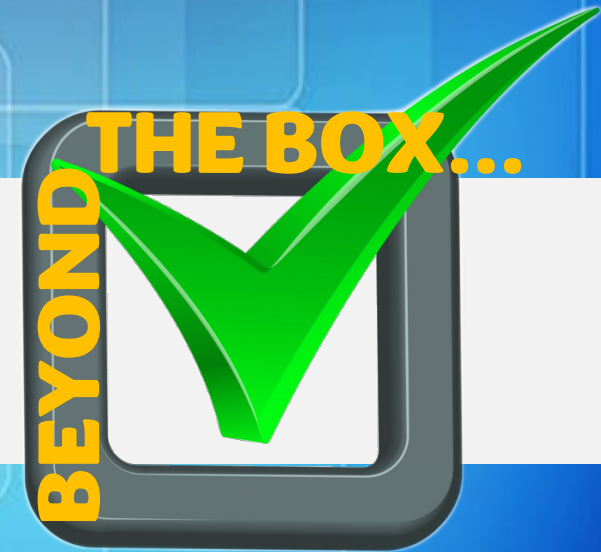




# 2024 National Association for State Community Services Programs Annual Training Conference

## Monitoring: Promising Practices for State Administrators

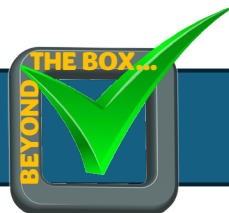
September 16 – 20 | Renasant Convention Center | Memphis, TN



TURNING  
**POSSIBILITIES**  
INTO **REALITIES**



# WELCOME

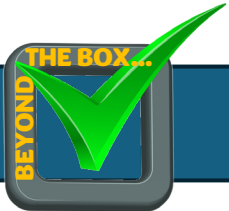


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# Monitoring and Oversight

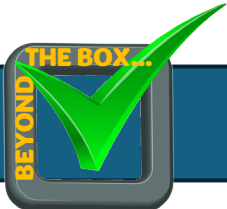
## Promising Practices

1. Monitor for Impact
2. Preparation is Key
3. Consistency is Critical
4. Post-Monitoring Efforts are Integral to the Process



# Who are We?

- **California CSBG Network:**
  - 58 Counties
  - 60 CSBG Eligible Entities
    - Public/Private
      - CAA
      - MSFW
      - NAI
      - Limited Purpose Agencies
- Allocation:
  - Regular \$65M
- CalCAPA-State Association Partner



# Who are We:

- California Health and Human Services Agency
- Dept. of Community Services and Development

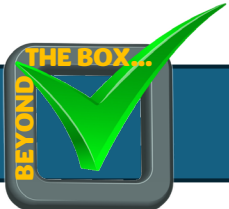
## Energy and Environmental Services

- LIHEAP
- Weatherization



## Community Services Division

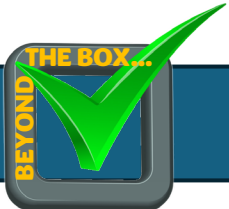
- CSBG
- EITC
- FRC



# Community Services Division



- Branch Chief
  - 1 Research Specialist
  - 1 Analyst
- Program Development and Reporting Unit
  - 1 Manager
  - 5 Analysts
  - 2 Temp positions
- **Field Operations Unit**
  - 1 Manager
  - 6 Analysts (10-12 Agencies each)



***Let's face it...***

***Compliance monitoring involves a partnership;  
supportive partners to accomplish a mutual  
goal!***





# Monitoring for Impact- It's a Partnership!

## State Responsibilities:

- Funding and Regulatory Responsibilities, Contractual Requirements, Compliance, Follow-Up and Feedback

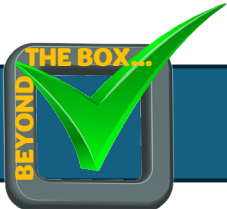
## Agencies/Eligible Entities:

- Local Determination, Service Provision/Delivery Strategies, Agency Policies- Tripartite Board and CA CSBG Network Advisory Committee

## State Association:

- Network Convener, Training and Technical Assistance, Advocacy

***Focus – Cooperation, Accountability, Assessment, Provision of Appropriate Services which leads to Improved Well-being for Families as indicated by the Reporting of Outcomes and Success Stories***



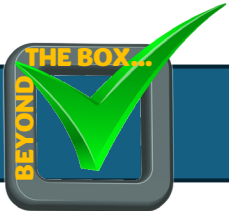


# Prepare: Build the Ark... Before The Rain!



# Preparation for the Monitoring Event

- Annual Monitoring Webinar Held in October or November
- Annual Contract
  - Annual Pre-Monitoring Assessment
- Previous Desk Reviews and Follow-up (Transfer Open issues)
- Monitoring Letter with documentation Requests 45-60 days prior to Onsite monitoring (Virtual Meet with Agency to Refresh)
  - Distribution of Monitoring Tool
- Publication of State Policies/Procedures for Monitoring



# CONSISTENCY

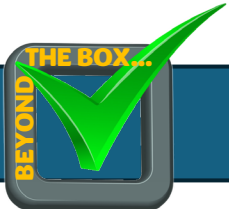
is Key



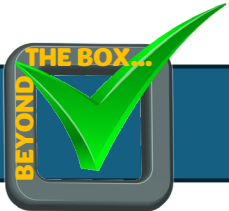
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# Promoting a Similar Experience – Striving for Consistency

- Published State Monitoring Procedure - Set's Common Expectations
- State Staff Orientation and Training Template
- Networkwide Data Collection Tools
  - Organizational Standards
  - Annual Report Tool
- Direction from OCS: IM's and Instruction Manuals
- Development and Utilization of Product Templates (CAP/CAN Requirements)
  - Use of Common Review Tool
  - EE Participation on Workgroups and Template development
- Network Convenings and Trainings (Various Webinars)
  - Attendance is Contractual and strongly encouraged
- Development of Guides for EE's to Complete Work Products , i.e. Organizational Standards
- Other State Policy and Procedures – Desk Manuals/Instructions



# Recognition Response and Re- tooling

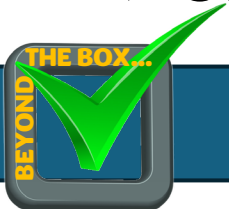


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# Recognition, Response and Re-tooling

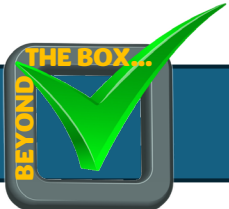
- Annual Monitoring Webinar – Listing of Common CA Concerns
- Biennial (in-person) Annual Report Training
- Quarterly Corrective Action Follow up with Due Dates with Agency Input
- Formal Referral Process for T & TA (During Monitoring)
- Onsite Reviews and Desk Reviews (Self T and TA Referrals)
- Post Monitoring Virtual Meetings
- T and TA Includes Common Monitoring Concerns
- Follow-Up (Continuous Monitoring, Consecutive, Overlapping Time Periods)
- Onsite Monitoring Survey following Monitoring Event



# Thank You

Wilmer Brown, Jr., Branch Chief, CSDiv  
California Dept. Community Services and Development  
Wilmer.brown@csd.ca.gov

Stephanie Williams Manager, Program Development and Reporting Unit  
California Dept. Community Services and Development  
Stephanie.williams@csd.ca.gov





# Maine CSBG Network

16 Counties

10 eligible entities – all private

Allocation \$4M

State Association - MeCAP

Portland Head Light, Portland Maine



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# Include your State Association!!!!

This collaboration can encompass each best practice identified in this presentation and let me tell you why...

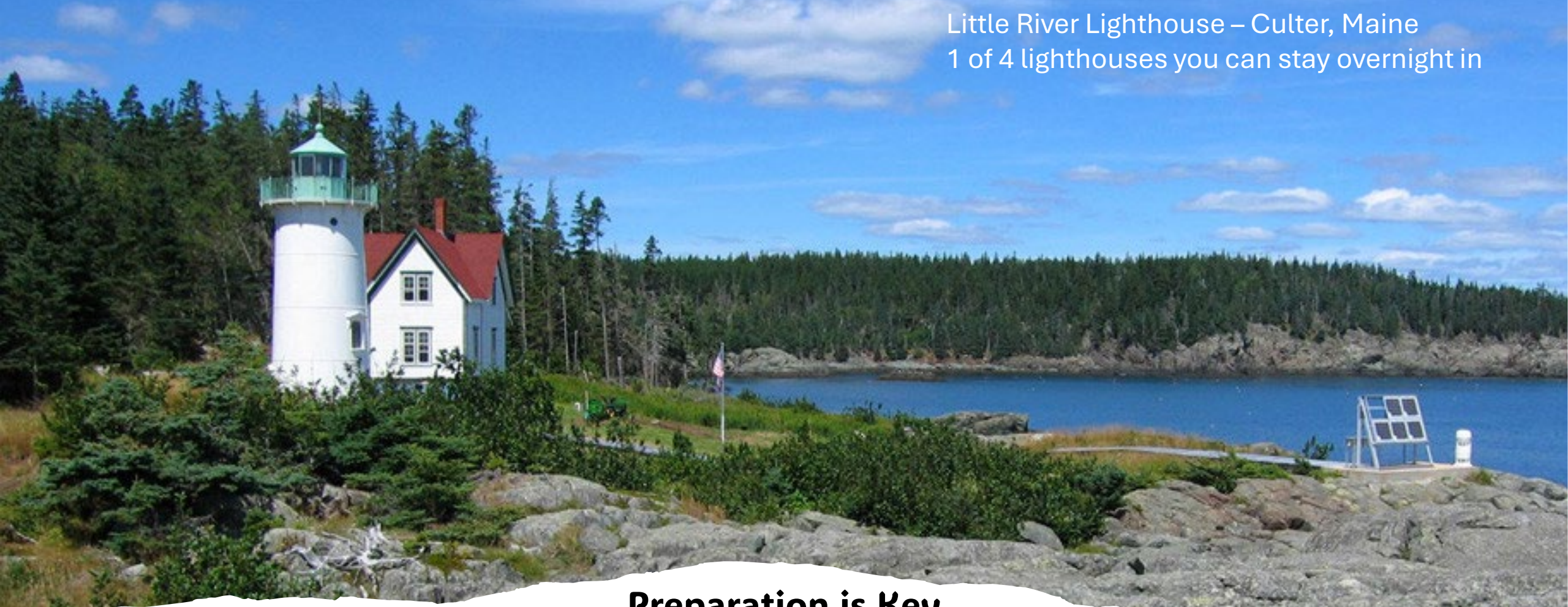
Rockland Breakwater Lighthouse, Rockland, Maine – 1 mile granite rock pier



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Little River Lighthouse – Culter, Maine  
1 of 4 lighthouses you can stay overnight in

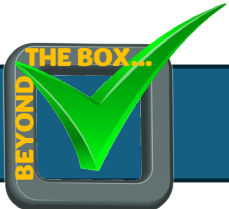


### **Preparation is Key**

**Risk Assessment – Annual versus Comprehensive**

**Engagement Letter and Package**

**Desk Review, Board Meeting Attendance, and Fiscal Review Prior to Visit**



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# Consistency is Critical

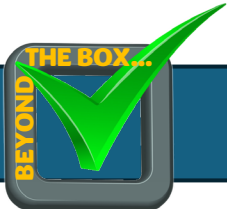
CSBG State Office has two staff

By including the state association..

- Increased transparency of our process
- Increased oversight of our practices
- Feedback both positive and constructive from SA



Seguin Island Light Station, Maine – most haunted Beacon in Maine – 3 ghosts  
Connie Scovill Small lived and wrote about it in a memoir titled The Lighthouse  
Keeper's Wife.



# Post-Monitoring Efforts are Integral

States Role to track corrective action plans for progress, identify and share trends, issues, and promising practices seen in the monitoring with the Network.

In Maine, SA is contracted to do T/TA. They glean firsthand knowledge and do not need to wait for reports; can act quickly rather than later.

Marshall Point Lighthouse, St George Maine –  
End point in Forrest Gump





# But Why?

## We are monitoring for Impact!

- Building trust
- Transparency
- Collaborative relationships
- Providing feedback

**West Quoddy, Lubec Maine**  
**Eastern Most Point in US**



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- 43 Eligible entities
  - 8 public agencies
  - 35 private non-profits (CAAs)
- Approximately \$32 million in annual allocation
- 7 CSBG State Staff
  - 2.5 program specialists responsible for monitoring and technical assistance







## Review Risk Assessment



Last Modified: 2/14/2024 1:34 PM

### CSBG Agency

Agency for Community  
Empowerment of NEPA

Reviewer Winters, John (DCED)

Review Year 2024

Needs 3-Year Monitoring

Review Status

Being Scored



Status Date

2/14/2024



Overall Comments

### Community Engagement

Agency participates with partners in conferences and webinars

Agency is compliant with other programs including state/federal subcontracted

Agency has CSBG subcontracts

Agency monitors subcontracts for compliance

Community Engagement Comments:

### Organizational Leadership

Document submission is completed on time and accurately

Responses to state requests are made timely

Organizational standards are met on average over the past twelve months

No corrective action was needed in last year's CSBG Monitoring period

Organizational Leadership Comments:



## EDIT RISK ASSESSMENT



Last Modified: 2/14/2024 1:34 PM

### General Information

CSBG Agency

Agency for Community Empowerment of NEPA

Reviewer

Winters, John (DCED)

Assessment Year

2024

Does the agency need a 3-Year Monitoring visit?

Find items

Assessment Status

Being Scored

Status Date

Select Date

### Community Engagement

Agency participates with partners in conferences and webinars

Find items

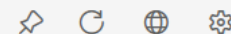
Agency is compliant with other programs including other state/federal subcontracted programs

Find items

Agency has CSBG subcontracts

Agency monitors subcontractors for compliance

CSBG Risk Assessment Dashboard | Data updated 8/20/24 ▾



Close

## Pages



File ▾ | Export ▾ | Share | Get insights | ...



## By Agency

## By Category

## Review Status

## Top 5

## Year Comparison

## Quality Control

## Risk Report

## Risk by Agency

*\*Questions not assessed receive max points\**

Year

2024 ▾

100.0%

% Questions Reviewed

2,268

Total Points

17.29%

% Risk

## Agency

Search

Agency for Community Empowerment of NEPA  
Allegheny County Department of Human Services  
Armstrong County Community Action Agency  
Beaver County Community Services Program  
Berks County Community Action Program, Inc.  
Blair County Community Action Agency  
Blueprints  
Bucks County Opportunity Council, Inc.  
Carbon County Action Committee for Human Services  
Center for Community Action  
Central Pennsylvania Community Action, Inc.

## Category, Question

Search

☐ Select all☐ General☐ Community Engagement☐ Organizational Leadership☐ Board Governance

## Summary by Agency, Category, Question and Answer (Expand/Collapse +/-)

Agency	Category	Question	Answer	Score	Max Possible	% Risk	Rate
☐ Agency for Community Empowerment of NEPA	☐ General	☐ Does the agency need their three-year monitoring?	Yes				
	☐ Community Engagement	☐ Agency participates with partners in conferences and webinars	100% Compliant	0	3	0.00%	
		☐ Agency is compliant with other programs including other state/federal subcontracted programs	100% Compliant	0	6	0.00%	
		☐ Agency has CSBG subcontracts	No	0	2	0.00%	
		☐ Agency monitors subcontractors for compliance	Not Applicable	0	9	0.00%	
	☑ Organizational Leadership			12	75	16.00%	
	☑ Board Governance			0	75	0.00%	
	☑ Strategic Planning			2	30	6.67%	
	☑ Human Resources Management			0	30	0.00%	
	☑ Financial Operations and Oversight			0	45	0.00%	
	☑ Data and Analysis			0	30	0.00%	
Total			14	305	4.59%		



Filters

# Risk Based Monitoring



## Risk Level

## Monitoring Plan Guidelines

### High (250+)

A report that identifies factors that contributed to the high-risk and outlines non-compliance issues and areas that require improvement will be distributed to the agency executive director and board chairperson. The agency will be required to respond to the report with a corrective action plan within 30 days. The CSBG Program office will then work with the agency to determine a schedule for on-site monitoring and progress reporting.

### Medium (150-249)

A report that identifies factors that contributed to the medium-risk score and outlines non-compliance issues and areas that require improvement will be sent to the agency executive director with a corrective action plan within 30 days. Depending on the risk score and criteria in concern, the CSBG program office will work with the agency to determine if an on-site visit is appropriate.

### Low (1-149)

A report that identifies factors that contributed to the low-risk score and outlines minor non-compliance issues and areas that could be improved will be distributed to the agency executive director and board chairperson. Program specialists will continue to monitor the agency through report submissions, invoicing, and communications. The CSBG program office will discuss the risk factors to determine if any further action is needed before closing the review.

- The 3-year rule overrides risk level when planning visits.
- Visits are planned together with the agency to best utilize time with staff and board members.
- Risk based allows us to focus on specific issues.
- Site visits focus on technical assistance conversations, planning, and observing activities.



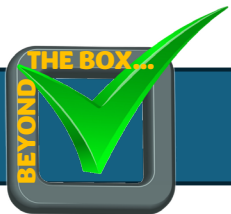
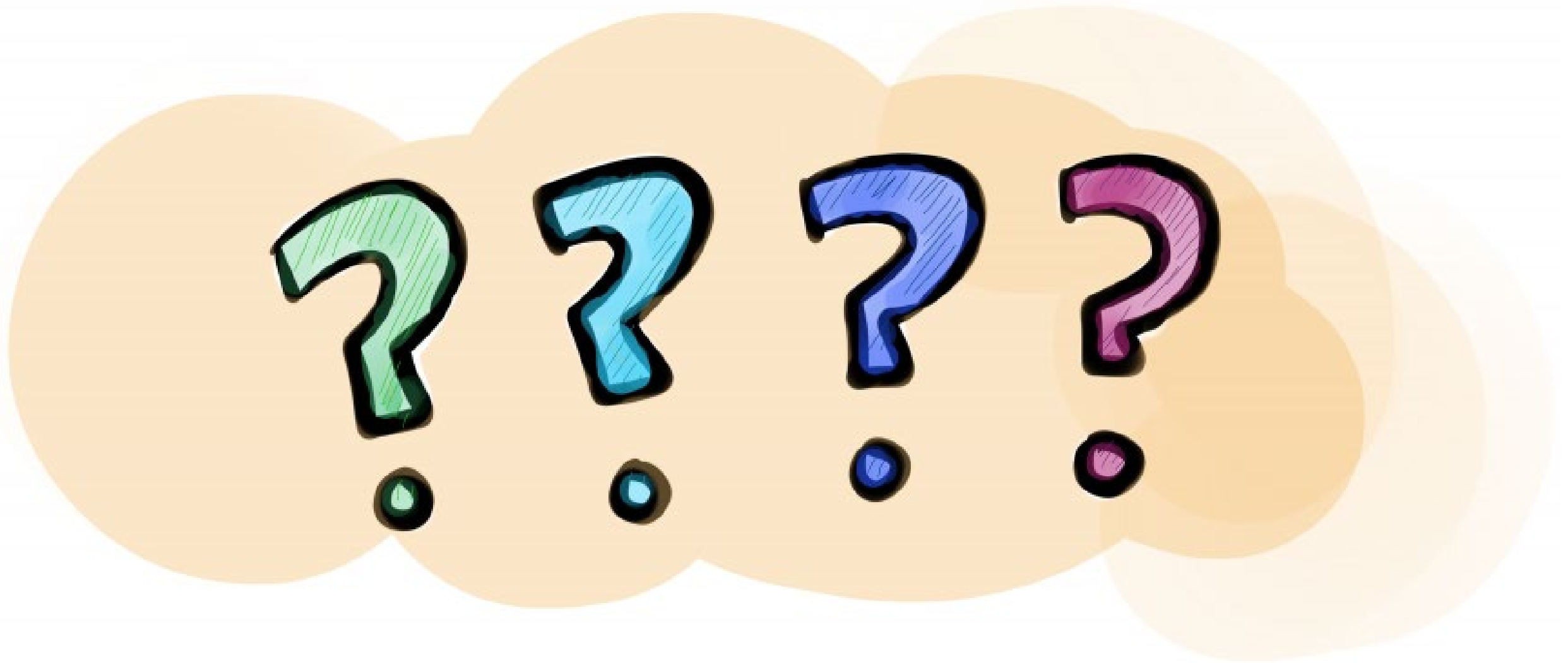
Pennsylvania

**Department of Community  
& Economic Development**

Melissa Tabb, Deputy Director  
Center for Community Services

[mtabb@pa.gov](mailto:mtabb@pa.gov)

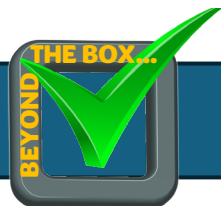
[dced.pa.gov](http://dced.pa.gov)



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THANK YOU



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Please scan  
here to  
complete  
the  
evaluation  
for this  
session!

