



# FY19 CSBG Monitoring & Prep for FY19 Annual Report

October 15, 2019

# HOUSEKEEPING

- ▶ **WEBINAR/Network Discussion—11/7/19---Needs Assessment**—Take-aways & Linkages/ Discussion of **ACSI** and network suggestions for improvement
  - Suggestion: share your reports and identified priorities as a network and within your community*
- ▶ **Feedback—Requested for revisions to Community Needs Assessment Tools**
- ▶ **FY20 Contracts—Continuing Resolution signed by Trump 9/27/19. Waiting on award letter.**
  - ▶ SCSO will build contracts as we did FY18 and FY19. First allocation will include the \$50,000 base for each agency.
  - ▶ SCSO will send out budget narrative template—similar to what received for EFN/QEFAF/EITC
  - ▶ Scope of Work—Reporting—SCSO will add a report for clients served during the state fiscal year with CSBG funds---due July 15, 2020---will there be any problem in pulling this report?
    - ▶ Also report contract outcomes—2 weeks following contract expiration—April 15, 2021



# Annual Report

- Notes from NASCSP conference:
  - Could be end 2019 before receive feedback on Mod 3---even later for Mod 2 and 4---this means we could be doing clean -up of FY18 while you are preparing/submitting to SCSO FY19 data
  - Language changing from Module 1-4 to words understandable outside of CSBG:
    - Mod 1— CSBG State Admin Report
    - Mod 2 -- CSBG EE Admin Report
    - Mod 3 -- Community Transformation Report (HCCT)---  
FY18 Mod 3: 814 submitted—25% GOOD; 25% community level work but need T/TA  
Note—part of new RPIC grant--each state will select one HCCT project over coming year
    - Mod 4 -- Individual and Family Outcome Report

# Annual Report-- **January 17, 2020**

- ▶ OMB clearance needed and may delay timeline for Smartforms and SCSO submission.
  - Federal Register Notice is now open---60-day comment period
  - Comments will be gathered/analyzed—and Annual report will receive any necessary updates
  - Then will be re-posted for 30-day comment period.
- ▶ **USE EXCEL SHEETS AND STICK TO REGULAR TIMELINE**—3<sup>rd</sup> Friday in January=  
**January 17, 2020.**
- ▶ Clint will send network a handout on how to pull data from CAP 60 for annual report by the end of the week.
- ▶ **NASCSP just published a *checklist* for state offices to assist reviewing Mod2-4**—will share with network and is available on their website

# FY19 Annual Report

- ROMA Data Quality: --
  - Accurate/Complete
  - Reconciled/De-duplicated
- Expectation: now that all agencies are on a database system: --
  - all client data is in your system
  - pull accurate and complete reports – review and ask questions
  - following protocols and safeguarding client data
- Reconciliation of clients in external data systems:
  - hand reconcile spreadsheets
  - Determine % of duplication---use as a multiplier going forward

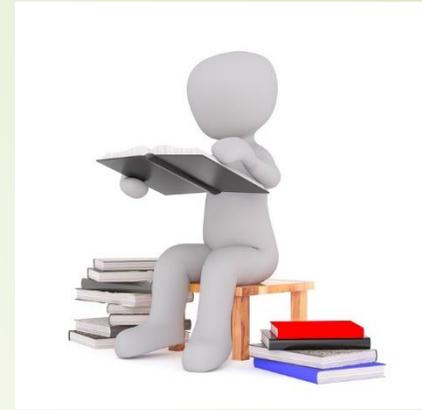


# FY19 Monitoring

- ▶ Penciled in all agencies for this coming year 😊
  - ▶ October: Open Doors
  - ▶ November: BRAG
  - ▶ January: OWCAP
  - ▶ February: SEUALG
  - ▶ April: UBAOG
  - ▶ May: CASFB & Six County
  - ▶ June: Five County & UCA
  - ▶ July: CAP Utah



# FY19 Monitoring



- **Combination desk audit and on-site—similar to FY18 monitoring**
  - **Notification letter**—approximately 1 month in advance of visit
  - Over following 2 weeks—KQ contacts for any docs needed for desk top review
  - **Draft of monitoring tool sent between 1-2 weeks in advance**—agency can see documentation needed to demonstrate compliance with standards. Agency may send this documentation at this time or wait for on-site visit.
  - **1 week prior to visit—pre-visit questionnaire due** to SCSO
  - On-site: review client files and other docs not sent electronically; interview staff and board member (if present); time for questions
    - If Patrick Szymanski joining me---he will conduct financial review
    - Other SCSO staff may join—cross-training purposes
  - **Preliminary report**—due to agency within 20 days of visit

# FY19 Monitoring

- No changes to monitoring tool for FY19 monitoring
- Reminder FY18 changes:
  - HR Section– Agency conducts nondiscrimination training/date of most recent training

6.1- PERSONNEL			
	Yes	No	Comments
How often does the agency conduct performance reviews of its staff? When were the last reviews?			
How often is the executive team's performance reviewed? Who conducts these reviews? When were the last reviews?			
Is your agency's staff aware of the strategic plan and how their jobs contribute to fulfilling the plan?			
Is any staff other than the Executive Director involved in the community partnerships and collaborations? Who?			
Does your organization / Agency have and maintain the following personnel policies			
Classification and pay plan			
Employee selection and appointment			
Conditions of employment and employee performance			
Employee benefits			
Employee-management relations including procedures for filing and handling grievances, complaints and rights of appeal			
Personnel records and payroll procedures			
Job description for all positions			
Drug Free Work Place Policy			
Affirmative Action policy and plan / nondiscrimination policy			
Conflict of Interest Policy			
Equal Opportunity			
Prohibit Political Activity or Lobbying			
Whistle Blower			
Agency conducts nondiscrimination training? Date of most recent training:			

# FY19 Monitoring

- 2<sup>nd</sup> change in FY18 monitoring tool: Question added at end of HR section—

**CSBG Act—678G (b) Evidence that the agency meets the childcare support services and referral requirements of Section 678G (b) of the CSBG Act?**  
*(b) Child Support Services and Referrals - During each fiscal year for which an eligible entity receives a grant under section 675C, such entity shall -*  
*(1) inform custodial parents in single-parent families that participate in programs, activities, or services carried out or provided under this subtitle about the availability of child support services; and*  
*(2) refer eligible parents to the child support offices of State and local governments.*

- Documentation of referrals or other eligible entity processes that demonstrate compliance

**State Assessment of Organization:**

- Met-The CEE has met the requirements of the Act  
 Not Met – The CEE has not met the requirements.

**Documents Used:**

<input type="checkbox"/> Policies and procedures	<input type="checkbox"/> Referral lists	
<input type="checkbox"/> Documentation of referrals to services	<input type="checkbox"/> Other	

**Comments:**

# FY19 Monitoring

- *I heard request for clarification on ORS Referral---shall SCSO organize a presentation by ORS?*
- Emphasis is to try to connect those due child support with that support
- Clients may apply online: [ors.utah.gov](http://ors.utah.gov)

The screenshot shows the Utah Department of Human Services website. At the top, there is a navigation bar with "Services" and "Agencies" links, and a search box labeled "Search Utah.gov". Below the navigation bar is the department's logo and a row of five small images showing diverse people. A secondary navigation bar contains "DHS Home", "Services", and "A-Z Index".

The main content area features a teal header for "Recovery Services". Below this header, the text states: "ORS's primary mission is to promote responsibility. We help ensure that parents are financially responsible for their children by providing child support services and support for children in care. We also work to help ensure public funds are used appropriately through the efforts of our Bureau of Medical Collections."

A red heading "INTRODUCING:" is followed by "Touch Pay ® Kiosk". The text below reads: "Effective September 6, 2019, ORS no longer accepts payments at the reception windows in our office locations. In-office payments can be made at our new self-service kiosks provided by TouchPay ® (fees apply). In addition, when making a payment on the ORS website, you are redirected to the TouchPay ® website to complete the online payment transaction." A red link "Click here for a description of all payment options available." is provided.

On the left side, there is a vertical menu with the following items: ORS Home, About ORS, Application for Services, Child Support Calculator, Employer Information, Financial Institution Data Match Program, Housing Verification, ORS Interactive Case Access System, ORS Programs, ORS Public Policy, Receiving Child Support Payments, and Remitting Payments to ORS.

On the right side, there is a "Related Links" section with the following items: External Links, Common Questions, Glossary of Terms, ORS Messages, ORS Mission Statement, ORS Statistics, and Contact ORS Webmaster. At the bottom right, there is a "Google Custom Search" box with the text "Search ORS".



# Monitoring report terminology—request for clarification

- ▶ The report will recognize strengths as well as opportunities for improvement
- ▶ Opportunities for improvement:
  - ▶ **Weakness** (...not a deficiency but an opportunity to strengthen...does not rise to the level of deficiency)—SCSO will provide a suggestion which the agency has the option of incorporating into practice
  - ▶ **Finding**—a deficiency
    - ▶ **Corrective action plan**—agency will be able to correct without any outside T/TA—this is how most findings are addressed.
    - ▶ **Training & technical assistance plan**—correction requires T/TA—this language is used by OCS in IM 138 to address noncompliance with standards. Since compliance with standards is included in the CSBG contract—SCSO does not need to separate out noncompliance with standards vs other contractual items. The distinction is simply some deficiencies may require assistance and others may not.
  - ▶ **Quality Improvement Plan (QIP)** -- Repeat findings, multiple/widespread deficiencies, issues of fraud
    - ▶ **Must be reported to HHS**
    - ▶ **Follows procedures detailed in IM 116**



# Take-aways from FY18 monitoring

- ▶ Standard 1.3 | Private The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.
- ▶ Standard 1.3 | Public The department has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the tripartite board/advisory body, which may be met through broader local government processes.
- ▶ *Narrative strengthens compliance*



# Take-aways from FY18 monitoring

- ▶ Standard 4.4 | Private The governing board receives an annual update on the success of specific strategies included in the Community Action plan.
- ▶ Standard 4.4 | Public The tripartite board/advisory body receives an annual update on the success of 8 specific strategies included in the Community Action plan.
- ▶ Standard 6.5 | Private The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.
- ▶ Standard 6.5 | Public The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.
- ▶ Standard 6.4 | Private Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.
- ▶ Standard 6.4 | Public Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process, or comparable planning process.

*DOCUMENT, DOCUMENT, DOCUMENT, DOCUMENT*



# Take-aways from FY18 monitoring

- ▶ Review bylaws---is language overly restrictive?
  - ▶ Standard 5.5 | Private The organization's governing board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws
  - ▶ Standard 5.5 | Public The department's tripartite board/advisory body meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its governing documents bylaws---is language overly restrictive.....?
- ▶ Review docs used to support standards to see if aging out.....



# Take-aways from FY18 monitoring

- ▶ Document staff activity:

- ▶ Standard 8.10 | Private The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.
- ▶ Standard 9.3 | Private The organization has presented to the governing board for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.
- ▶ Standard 9.3 | Public The department has presented to the tripartite board/advisory body for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.



# Take-aways from FY18 monitoring

- ▶ Timeliness and accuracy in reporting/ grant management
- ▶ Subcontract---monitoring practices
- ▶ Use tools:
  - ▶ Calendar of board actions—for compliance with standards
  - ▶ Template for minutes—to capture necessary detail
  - ▶ Self-assessments—know what documents you have and which are aging out
  - ▶ Ask questions---either SCSO or State Association 😊

Questions....Comments....Thoughts for the day....?

