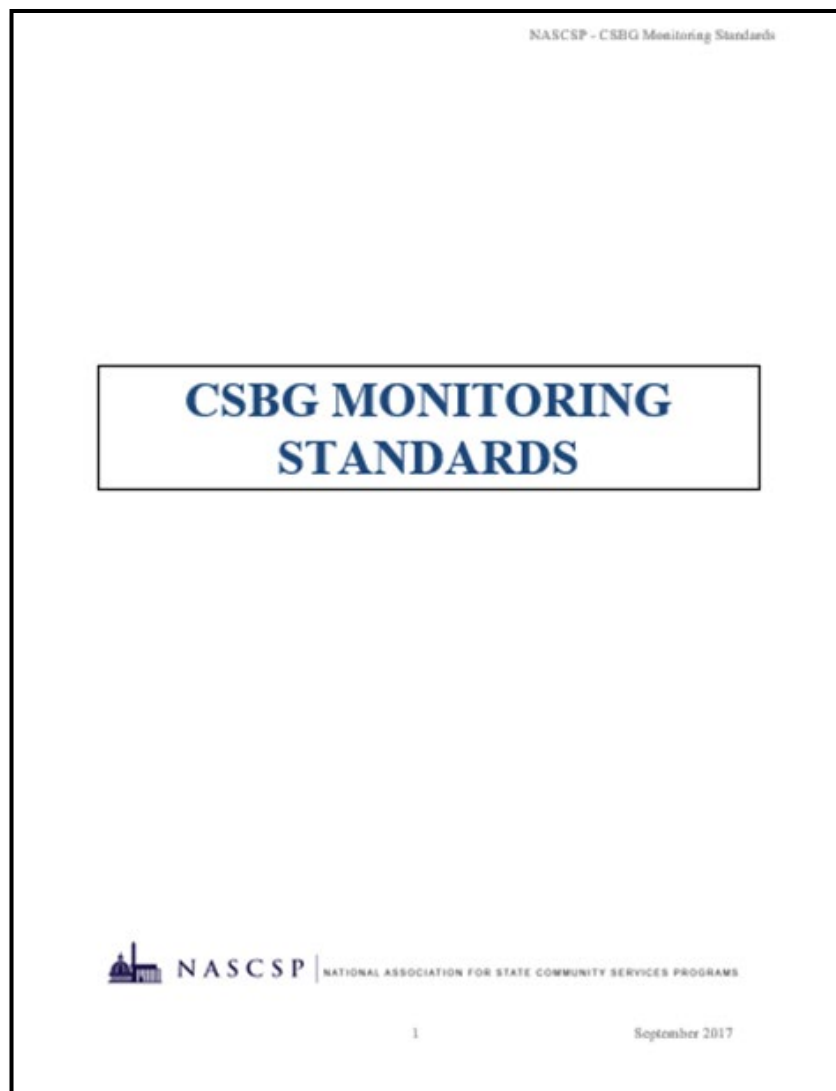
NASCSP Monitoring Standards

NASCSP's Guiding Principles
for Monitoring

- Mutual Respect

- Open Communication

- Joint Problem Solving

Whole agency systems approach

https://nascsp.org/csbg/csbg-resources/performance-management/monitoring/

NASCSP Monitoring Practices

1. State monitors should look at more than just compliance with program rules and regulations.

2. State monitors assess the effectiveness of the board of directors

3. State monitors assess administrative and leadership capacity of agency management as it relates to meeting the Board of Director's goals.

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

5. The State CSBG Office must have a system in place to document and inform the agency of findings and/or deficiencies.

6. The State CSBG office has a system in place to provide training and technical assistance when necessary.

7. The State CSBG Office has considered the Performance Management Framework.

State Management Work Group
Monitoring and Oversight

Promising Practices

1. Monitor for Impact: It's all about improving the delivery of services to customers

2. Preparation is Key

3. Consistency is Critical

4. Post-Monitoring Efforts are Integral to the Process

Office of Economic Opportunity

CSBG Monitoring

Vermont Overview

- Office of Economic Opportunity, Department for Children & Families, Agency of Human Services

- Small State Minimum ($3.9m), 12 counties, 251 towns

- 16 staff (no full-time CSBG staff)

- 60+ Partners (grantees):
  - **Community Action Agencies (5),** part-time Association coordinator
  - Weatherization Providers
  - Homeless Shelter/Service Providers
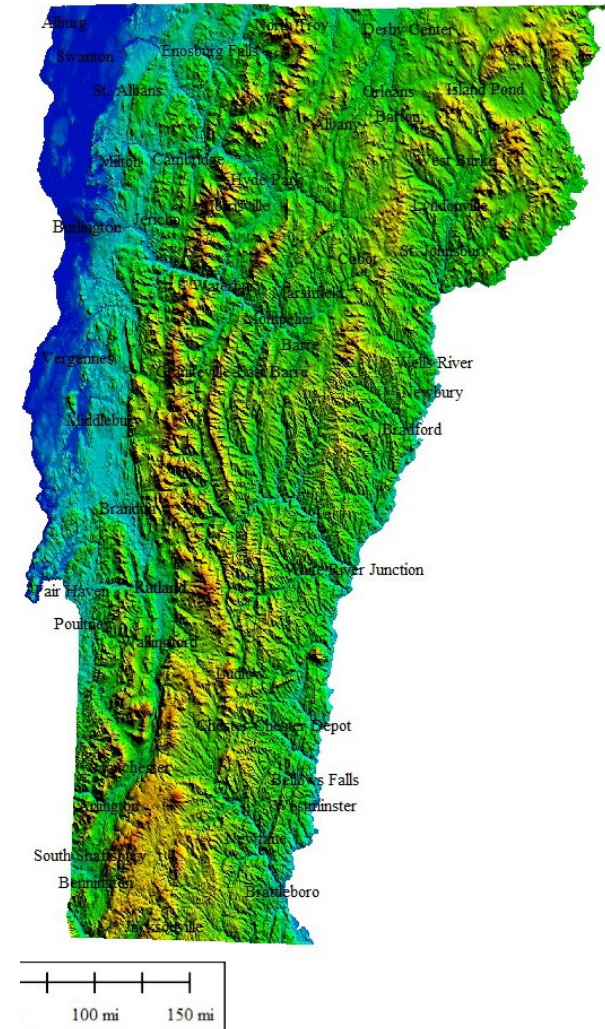
CSBG Monitoring in Vermont

Onsite Financial & Programmatic Monitoring

- ❑ all 5 in one year
- ❑ meet with boards, staff, participants

Organizational Standards Review

- ❑ self-assessment reviewed by State staff
- ❑ integrated into onsite review

Annual Workplan & Budget Review

- ❑ risk assessment

CSBG Monitoring in Vermont

"Desktop"

- ❑ Quarterly & Annual Reports
- ❑ Progress Reports/Follow up
- ❑ Review of Board Minutes and Rosters
- ❑ Annual Single Audit Review
- ❑ Monthly Financial Reports & Close Out

Ongoing touch points:

- ❑ Board meetings
- ❑ Partnership/ED meetings
- ❑ ROMA Community of Practice (program managers)

CSBG in Vermont

Action Plan

Technical Assistance Plan

Monitoring Response Plan

Quality Improvement Plan

"unmet requirements", "required action"
"strengths", "recommendations",
"opportunities", "for consideration", "concerns"

Always includes an offer of T/TA from OEO

Arizona Community Action Agencies

Community Action Human Resources Agency (CAHRA)
Geographic Area Served: Pinal County

Maricopa County Human Services Department
Geographic Area Served: Balance of Maricopa County

Western Arizona Council of Governments (WACOG)
Geographic Area Served: Mohave, Yuma and La Paz Counties

City of Phoenix Human Services Department
Geographic Area Served: City of Phoenix

Gila County Community Action Agency
Geographic Area Served: Gila County

Tohono O'odham Nation
Geographic Area Served: Tohono O'odham Reservation

Southeastern Arizona Community Action Program (SEACAP)
Geographic Area Served: Greenlee, Graham, Cochise, and Santa Cruz Counties

City of Glendale Community Action Program
Geographic Area Served:
City of Glendale

Mesa Community Action Network (Mesa CAN)
Geographic Area Served: City of Mesa

Northern Arizona Council of Governments (NACOG)
Geographic Area Served: Yavapai, Navajo, and Apache Counties

Coconino County Community Services Department
Area Served: Coconino County

Pima County Community Action Agency
Geographic Area Served: Pima County

Monitoring: The Arizona Way

- The Hybrid Model:
    - Once "every three year"cycle
    - Both in person and desk monitoring used for efficiency (Board meetings/interviews, agency staff, onsite observation of services, and casefile review)
    - New monitoring module for CSBG with DCAD and Agency use.
    - Monitoring as one unit (Contracts, Program, and Fiscal)
    - Ongoing TT&A

Arizona has 11 Community Action Agencies, a limited purpose agency, and one contracted agency, Tohono O'odham Nation. The Division of Community Assistance and Development works closely with agencies throughout the year to ensure the monitoring process both efficient and effective.
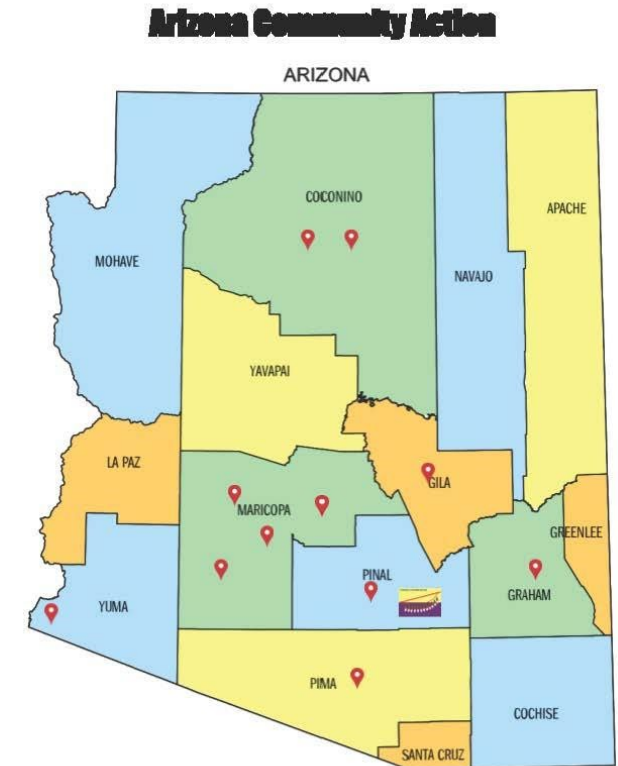
## Virginia receives approximately $11 million in CSBG annually.

- We also administer approximately $10 million in TANF funds to the network

Fiscal and Program Staff

- 3 Full-time CSBG staff (Program Manager, Fiscal Officer, Program Officer)
- Additional staff play roles (procurement, training/ta, Director)

28 Community Action Agencies and 3 Statewide Community Agencies

- 22 Private Non-Profit, 6 Public agencies
- 3 Statewide Community Agencies
  - Still monitored by our office, funded from 5% discretionary by state code)
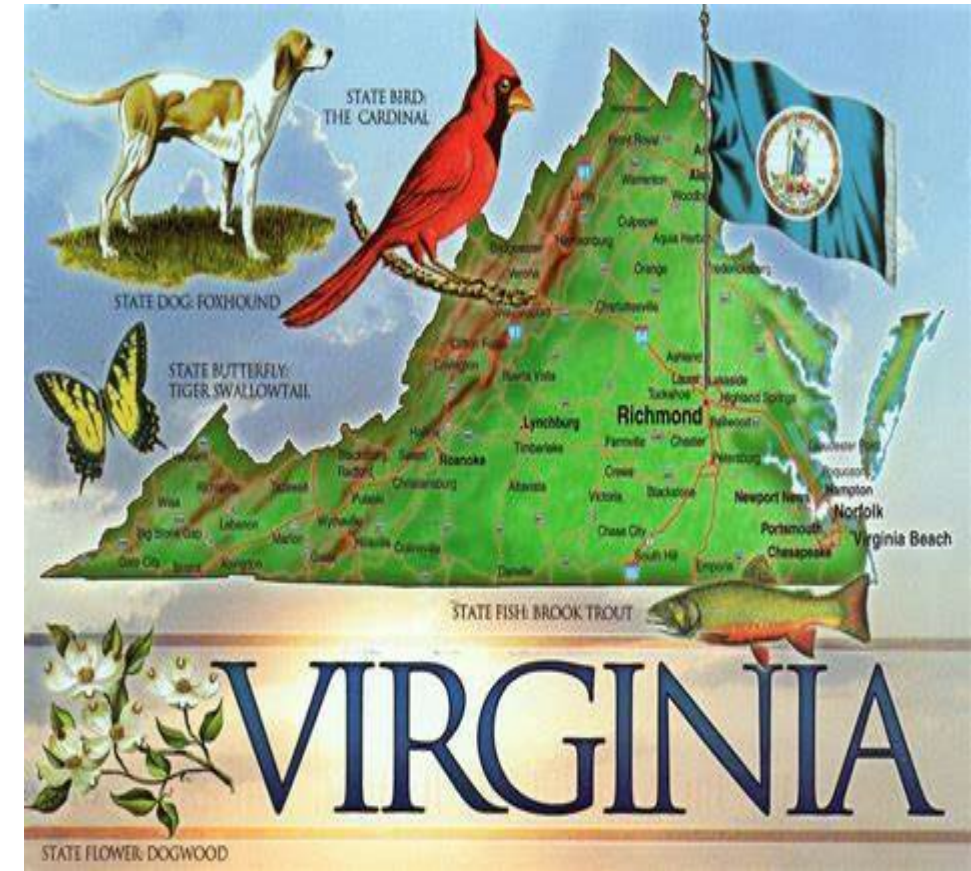
Virginia Monitoring Basics

- Monitoring onsite
  - Annual Risk Assessment to determine High, Medium, Low Risk agencies
  - At least every 3 years, some every 2 years, very few annually
  - Only includes the things that require/benefit from onsite review (eligibility/file checks, review of data/financial systems, visits to programs/sites)
  - Adaptive based on past findings, risk assessment, specific issues/needs (if financial policies/procedures are a concern, asking for onsite and real-time information to see the process flow may make sense)

Virginia Monitoring Basics

- Monitoring as a process, inclusion into workflow
    - Review of Annual Audits
    - Organizational Standards reviewed annually, letter written
        - Feedback provided on needs assessments, strategic plans
    - Dashboard provided annually to board chair (outcomes/outputs, accomplishments, weaknesses)
    - Regular invoice reviews/checks
    - Quarterly Reporting submittal and review/feedback
    - Annual CAP Plan submittal
        - Includes needs, strategic goals, outcomes/outputs, ROMA Implementer Workplan, Financials (multiple tools and budgets), DEI workplan

Virginia Monitoring Basics

- Continuous open communication
  - Bi-monthly check-in calls to determine areas of need/weakness
    - Training/TA provided before "formal" monitoring
  - State Association Peer Groups
  - Use of Task Forces/Work Groups
  - Annual meetings/conferences
  - Participation in, and support of, Boards

Monitoring Outcomes

- Exit interview, 10-day email (updates allowed), letter within 30 days to agency
  - Finding, Concerns, Recommendations
- Corrective Action Plan for any findings (document created based on agency plan to correct)
- Training/TA Plan (formal vs. informal)
- QIP (major ongoing issues requiring substantive action, following prescribed process)
  - Often Financial and Board issues

Open Discussion

State Management Work Group
Monitoring and Oversight

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