



N A S C S P

NATIONAL ASSOCIATION FOR STATE COMMUNITY SERVICES PROGRAMS

# ROMA Next Generation

*Results-Oriented*

*Management and Accountability*

February 2015

NASCSP

# Session Objectives

## Introduce elements of ROMA Next Generation

- **Performance Management Principles**
  - Agency Level
  - State Level
- **Theory of Change (TOC)**
  - Identify the differences between a national TOC and a local TOC
  - Identify how the TOC will create a framework to help make meaning out of data
- **Clarity in some areas of annual reporting**
  - Use of CSBG \$
- **Review of National Performance Indicators**
  - Family, Agency and Community level impact
  - Connecting Services to Outcomes
    - Bundled Services

# ROMA *Next Generation* Center of Excellence (ROMA COE) Overview



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- Assure standardized knowledge of ROMA
- Increase Network capacity to implement the full ROMA cycle
- Increase Network capacity to collect, report, and use performance data for decision making
- Establish ROMA focused metrics for comparison of CSBG eligible entity use of CSBG resources
- Build the knowledgebase of evidence-informed strategies
- Enhance knowledge base regarding the evaluation/analysis phase of the ROMA Cycle



# PERFORMANCE MANAGEMENT PRINCIPLES

# Performance Management is NOT Evaluation



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- ❑ For **performance-management** purposes, it is essential to focus on short-term outcomes and the incremental progress that clients make toward them.
- ❑ Evaluations usually focus on intermediate and long-term outcomes because they intend to establish the value that an agency has produced.
- ❑ Because evaluations are done “after the fact,” the data produced may be “stale” and not useful for program management purposes.
- ❑ Short-term outcomes are the first steps toward the achievement of more enduring intermediate and ultimate outcomes, and it is important to know if these steps are performing as they should.

# Wisdom from the field:

*High performance is primarily a function of people and culture, not data and technology.*

*~ Mario Marino, Leap of Reason*

- This means that our journey towards improved performance management is about enhanced data **analysis**
- It's about investing in people as well as designing polices and procedures to guide implementation of data systems.
- It's about creating an organizational culture that values the analysis and use of information

# Where We're Headed

- Establish principles for performance measurement and management
- Connect services to outcomes
- Identify the demographics of the population that is moving toward self sufficiency
- Acknowledge the need to measure progress over time
- Improve reporting about maximum feasible participation in the community and community impact
- Focus on enhanced data analysis and how data is used

# Performance Management Principles

- Agency protocols include strategies for implementing the full ROMA Cycle on a continual basis.
- Agency protocols include strategies for monitoring and managing the quality and effectiveness of their services, and for the use of data to make adjustments for improvement..
- Agency protocols include strategies for understanding what's working and what's not working, and WHY.

# Performance Management Principles, cont.

- Agencies connect critical data from disparate systems to meet diverse program needs and reporting requirements
- Agencies connect data elements that can be aggregated, analyzed and reported quickly and efficiently
- Agencies achieve an unduplicated count without comprising program participant privacy

# Performance Management Principles, cont.



- ❑ States have protocols to assess the capacity of the local agencies (eligible entities)
- ❑ States monitor agency performance management
- ❑ States use data to compare agency performance, statewide, and replicate best practices



# THEORY OF CHANGE

*Enhancing the CSBG Network's  
Performance Management System*

# Identifying Who We Are and What We Do



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Two goals of ROMA *Next Generation* Center of Excellence are to:

- ❖ Implement a process to identify a Community Action Theory of Change
- ❖ Foster a performance culture in the Network

# Need for a Theory of Change

- As a network, we do not have a unified, standardized method of articulating the changes we expect to achieve
- The Six National Goals were designed to provide a framework for our work but ...
  - They are not universally used by agencies to guide the planning, implementation, and analysis phases of ROMA
  - They are not actually measured

# National Performance Indicators



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- Document the numbers of individuals, families, communities that achieved **INDICATORS** but not the number who achieved the **GOAL**
- Do not ask for connections between the indicators and goals

*Why do we think these things indicate success in the Six National Goals?*

- Do not connect the services provided with the outcome indicators reported

*Is it one service for one outcome? Many services for one outcome?  
Many outcomes from one service?*

- Do not describe the population that is achieving the indicators

# Building a TOC

Indicators

Assumptions

Long Term Goal

Indicators  
that will be  
measured

Indicators  
that will be  
measured

Indicators  
that will be  
measured

Intermediate  
Outcome  
required to meet  
goal

Intermediate  
Outcome  
required to meet  
goal

Intermediate  
Outcome  
required to meet  
goal

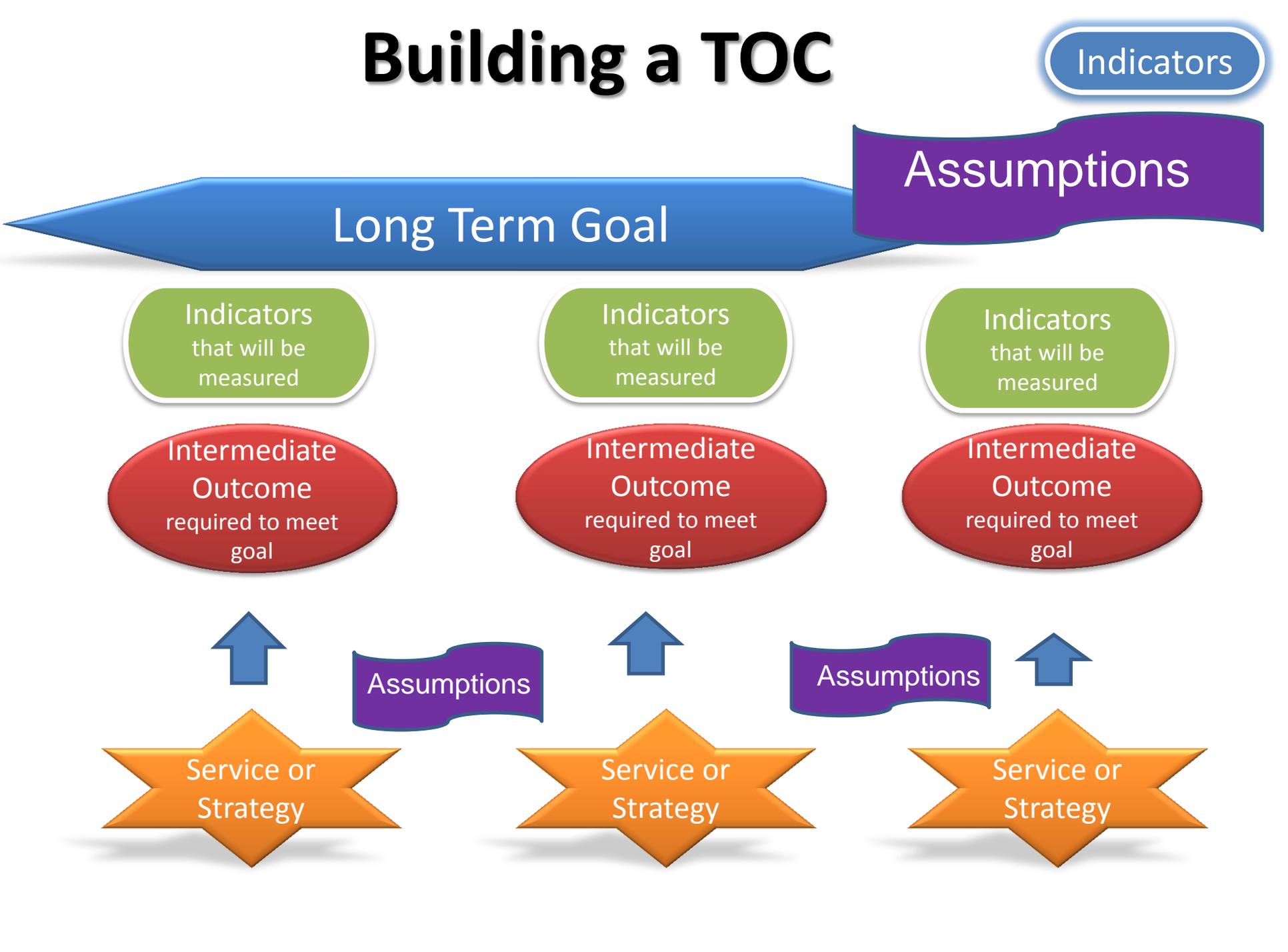
Assumptions

Assumptions

Service or  
Strategy

Service or  
Strategy

Service or  
Strategy



# What Are Our Assumptions?



*Assumptions articulate the principles and belief system that underlie the work of Community Action. Key assumptions include:*

- Systems capacity at every level within Community Action (local, state, federal) enables family and community strategies to become actualized
- To achieve results, the system is designed to preserve the focus of Community Action and to promote greater effectiveness among State and local agencies
- Local activities acknowledge the need for a continuum of services.
- Long-term outcomes include **FAMILY SELF-SUFFICIENCY & REVITALIZED COMMUNITIES**

# What we believe about **POVERTY**...

- ❑ Poverty is a complex problem and will not be solved with simple solutions
- ❑ Helping people to overcome poverty and move toward self-sufficiency requires long-term and multi-faceted strategies that integrate agency and community resources
- ❑ Families in crisis are not able to work toward self-sufficiency, so stabilization is a first step on the continuum toward self-sufficiency
- ❑ Community stakeholders, particularly those with a low-income, best know their community's needs
- ❑ Family and community successes are interconnected

# What we believe about **COMMUNITY ACTION...**

- Is locally driven based on local needs and resources
- Stimulates community engagement in governance, advocacy, program design, and evaluation
- Is engaged in community planning and coordination of resources
- Leverages multiple resources to address complex issues
- Has system capacity that relies on support from national organizations, state CSBG offices, state Associations and RPICs.

# *Assumptions* about **HOW** change will happen.



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- Strategies are stated broadly to reflect the national picture
- Local agencies identify specific strategies and services that produce family, agency, and community outcomes directly related to the locally assessed needs and the mix of resources that are available both within the agency and in the broader community.
  - ❖ Community Action creates pathways to self-sufficiency for America's families with low-income by employing a continuum of services.
  - ❖ Community Action stabilizes families by meeting their immediate needs.
  - ❖ Community Action joins with partners to create change in community conditions that foster the environment needed to cultivate and maintain self-sufficiency.

# What we believe about

## DATA COLLECTION & ANALYSIS...



- Systematic data collection and analysis are needed to test our assumptions, continuously improve strategies, and increase Community Action's effectiveness and efficiency.
- State CSBG offices monitor data collection accuracy and completeness, with support from Associations and national organizations.
- Questions about
  - Unduplicated count
  - Follow up (*to identify the agency's impact*)
  - Taking credit for community change

# DRAFT National Community Action Theory of Change

This Theory of Change portrays the National Community Action Network's unique operating structure. It also articulates the assumptions the Network is built on and the long-term goals the Network aims to achieve.

## ASSUMPTIONS

The principles and belief system that underlie the work of Community Action.

Poverty is a complex problem and will not be solved with simple solutions.

Helping people to overcome poverty and move toward self-sufficiency requires long-term and multi-faceted strategies that integrate agency and community resources.

Families in crisis are not able to work toward self-sufficiency, so stabilization is a first step on the continuum toward self-sufficiency.

Community stakeholders, particularly those with a low-income, best know their community's needs.

Family and community successes are interconnected.

### Community Action...

- Leverages resources to address complex issues
- Engages in community planning and coordination of resources
- Stimulates community engagement in governance, advocacy, program design, and evaluation

## SYSTEMS CAPACITY

All levels working together enable family and community strategies to become actualized.

Organizational Standards provide a structure for improving local agency capacity (Maximum Feasible Participation, Vision and Direction, and Accountability and Operations).

Federal and State Accountability Measures address areas of T/TA; data collection, analysis and reporting; monitoring and oversight; and communication.

State/Regional Associations and National Organizations provide training and technical assistance to all levels of the Network.

The network uses the Results Oriented Management and Accountability (ROMA) framework to show the collective impact of Community Action.

## INTERMEDIATE GOALS

Community Action joins with partners to create change in community conditions that foster the environment needed to cultivate and maintain self-sufficiency.

## HOW DOES CHANGE HAPPEN?

Local agencies identify strategies and services that produce family, agency, and community outcomes that are directly related to the locally assessed needs and the mix of resources that are available both within the agency and in the broader community.

Community Action creates pathways to self-sufficiency for America's families with low-income by employing a continuum of services.

SHORT TERM GOAL: Community Action stabilizes families by meeting their immediate needs.

Community Action provides services to produce increased skills/resources in specific categories and also bundled, integrated services that may involve multiple categories..

individuals and families achieve outcomes in one or more domains.

individuals with low-incomes have a stake in their community.

## LONG-TERM GOALS

Individuals and families with low income become self sufficient.

The conditions in low income communities are improved so communities thrive.

The National Performance Indicators measure progress toward the long-term goals and enable the national Network to track change over time.

## DATA COLLECTION & ANALYSIS

Represented by this arrow, systematic data collection and analysis are needed to test these assumptions, continuously improve strategies, and increase Community Action's effectiveness and efficiency.





NPIs and Other Information

# ANNUAL REPORTING



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# Use of CSBG Dollars

# Use of CSBG \$ by Category

- Local Agencies are asked to identify, by service categories, detailed information about the services that were provided to low-income people and communities ***with CSBG resources*** over the report period.

# The premise of the classification

- All projects funded with CSBG funds fit into one of the categories mentioned in the CSBG Act and all of the services are designed to meet the purpose of the act:

*“... for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient” (CSBG Act 1998, TITLE II--SEC. 672)*

# Key Information from the Data

As we report on the value added of CSBG funding to the Community Action network, we want to be able to clearly identify both the uses of the CSBG funds by category and also to demonstrate how these funds are used to enable the eligible entities and discretionary grantees to adequately address the locally identified community needs.

# How are the CSBG dollars spent?



- Data is to be collected at the local level and the information with the identification of the services supported is submitted to the state office for the annual report.
- In an attempt to make the data more useful, wide outreach was done to identify the methods of assignment of CSBG dollars to service categories.

# \$ assigned by different methods

- **Direct tracking method:** In this case the local eligible entity or discretionary grantee has created a fiscal accounting system in which the use of CSBG funding is tracked to specific activities, and those activities are characterized as one of the service categories.
- **Allocation method:** There are two ways that CSBG dollars are allocated to service categories.
  - One uses the number of participants who received agency services and
  - the other uses the total agency budget to identify the agency's services by category.

# Introductory Question

## **Suggestion from the field:**

- Add a question to identify how CSBG\$ are being reported. Provide these choices:
  - Actual tracking of dollars to expenses by category
  - Assignment to categories by percent, based on overall agency budget also identified by categories
  - Assignment to categories by percent, based on participants (number and service received)
  - Assignment based on other system

# Clarification of Services

- **A program, project or service** is the smallest activity for which CSBG agencies can reasonably be expected to keep track of dollars spent. Ideally, a project is designed to fit in one of the CSBG service category areas, has a specific implementation strategy, and is targeted to serve low-income groups or communities.
- Often in practice, projects have multiple purposes, strategies, and recipient groups. **The primary purpose of a project will determine where to enter its data;** since dollars spent on the secondary and tertiary purposes of projects can be assumed to be supportive of the primary purpose (or they would be projects in their own right).

# Case Mgmt./Family Development

## □ Case Management *(rather than Self Sufficiency)*

- “Case management” meaning a “generic” case management rather than case management for one of the service categories, such as HUD Housing programs
- If we are trying to benchmark our networks “bundled services” we need to establish where these kinds of services are being reported.

# Linkages

## □ Linkages = **Community** Level Activities

- Money to support participation in planning and/or coordinating services for low-income groups should be included in the Linkages service category
- Statewide brokerage/advocacy projects, statewide study grants, and funding for statewide forums, conferences, or coalitions should be included

# Capacity Building

## □ Agency Capacity Building

- Cost of doing needs assessment
- Cost of doing strategic planning
- Support of tripartite board
- Support of community engagement and input
- Development of partnerships and coalitions
- Development of community level strategies

# Administration

- The request is to move Administration expenses from below the line to be included in the total expenditure.
  - This means that you do not have to first identify use by service category and then go back and pull out administration expenses.
  - *This change was made in response to feedback from fiscal staff across the country who felt the prior methodology produced double work for them, and sent a mixed message regarding what expenses were to be characterized as Administration.*
  - All of the expectations regarding use of CSBG funds for administration remain in the same as they have been.

# Proposed Service Categories

1. Employment
2. Education
3. Income Management
4. Housing
5. Emergency and Stabilization Services
6. Nutrition
7. **Community** Linkages
8. **Family Development/Case Management**
9. Health
10. **Disaster Relief**
11. **Organizational Capacity Building**
12. **Administration**

# Community Level Expenses

What expenses support the development of community level strategies?

- Community level work could be done in any of the domains (housing, employment, etc.)
- Linkages defined as community level
- Community level work also found within agency expenses:
  - Some needs assessment work would be community level
  - Support of community engagement and input
  - Development of partnerships and coalitions
- How much of total CSBG funding is spent in this way?

# Community Level Work

## Suggestion:

- Add Table 2: Identification of CSBG Funds that were used in the categories identified above for community outcomes.
  - *Of the funding listed in Table 1, the funds used for community level work / associated with community outcomes*
  - *(reported in NPI Goals 2, 3 or 4)*



Better identification of the changes that happen

# **NATIONAL PERFORMANCE INDICATORS**

# The Big Questions



What's the impact on the lives of individuals and families? How do family and community changes interrelate?

Are people better off as a result of Community Action intervention?

What actually happened (*what changed*) to an individual or family as a result of the services you provided? To a community?

If Community Action is about moving families to self-sufficiency, how many families have achieved self-sufficiency?

If families have not “moved” but have received services to maintain or achieve family stability, how do you measure this accomplishment?

Are agencies a part of “collective action” with partners in the community?

What is the purpose of partnerships?

What evidence is there re: the CAA part of the community level success?

# How Can We Do Better?

- Refined listing for national aggregation
- Clarify definitions to enhance reporting quality
- Reinforced focus on achievement using the Six National ROMA Goals
  - Recognize what outcomes vulnerable populations achieve (*stabilization to recover from or avoidance of crisis; independent living of individuals with disabilities; appropriate developmental progress for children and youth*)
  - Improve reporting on Community Action's role in creating community change



# Family Level NPIs

# Family NPIs: Basic Questions



- How many individuals received services?
  - Of those served, how many received single or short term services?
  - How many received multiple services? Were the services integrated? What were the services?
- For how many of the total individuals served do you have follow up information?
  - What *outcomes* did they achieve? What *changed*?
- Of the number who received services for whom you have follow up information, *what percent achieved* the outcome?
  - How does the percent that achieved the outcome compare to the number you targeted would achieve an outcome?

# Making Connections

## Employment Example

- The agency can identify the average frequency, duration and intensity of services required before employment is obtained.
- The agency can identify **employment and non-employment outcomes** achieved by those participating in employment related services
- The agency can connect employment program participant characteristics, or demographics, with services and outcomes (including those for other members of the family).

# Making Connections

## Emergency and Stabilization Example

- The agency can identify the various tangible or short term services provided to families in crisis or at risk of being in a crisis.
- The agency can identify if the family has received multiple services or repeat services.
- The agency does follow up to find out if families achieved stability as a result of service (e.g.: the family reports their ability to meet family basic needs).
- The agency can identify the number and percent of individuals who entered a self-sufficiency program or service as a result of stability or emergency service provision.



# Community Level NPIs

# Impact of Community NPI Revisions



- Community Action joins with stakeholders with a specific purpose - to improve conditions
- Communities are improved by people with low incomes having network connections
- Community networks help improve the social capital of people with low incomes
- Community Action's network reaches out into the broader community



Identify those who move to self sufficiency using

# **BUNDLED SERVICES**

# Bundled, Integrated, Multiple?

- It is important to know if a participant has received multiple services, and which services were received.
- The question is: do participants receiving multiple services achieve more outcomes than their peers who receive single services?
- Are the “multiple” services achieving maximum power? (Which comes when the services are sequenced and are carefully selected in a strengths-based planning process.)
- It is the “comprehensive” and “integrated” nature of the services that adds the most value.

# Hypothesis

***Community Action has the ability to determine which “bundle of services” are most effective for certain demographic groups and in certain locals to achieve “success.”***

*Note: Success maybe be defined in many different ways – and may include the achievement of multiple outcomes (in multiple domains).*

# NASCSP Case Study



ROMA

## Bundled Services Delivery Case Study

ROMA Center

Community Action Agencies and Associations in three states participated in a survey and follow-up interviews about bundled services delivery for low-income participants.





# Executive Summary



- Bundled service delivery affords the family opportunity to meet the targets they have set by providing support and access to a comprehensive range of services that cover multiple domains.
- There is nothing new about bundled services. CAAs have been doing this for years.
- These service delivery models have different names and different features in each community, but there are some common elements.
  - Through the initial needs assessment/application process, families work with a designated agency staff person.
  - Once identified for this level of service, the family and staff determine together what services are needed and what are available.
  - Progress is tracked regularly across a number of different domains.
  - The timeframe for these services is extended beyond a single year of programming.
  - Having a respectful, supportive guide through the continuum of services makes the outcomes more achievable.
  - Technology has made it easier to track these services and document their impact.

# Lessons Learned about Data Collection

- The ROMA NPI information does not (currently) identify how many people are in the bundled services programs, what are their characteristics, and how long are they in the program.
  - From our survey, we found that agencies know this, but the number is not reported at the state or national level.
  - We recommend that agencies be asked to report the number of people in bundled services and what services they received. This would be helpful to the state and national level as it would help to document this work in the CAA Network.
  
- Agencies are able to capture data quarterly for the families in their bundled services programs and they use this data in the delivery of services to the family.



# Lessons Learned about the Role of Front Line Staff



- The title of the person who works with families varies by agency.
- This staff person is seen as vital to the success of many bundled services programs.
- Throughout the program, the staff provides a sounding board and helps with solving problems.
- Ongoing support includes monitoring and documenting progress toward goals and making changes in family plans as a result of the information gathered.



# Lessons related to Training for Staff

- The staff person who works with the families in bundled services programs needs the skills to encourage and provide support, the insight to help families make good choices, and the knowledge of the community to be able to make referrals and link customers to the opportunities that are available.
- Training for these staff people is seen as absolutely necessary. *Survey respondents mentioned the importance of national, state and local trainings within the Network. Also identified the need for opportunities for staff to interact with and learn from their peers.*





QUESTIONS  
COMMENTS  
CONCERNS

