

NATIONAL ASSOCIATION FOR STATE COMMUNITY SERVICES PROGRAMS



Monitoring – What's Working?

20
23

ANNUAL TRAINING
CONFERENCE
SEPTEMBER 25 - 29



SESSION GOALS

- Each of you walk away today with one or two great ideas for improving the way you administer your CSBG program.
- Everyone understands how to access in-depth information about the promising practices and tools discussed today.

State Management Work Group Purpose

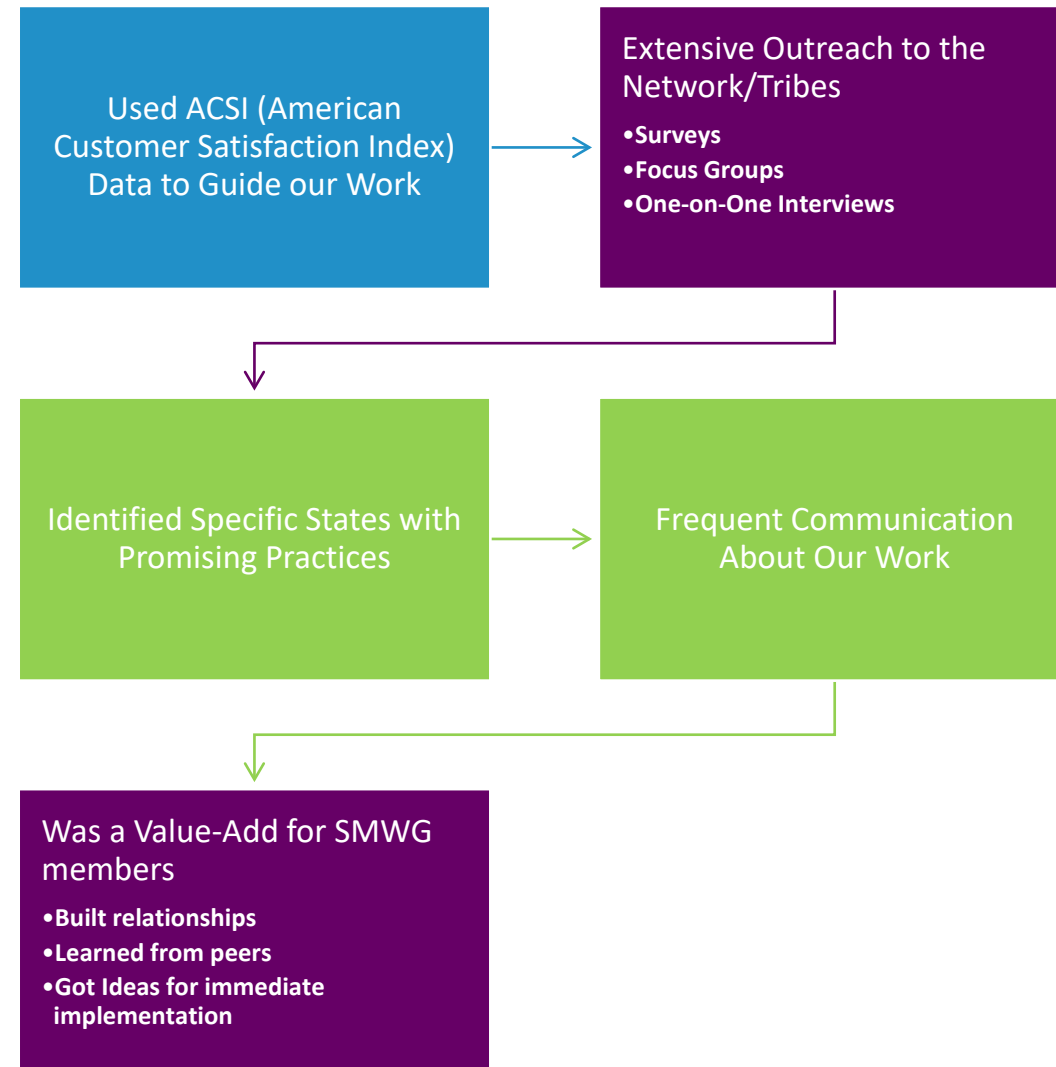
The State Management Work Group serves as a consultative body to NASCSP and OCS ***in conducting research that informs the development of a variety of practices, tools, resources, and training and technical assistance offerings for state administrators.***



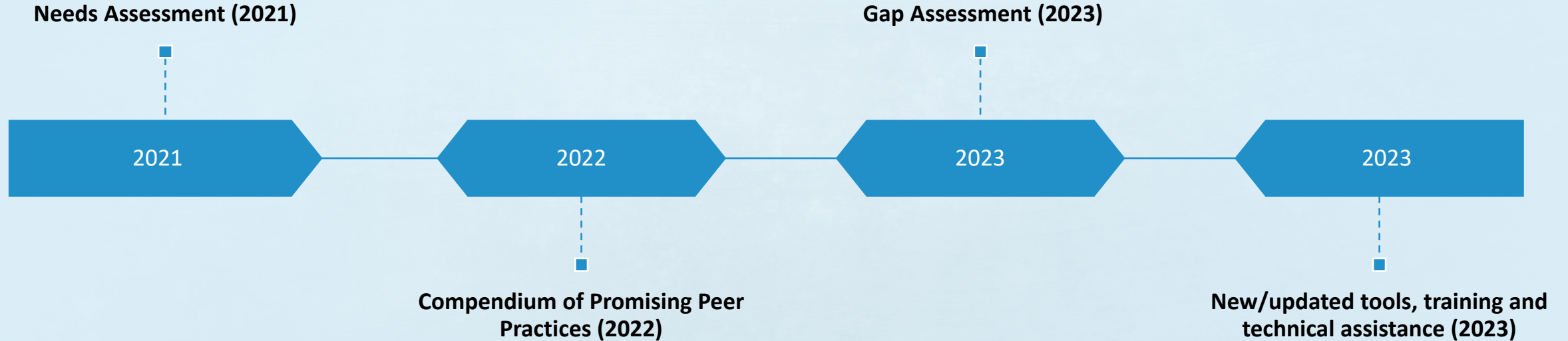
State Management Work Group Membership

Member	State	Region
<u>Jaimi Clifford</u>	Maine	I
<u>Manny Rosa</u>	New York	II
<u>Abby Hanks</u>	Virginia	III
<u>Nancy Rowland</u> / <u>Kris Wilson</u>	Kentucky	IV
<u>Anna Sainsbury</u>	Wisconsin	V
<u>Karen Keith</u>	Texas	VI
<u>Johna Trapani</u>	Missouri	VII
<u>Alex Diaz</u>	Colorado	VIII
<u>Leslie Taylor</u>	California	IX
<u>Leeann Marx</u>	Oregon	X
<u>Beverly Buchanan</u>	Arkansas	NASCSP Board President

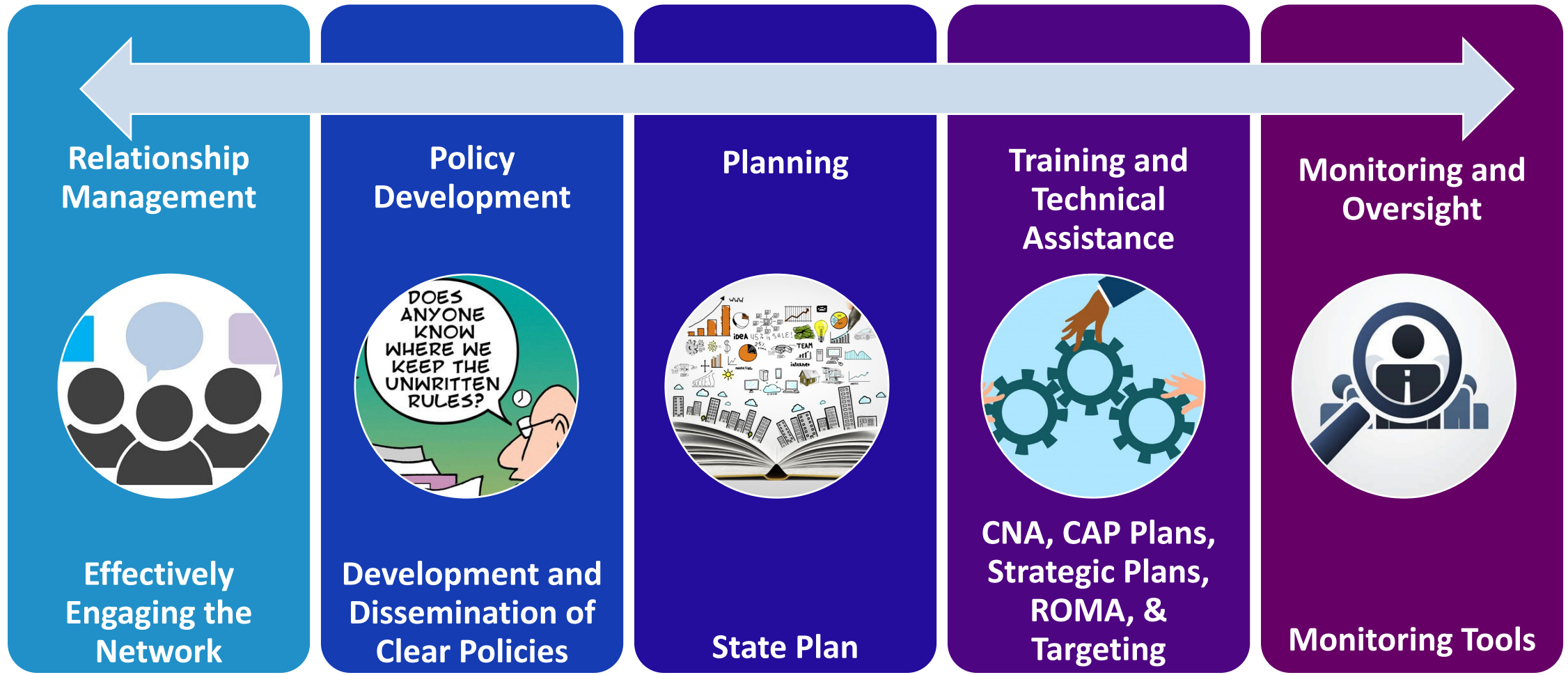
SMWG: How It Worked



SMWG Deliverables



SMWG Prioritized Practices



What is a Promising Peer Practice?

A Promising Peer Practice is...

An operating practice that has worked well in a state, as evidenced by good satisfaction scores from the local agencies, that other states can learn from and adapt, as appropriate.

Sample Compendium

Promising Practices
Compendium will include the
following:

- The promising practice
- Who employs the practice
- The purpose
- The method
- The challenges
- The benefits
- Tools/Templates/Resources

1. **Monitor for Impact** – Building trusting, transparent, collaborative partnerships and providing feedback that will support and help improve service delivery of eligible entities

States Who Have Employed This Practice:

Arizona, Colorado, Maine, Montana, Pennsylvania, Utah, Vermont, Virginia, Wisconsin

Purpose:

Monitoring is a vital role that State Administrators perform to ensure eligible entity compliance with CSBG Federal and State requirements. ACSI top-scoring States indicated they use monitoring to not only meet requirements but also as an opportunity to monitor for impact and improve the delivery of services to the customers CSBG serves, by providing States the chance to build relationships, offer T/TA, and share promising practices.

Method:

The State must first determine its ultimate goal of monitoring and what it's hoping to accomplish and create a culture that reinforces this ideology. It is critical that States create the time and space to build trusting, transparent, collaborative partnerships with eligible entities, always choosing to maintain a two-way relationship and making it a team effort. States should use monitoring as an opportunity to determine T/TA needs as well as identify and share promising practices that will add value, improve service delivery, and build agency capacity. Ideally, States should use monitoring as a way to improve relationships and offer coaching to eligible entities, while creating more face-to-face time and gathering feedback. This can be done by conducting a desk review prior to any on-site visit allowing State Administrators more opportunities to connect to eligible entities. It is also important that State Administrators allow ample opportunity for eligible entities' staff and board members to ask questions. States can also hold a general meeting to "get to know" eligible entities; this can be done with either the Executive Director and/or upper management of the agency.

MONITORING AND OVERSIGHT

Research: What We Learned

Promising Practices: Identified

Monitoring: Research



Used the ACSI 2021 Survey data and verbatim comments to focus efforts and identify promising peer practices



One survey was conducted to gain insight into monitoring practices/policies



Two focus groups with nine high-scoring states were conducted



Three states with significant improvement were interviewed

2021 Aggregate Score and Impact Table

	National Score Min	National Score Max	2021 Scores	2021 Sample Size	National Impact
Sample Size			744	744	
Development of CSBG State Plan	32	100	61	694	0.3
Extent of involvement	26	100	57	673	--
Caliber of opportunities	26	100	65	683	--
Reflects your input	32	100	60	637	--
Distribution of Funds	23	100	74	737	0.6
Ensured no interruption	25	100	76	728	--
Quality of process	20	100	73	737	--
Use of Discretionary Funds	23	100	69	689	0.3
Transparency of distribution	19	100	69	685	--
Responsiveness to needs	23	100	71	663	--
Training & Technical Assistance	17	95	74	732	0.5
Effectiveness of training	11	93	72	722	--
Effectiveness of assistance	22	96	73	714	--
Responsiveness of staff	22	98	78	697	--
Amount of training & assistance	14	97	72	719	--
Monitoring & Corrective Action	38	100	73	718	0.6
Consistency of monitoring	39	100	71	649	--
Adherence to plan	33	100	76	676	--
Usefulness of visits	33	94	70	690	--
Clarity of feedback	33	100	75	696	--
Timeliness of feedback	39	100	72	697	--
Clarity of process	39	100	73	590	--

ACSI 2021 Survey Verbatim Comments

It is important to provide more clear feed back in the fiscal area, so programs can follow up with recommendation right away.

The State Office is fully transparent about the monitoring process, allows more than sufficient preparation time, performs desktop reviews of information that can be sent in advance to minimize interruptions to organizations' day-to-day operation, respectfully engages with staff at all levels, and promptly provides clear and concise reports including excellent suggestions and true support for areas requiring improvement. This has been consistent for at least the last three years, and I honestly have no suggestions for how to improve the State's monitoring process.

I appreciate how the state uses monitoring to strengthen the partnership between agencies and the state office. Monitoring includes active listening and technical assistance.

The monitoring process needs to be consistent and focused on improving the delivery of services to our customers! Often times, depending on the grant manager (who may or may not be familiar with the history of Community Action), the monitoring is focused on a "gotcha" mindset!

*Communication, training, and consistency. **It would be beneficial to have sample forms, policies, best practices to be used by agencies which meets their requirements.***

Use monitoring results to identify ways to improve the service delivery of the individual agencies and the overall network by focused training and support; ensure that agency responses to monitoring issues are considered.

Better preparation time and sending out the monitoring protocol's well in advance for review and preparation.

Reduce duplication of information requested. Provide monitoring report in a timely manner.

I find the most helpful monitoring processes to be implemented in the spirit of building capacity and identifying strengths, resting on a foundation of accountability.

Having a training around the monitoring process would have benefitted our agency. For new directors, there is so much being thrown our direction and a lot of assumptions that we know the acronyms, people, positions, contact information, as well as what to expect from monitoring. A virtual tutorial of each of the state departments and functions would be helpful

MONITOR FOR IMPACT

PANEL DISCUSSION

- What is the goal of monitoring and how do you approach monitoring?
- What are the benefits for the State? For the State Association/Network?
- What innovations have you implemented?
- What challenges have you faced and how have you addressed these?
- How do you engage the State Association in monitoring?

MONITOR FOR IMPACT

TABLE DISCUSSION

- What is the main take-away you got from this morning's panel?
- What one thing will you do when you get back to your office to improve your monitoring efforts?
- What state will you reach out to?

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

I. MONITOR FOR IMPACT

AZ, ME, MT, PA, UT, VA, VT, WI

- Build collaborative relationships with CAAs so agencies feel heard.
- Coach leadership and build agency capacity.
- Get feedback from the CAAs.
- Educate about other state/federal programs: develop linkages.
- Identify and share promising practices: focus on what's working.
- Identify T&TA needs and deliver T&TA

2. PREPARATION IS KEY

AZ, CO, ME, MT, PA, UT, VT, VA

- Publish an annual monitoring schedule.
- Reduce administrative burden by not asking for documents previously requested.
- Share the monitoring tool with the CAAs well in advance.
- Conduct a desk review prior to any on-site visit (so time on-site is for face-to-face discussion and not the review of documents).
- Share the Risk Assessment results.

3. PREPARATION IS KEY

AZ, CO, ME, MT, PA, UT, VT, VA

Conduct pre-monitoring T&TA, such as:

- The State Association holds a pre-monitoring visit to prepare the CAA and reduce fear/concerns
- A pre-monitoring conference call is held allowing the CAA to help build the monitoring agenda
- An annual monitoring webinar is conducted to review monitoring goals and finance expectations, review tools, share dates
- New EDs get a one-on-one meeting to discuss the monitoring process

4. CONSISTENCY IS CRITICAL

AZ, ME, MT, PA, UT, VT, VA, WI

- Leadership establishes and maintains a culture (among state staff/local agencies) of “we are all in this together”; monitoring is not a “gotcha” exercise.
- Staff is involved in updating/modifying the monitoring tool and is regularly trained on how to use it.
- Provide all Monitoring Reports within 30-60 days of the on-site review.
- Have “another set of eyes” review all monitoring findings/reports.
- Train staff on the “art of monitoring.”

5. POST-MONITORING EFFORTS CRITICAL TO THE PROCESS

AZ, ME, MT, PA, UT, VT, VA, WA, WI

- Track corrective action
- Identify/Share trends, issues, and promising practices seen in the monitoring
- Take action to address the identified trends and issues

POLICY DEVELOPMENT AND DISSEMINATION

Research: What We Learned

Promising Practices: Identified

Policy Development/Dissemination: Research



One survey was conducted to gain insight into the different ways states approach updating/developing policies



Four high-scoring states were interviewed



Two focus groups with six high-scoring states were conducted

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ACSI 2021 Survey Verbatim Comments

Additional policy implementation guidance is always appreciated. CAPLAW does a good job, but I would like more information from the State as they are the ones that will be monitoring us on program implementation.

When changes are put into place regarding a new requirement in regard to a new reporting requirement, or form - it would be nice to know why this is happening. Sometimes the explanations we receive are inadequate, or we are referred to legal for an explanation.

I would like more guidance on template forms, policies and best practices that have been developed by the network.

Information on new issues and local stance as it pertains to our network and impacts - for example, the guidance on reporting CARES and disaster supplemental funds. Lead agency made no comments and rumors from other agencies and states permeated before official word came from the state.

More frequent and detailed updates on the status of programs, requirements, and guidance.

It would be helpful to receive information in multiple formats (verbally in meetings and in written communications/email), to ensure that all local CAAs are informed about both local and national issues (and service trends).

More frequent and detailed updates on the status of programs, requirements, and guidance

The State agency should inform CAAs of program changes and new requests for information before a program year begins.

State CSBG Lead Agency could provide more information as well as more insight on how federal funding and mandates is and is not being supported or complemented by state legislative or executive policies and programs. Coordination and support among other funding streams and initiatives to alleviate poverty, whether federal or state, is not as strong as it could be. Not long ago the State launched a poverty alleviation campaign that failed to directly tie to CSBG Entities.

Policy Development/Dissemination

Promising Practices

1. Regular, recurring review of policies – ahead of OCS review
2. Engage the Network and all relevant Stakeholders in multiple ways throughout the update process.
3. Minimize administrative burden by eliminating policies not required

I. REGULAR, RECURRING REVIEW OF POLICIES

AZ, GA, KY, MD, MA, OH, WA, UT

Regular, recurring review of policies

An intentional process for the review of the State's policies and procedures to ensure that CSBG Act mandates, OCS guidance, and/or any State laws and regulations that impact the administration of CSBG funding are accurate and up to date

3. ENGAGE THE NETWORK

**AZ, CO, GA, KY, MA, MD, MN,
UT, VT, WI**

Engage the Network and all other relevant stakeholders throughout the process

Identify and engage all relevant stakeholders (i.e., legal counsel, other state departments, State Associations, eligible entities, etc.) in multiple ways throughout the update process to ensure buy-in at all levels

2. MINIMIZE ADMINISTRATIVE BURDEN

**MN, KY, MD, MA, OH, WA, AZ,
UT, VT**

Minimize administrative burden

Eliminate policies not required by the CSBG Act, OCS Guidance, and/or State laws or regulations that create administratively burdensome program requirements for both eligible entities and States

Promising Practices in Policy Development

A Wisconsin Case Study

September 2023



Wisconsin Department of
Children and Families

Policy Promising Practices: How it Started



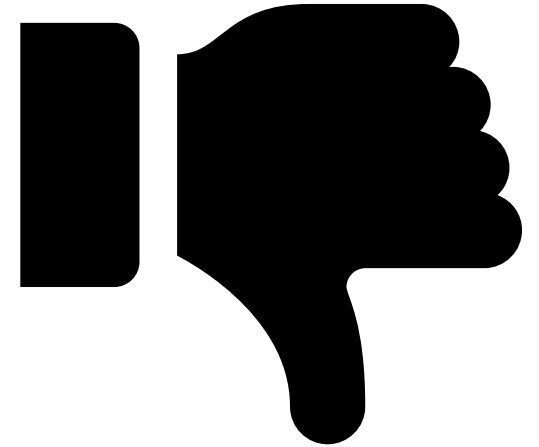
Regular, recurring
review of policies



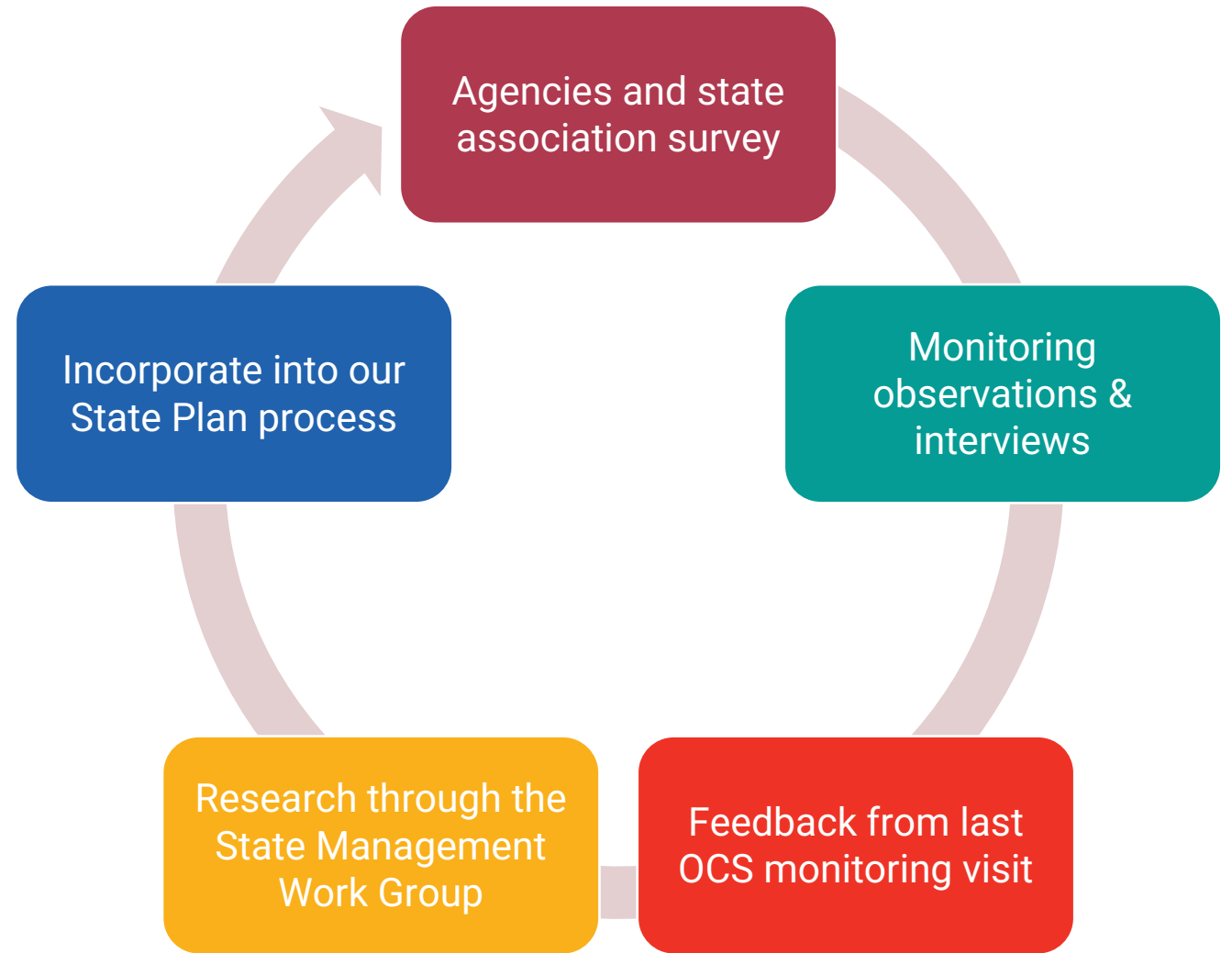
Minimize
administrative burden



Engage the network



Process



Anchored Policy Manual Review to the State Plan Process

SECTION 1: CSBG
Administrative
Information

SECTION 2: State
Legislation and
Regulation

SECTION 3: State
Plan Development
and Statewide Goals

SECTION 4: CSBG
Hearing
Requirements

SECTION 5: CSBG
Eligible Entities

SECTION 6:
Organizational
Standards for Eligible
Entities

SECTION 7: State
Use of Funds

SECTION 8: State
Training and
Technical Assistance

SECTION 9: State
Linkages and
Communication

SECTION 10:
Monitoring,
Corrective Action,
and Fiscal Controls

SECTION 11: Eligible
Entity Tripartite
Board

SECTION 12:
Individual and
Community Income
Eligibility
Requirements

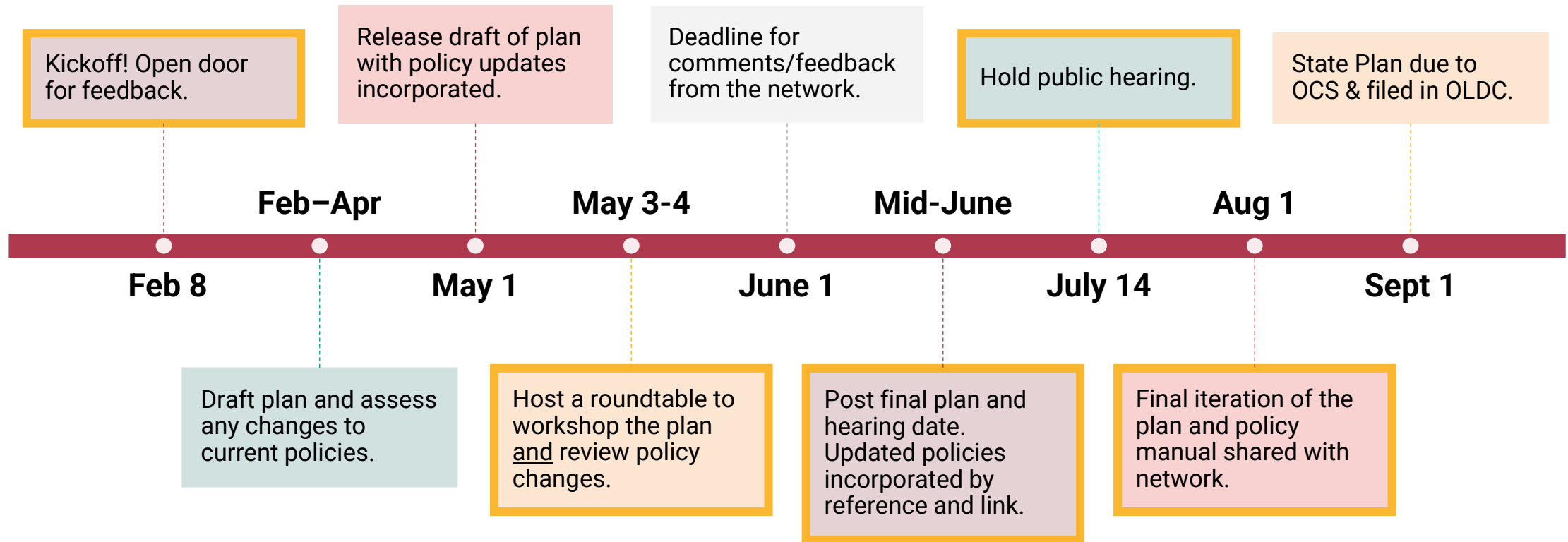
SECTION 13: Results
Oriented
Management and
Accountability
(ROMA) System

SECTION 14: CSBG
Programmatic
Assurance and
Information Narrative

SECTION 15: Federal
Certifications

Biennial Review of Policies

Incorporated into State Plan Development Process



1

Individuals and families with low incomes are stable and achieve economic security.

2

Communities where people with low incomes live are healthy and offer economic opportunity.

3

People with low incomes are engaged and active in building opportunities in communities

CSBG Policy & Procedures Manual

Available at: <https://dcf.wisconsin.gov/csbg>

Updated in 2023!



DCF CSBG Policy & Procedures Manual U

Manual Revision Updates for April 2023

Process

Since 2020, DCF has been working on reviewing and revising its CSBG was informed by data and feedback from a variety of sources:

WISCAP members/CSBG-funded agencies, through numerous November 2020;

bring observations and conversations;

OCS monitoring of DCF in March

Section 676A of the CSBG

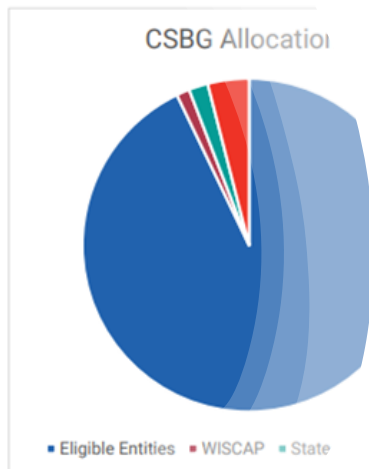
SECTION 5: State Plan and Grant

5.1 Grant Formula and Distribution to Contra

Federal law requires that DCF pass through 90% of Wisconsin's CSBG entities. The State may use no more than 5% of the allocation for the S. The remaining 5% is used at the State's discretion to support other activit of CSBG legislation.

Wisconsin's CSBG allocation methodology:

- **92.87%** goes to Wisconsin's eligible entities:
 - **87.47%** to the 16 CAAs. The specific grant amounts to the agencies, the formula: the ratio of the number of persons at or below 100% of pov counties within the CAA's service area (from U.S. Census data) multiplied Wisconsin's total CSBG allocation.
 - **4%** is passed through to UMOS for services for migrant and seasonal farmworkers.
 - **1.4%** is distributed to the Foundation for Rural Housing, which provides housing assistance for low-income households in all counties in Wisconsin except Dane, Milwaukee, and Racine Counties.
- **4%** is discretionary CSBG funding allocated to Wisconsin's 11 federally recognized Indian tribes.
- **3.13%** is used as administrative dollars within DCF for the purposes of administering the program statewide, and to provide training and technical assistance for CSBG-funded agencies through a contract with the Wisconsin Community Action Program Association (WISCAP).

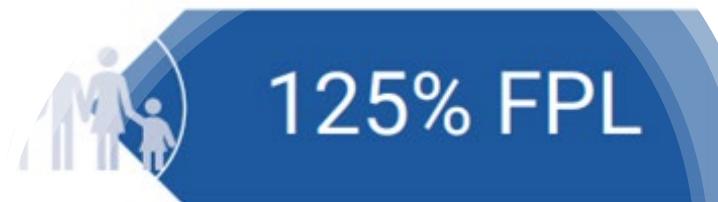


Reference: Section 675C(a)(1) of the CSBG Act and Wisconsin CSBG State Plan

5.2 CSBG State Plan

The CSBG Act requires Wisconsin to submit a CSBG State Plan to OCS for describe Wisconsin's proposed use of CSBG funds and include assurance

between this policy manual. on these issues as they arise. Cu website.

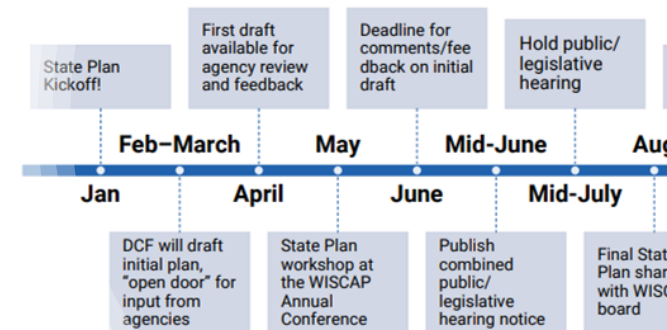


lines posted by HHS are considered "multiply the poverty guideline is/her/their income

earing and draft of the plan are sent electronically to contract agencies and other ed publicly on the DCF website, with the Wisconsin State Journal, and on ps://publicmeetings.wi.gov/.

/he purpose of the hearing is to gain public input and provide a review of CSBG program Revisions to the CSBG State Plan may be made in response to written and verbal public

Example Timeline for State Plan Development



SECTION 6: Contract Process and Procedures

Funding Cycle and Contract Year

ing cycle for CSBG state allocations follows the federal fiscal year (Oct to Sept). The contract year for Wisconsin's CSBG program is January 1 through December 31. If delayed, DCF's policy is to issue contracts with estimated grant amounts for the first half of the contract year when Wisconsin's federal CSBG

Summary of changes

Policy Promising Practices: How it's Going



Regular, recurring
review of policies



Minimize
administrative burden



Engage the network



Summary: Tools Developed by SMWG

Policy Development /Monitoring

- A presentation detailing a state process for regularly updating policies (based on Colorado's experience).
- A modified NASCSP State Office Action Plan that includes regular, recurring reviews of policies and procedures, and provides a framework for the reviews.
- A modified NASCSP State Office Action Plan that includes the identified promising practices regarding monitoring.
- A packet of examples of pre-monitoring preparation that the SMWG has gathered and reviewed.
- A packet of examples, gathered and reviewed by the SMWG, that illustrate how to assure consistency in monitoring.
- A packet of current corrective action tracking tools. [SMWG page](#)

Expectations



Altogether over 20 new products (tools, resources, and training) ***along with all the information that is contained in the Compendium/Data Map*** will offer a very helpful, easy-to-use Toolbox for the states to utilize.



Once implemented, we expect these to improve the quality, consistency and efficiency of the CSBG state offices.



We expect that use of the promising practices and accompanying tools, resources, and training will result in:

Better service delivery to the CAAs and increased satisfaction w/ the state office, leading to improved ACSI scores for the states.

NEXT STEPS

- Contact SMWG Members: see the Compendium for contact information

Use the Compendium/Data Map on the [SMWG page](#)

- Attend an upcoming webinar

Compendium and Data Map

October 24, 2023, 1pm | Register [here](#)

Compendium and Data Map

November 16, 1pm | Register [here](#)

State Plan training

January 18, 1pm | Register [here](#)



Discussion



THANK YOU!

Scan here to
complete the
survey for
this session!

