

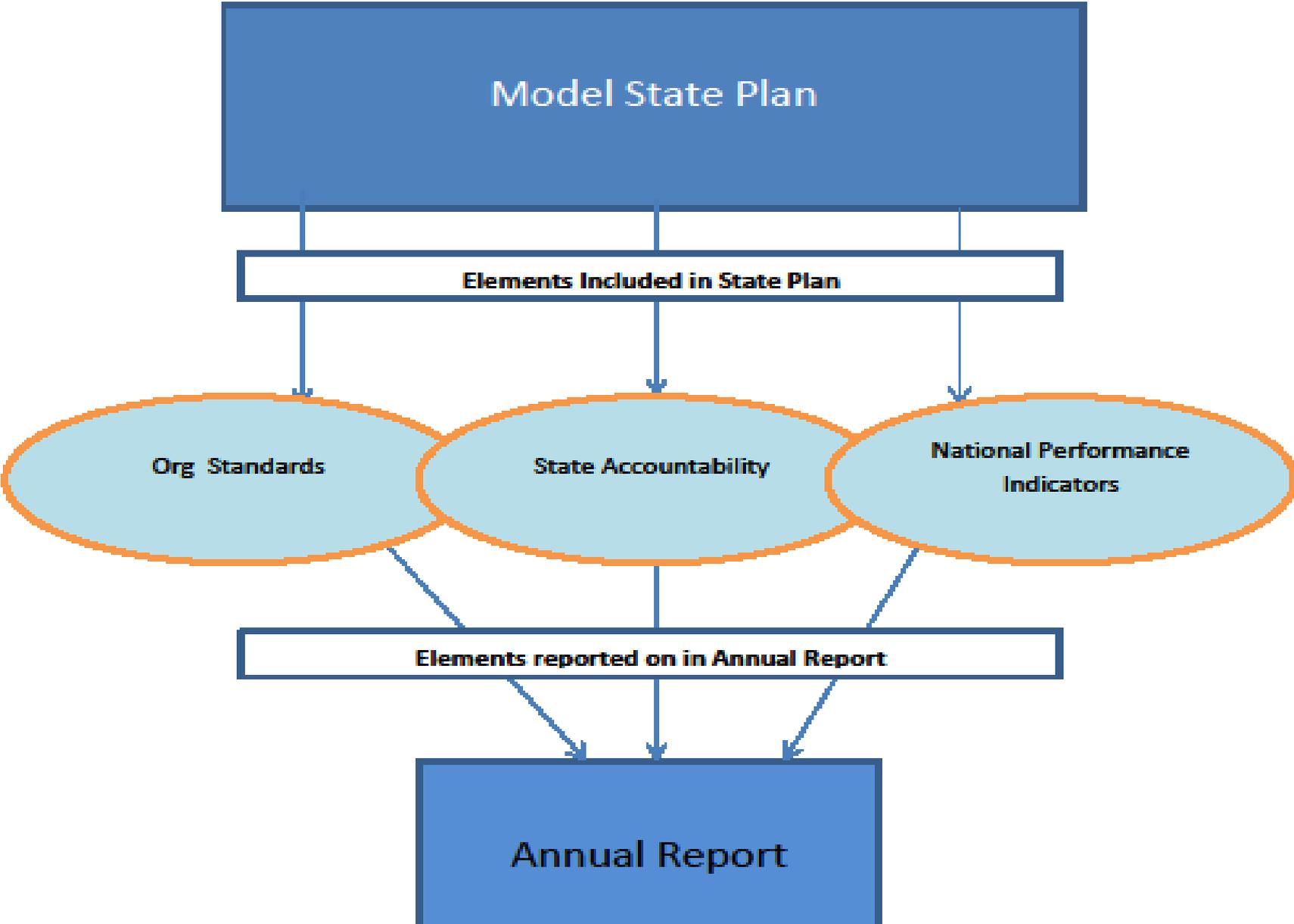
Model State Plan: Development and Reporting of Accountability and Performance

June 9, 2015

Office on Volunteerism and Community Service

State Requirements: Org. Standards and Beyond

- Most of 2015 spent on Org Standards
 - CAA's completing assessments
 - Adding standards to monitoring documents
 - Beginning creation of TA plans
- Org Standards are one small part of an overall increased accountability framework
 - Model State Plan
 - Annual Report



ACF Handout (CSBG Performance Management Framework)

- **Capacity**
 - Org Standards (IM 138)
 - Assessed yearly
 - Reported in State Plan and Annual Report
- **Efficiency**
 - State Accountability Measures
 - Track State Performance
 - Report in State Plan and Annual Report
- **Results**
 - Measurable outcomes
 - Reported to us in quarterly report
 - Reported to OCS in Annual Report

ACF Handout: Measuring Success

- Performance
 - Meeting Organizational Standards
 - States meeting Accountability Standards
- So What
 - What difference did the services make? (results)
 - National Performance Indicators

- **What is Performance Management?**
- •Accountability (planned vs. actual performance)
- •Collecting consistent, useful data
- •Data analysis: turning data into useful information that can inform program decisions and improve service delivery
- •Continuous improvement: identify areas needing to improve; identify best practices
- •Better results for the low-income individuals, families, communities served

Why is State Plan changing?

- Easier to submit
 - Online through OLDC system
 - Some elements “streamlined”
- To collect information on org standards and State accountability measures
 - Heightened expectation of State monitoring, training, technical assistance

Why Now?

- •Current national need to demonstrate results
- FY 2015 Federally required online submission of applications for funding
- FY 2016 CSBG performance management roll-out

Performance Management and Accountability Framework

- The What
 - Org Standards
 - Accountability Measures
- and The So What
 - Results/Data/NPI's

Model State Plan

- Details Plan for meeting Org Standards and State Accountability Measures

Annual Report

- Details progress towards meeting Org Standards and State Accountability Measures
- Reports results, the “so what” from NPI’s
- Formerly the IS Survey

The State Accountability Measures

- capture performance data
- *how efficiently and effectively* the State implements the activities described in the State plan
- *what impact* the State's efforts have on the performance of local eligible entities.

Accountability Standards

- States will collect data on State accountability measures using three mechanisms:
- - the CSBG Model State Plan
 - the State CSBG Annual Report
 - a nationally administered survey.

State Accountability Measures: Specific Highlights

- State Plan
 - Development
 - Creating strategies
 - Working with network on input
 - Task Force, Comment Periods, Presentations, Surveys

State Accountability Measures: Specific Highlights

- State Plan

- Implementation

- Make funds available quickly (2Sa), within 30 days of receiving funding notice
 - Requires CAA's to sign and return quickly
 - Our process includes several procurement steps

State Accountability Measures: Specific Highlights

- State Plan
 - Implementation
- Discretionary Funds (3S)
 - No funds used for TA
 - Increases need to have a robust Peer-to-peer network and develop a toolkit of resources

State Accountability Measures: Specific Highlights

- Implementation
 - Grantee Monitoring and Corrective Action (4S)
 - Monitored at least every 3 years (1 for org standards)
 - Goal for State is to get to 2 year cycle
 - Monitoring reports within 35 days
 - **Reported serious deficiencies to OCS**
 - **Measure is the number that improved from a QIP**
 - **Emphasis on documentation of progress**

Definition from State Accountability Measures of Serious Deficiency

- “Serious deficiency” means a finding that the CAA is not in compliance with Federal or State laws or eligible entity bylaws;
- or that the Eligible Entity has committed fraud, is in financial difficulty, or is not able to provide services

Specific Monitoring Goals

- 100% of CAA;s meet schedules in Corrective Action Plans
- 100% of CAA audits reviewed and closed within 30 days

State Accountability Measures: Specific Highlights

- Data Collection, Analysis, and Reporting (5S)
 - State to Report planned and accurate reporting data to OCS
 - State gives CAA's written feedback on performance within 60 days of submitting
 - State develops information for CAA's and OCS within 60 days of OCS feedback

State Accountability Measures: Specific Highlights

- Org Standards (6S)
 - Report % of CAA's meeting standards (target in model state plan, actual in annual report)
 - Technical Assistance Plans for all with unmet needs (should be ongoing)
 - Quality Improvement Plans for Serious Deficiencies (needs clarity)

State Accountability Measures: Specific Highlights

- State Linkages and Communication (7S)
 - Provide data and examples of linkages within State Government
 - Continue to work with DHCD
 - Develop new partnerships

- **Community Services Block Grant (CSBG) Model State Plan - DRAFT**
- **Table of Contents**
- **Mandatory Grant Application SF-424**
- Section 1: Designation of Lead Agency and Official State Designation Letter
- Section 2: State Legislation and Regulation
- **Section 3: State Plan Development and Statewide Vision and Goals**
- Section 4: CSBG Hearing Requirements
- Section 5: CSBG Eligible Entities
- **Section 6: Organizational Standards**
- Section 7: State Use of Funds
- **Section 8: State Training and Technical Assistance Plan**
- **Section 9: State Linkages and Communication**
- **Section 10: Fiscal Controls and Monitoring**
- **Section 11: Eligible Entity Tripartite Board**
- Section 12: Individual and Community Eligibility Requirements
- **Section 13: ROMA**
- Section 14: CSBG Programmatic Assurances and Information Narrative
- Section 15: Federal Certifications

State Accountability Measures: Specific Highlights

- Communications (8S)
 - Newsletters, blogs, or other forms of mass communication
 - Advisory group meetings
 - Meetings with State CAA Associations
 - Annual Reports
 - Information Memorandum or other formal Guidance Documents

State Accountability Measures: Specific Highlights

- Linkages (9S)
 - Development of Partnerships
 - *mutually beneficial arrangements wherein each entity contributes and/or receives: time, effort, expertise and/or resources.*

Model State Plan: Key Features

Section 3

- Statewide Goals and Strategies
 - Not a rollup of local plans, these are statewide goals/strategies
 - Ways to move our State to more substantive outcomes
 - Advancing Partnerships on Key Initiatives (Summer Food, EITC, Workforce, Child Care)

Model State Plan: Key Features

Section 3

- Statewide Goals and Strategies
 - Org Standards Goals (How to progress to compliance)

Model State Plan: Key Features

Section 3

- Statewide Goals and Strategies
 - Use of 90% and Discretionary Funds?
 - Not much to say here
- Communication Plan?
- Data Collection goals?
 - Limitations (5%)
 - Individual agency collection currently

Model State Plan: Key Features

Section 3

- **3.5. Eligible Entity Overall Satisfaction:**
- Must provide State's target for eligible entity overall Satisfaction during the performance period
- **Instructional Note:** The State's target score will indicate improvement or maintenance of the States' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the State's eligible entities.

Model State Plan: Key Features

Section 3 ACSI Survey

- **The American Customer Satisfaction Index (ACSI)**
 - **only national cross-industry/government measure of customer satisfaction** in the United States.
 - independent, cost-effective, highly valid and reliable measure of satisfaction

Model State Plan: Key Features

Section 6

- Organizational Standards
- **6.4. Assessing against organizational standards**
 - Peer-to-peer review (with validation by the State or State-authorized third party)
 - Self-assessment (with validation by the State or State-authorized third party)

Model State Plan: Key Features

- Organizational Standards
- **6.4.** Assessing against organizational standards
 - Self-assessment/peer review with State risk analysis
 - State-authorized third party validation
 - Regular, on-site CSBG monitoring
 - Other

Model State Plan: Key Features

Section 6 Org Standards

- Must identify the percentage CAA's the State expect will meet all the State-adopted organizational standards in the next year
 - associated with State Accountability Measures 6Sa

Model State Plan: Relationship to Accountability Standards

- 6Sa. The State developed implementation framework for organizational standards in cooperation with Eligible Entities and the CAA State Association (Yes/No)
-
- 6Sb. Organizational standards and the expectation to meet 100% of these Standards are included in the State Plan (Yes/No)
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- 6Sc. Organizational standards and the expectation to meet 100% of these Standards are included in State contracts with eligible entities. (Yes/No)
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- 6Sd. The State Plan includes identification of necessary T/TA to enable Eligible Entities to meet organizational standards (Yes/No)
-
- 6Se. The State measures and reports the number of Eligible Entities that meet the following percentage of organizational standards:
 - 100%
 - 90%-99%
 - 75%-89%
 - 50%-74%
 - Less than 50%

Model State Plan: Relationship to Accountability Standards

- 6Sf. The State has in place corrective action plans for all Eligible Entities meeting less than 90% of organizational standards (Yes/No)

Model State Plan: Key Features

Section 8

- State Training and Technical Assistance Plan
 - Timeframe
 - Type of Assistance
 - Topic
 - Source of Funds

Model State Plan: Key Features

Section 8

- State Training and Technical Assistance Plan
 - Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards?

Model State Plan: Key Features

Section 9 Linkages

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- State Head Start office
- State public health office
- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office

Model State Plan: Key Features

Section 9 Communication Plan

- Newsletter
- Mailing
- Meetings/Presentation
- Blog
- Email
- Website
- Social Media
- Other

Model State Plan: Key Features

Section 10 Fiscal Controls and Monitoring

- Full Monitoring Schedule, policies, procedures, including for Org Standards
- Number of CAA;s on QIP's
- Documentation of the closure of findings

Model State Plan: Key Features

Section 11

- Eligible Entity Tripartite Board
 - Tracking of Board Vacancies and Composition
 - require updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.)
 - **Priority Item: Ensuring compliance with Board Composition Requirements!!!!!!**

Model State Plan: Key Features

Section 13

- ROMA
 - Community Action Plans must detail the ways in which performance measurement outcomes will be evaluated and adjusted with use of data

Organizational Standards Timeline

| | |
|--|---|
| Self-Assessments Completed | May 20, 2015 |
| Analysis of Key Findings | June 9, 2015 |
| Development of Technical Assistance Plans | August 15, 2015 |
| Development of 2017 Monitoring Criteria | July, 2015 to April 30, 2016 (State Task Force) |
| Onsite Monitoring of Org Standards | Ongoing with regular monitoring |
| Reporting of Org Standards Compliance | <p>August 31, 2015 (In State Plan submittal)</p> <p>March 31, 2016 (In Annual Report to OCS)</p> <p>August 31, 2016 (Final Monitoring Plan with new Model State Plan)</p> <p>March 31, 2017 (TAPS and QIPS reported)</p> <p>August 31, 2017 (Full plan for 100% compliance)</p> <p>March 31, 2018 (Report on compliance in Annual Report)</p> |
| Tracking of Org Standards Progress | <p>Monthly, in monthly call</p> <p>Submittal of Application Yearly</p> |
| Formal Assessment of State Progress | June, 2016 (presented at VACAP) |
| | |

Model State Plan Timeline (for 2017-18 State Plan)

| | |
|--|--------------------------------------|
| Updates to the current 2-year plan | July, 2015 to August 31, 2015 |
| Development of New Model State Plan | September 15, 2015 to April 30, 2016 |
| New Model State Plan sent out for comment | May 1, 2016 |
| VACAP Conference Presentation of Plan and Comment Session | June, 2016 |
| Receipt of Written Comments | May 1, 2016 to June 15, 2016 |
| Final State Plan Document Sent Out | July 1, 2016 |
| Legislative and Public Hearing | Mid- to Late-July, 2016 |
| New Model State Plan Submitted to OCS | August 31, 2016 |

The Results Oriented Management and Accountability Cycle

Assessment

Needs and Resources



Evaluation

Analyze data,
compare with
benchmarks



Planning

Use assessment data and
agency mission statement
to identify results, and
strategies



Achievement of Results

Observe and report
progress



Implementation

Strategies and
services



Questions/Comments?

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