Agenda

• Overview of ROMA/ROMA Next Generation
• Role of Organizational Standards in ROMA Implementation
• Implementing ROMA: Stories from Local Agencies
  • ROMA Audit
  • Logic Model
  • Community Needs Assessment
  • Theory of Change
  • Scorecard
• Questions from Participants
• Next Steps
Panelists

Debbie Markman
Resource Development Director
Economic Security Corporation of Southwest Area, Joplin, MO

Barbara Mooney
Director
Association of Nationally Certified ROMA Trainers

Carey Gibson
Project Manager
Nationally Certified ROMA Implementers
ANCRT/PRI
What ROMA is NOT:

• ROMA is not just a report.
• ROMA is not a program or a service.

What ROMA IS:

• ROMA is a complete management and accountability process that is focused on the results achieved from your agency’s activities.
Results Oriented Management & Accountability

ROMA

Assessment
Community needs and resources, agency data

Evaluation
Analyze data, compare with benchmarks

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

Implementation
Services and strategies produce results

Achievement of Results
Observe and report progress
What did the Organizational Standards teach us about ROMA?

• Community Action Agencies are expected to be “results oriented”
• The elements of the ROMA Cycle are included in the characteristics of high performing agencies.
• Accountability is an integral part of the activities of CAAs
Community Assessment

--- Consumer Input and Involvement
--- Community Engagement
--- Board Governance
--- Human Resource Management
--- Financial Operations and Oversight

Strategic Planning

Reporting

Data and Analysis

Organizational Leadership

Implementation of Services and Strategies

Organizational Standards

ROMA Cycle
Direct Connections

Assess ➤ Plan ➤ Results
Assessment
Community needs and resources, agency data

Evaluation
Analyze data, compare with benchmarks

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

Achievement of Results
Observe and report progress

Implementation
Services and strategies produce results
Improving ROMA Implementation

• **Assessment**: Be informed on the Community Needs Assessment & assess clients holistically
• **Planning**: Plan with outcomes in mind
• **Implementation**: Provide quality, bundled services
• **Results**: Report completely, accurately, & timely
• **Evaluation**: Provide feedback to supervisors on what’s working & ask clients for feedback (customer satisfaction)
Where are you now?

Assess the current situation first!

Conduct a “ROMA Audit”
<table>
<thead>
<tr>
<th>Elements of ROMA</th>
<th>Program Level ROMA</th>
<th>Agency Level ROMA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment</td>
<td></td>
<td></td>
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<tr>
<td>Planning</td>
<td></td>
<td></td>
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<tr>
<td>Implementation</td>
<td></td>
<td></td>
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<tr>
<td>Achievement of Results</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation</td>
<td></td>
<td></td>
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<tr>
<td>Reassessment</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
In each phase of the ROMA Cycle

CONSIDER:

• Who is involved and what do they do?
• What is expected to be achieved in this phase?
• How will you know if it is done well or is successful?
• How do you collect, aggregate and analyze the data in each section?
• What makes the process useful?
How do you know?

• To find out who is “doing ROMA” it is important to talk to peers and colleagues in the agency.
Example from the Field

Products of a ROMA Audit

Economic Security Corporation
The Results Oriented Management and Accountability Cycle

Assessment
Community needs and resources, agency data

Evaluation
Analyze data, compare with benchmarks

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

Achievement of Results
Observe and report progress

Implementation
Services and strategies produce results
## ESC's Weatherization ROMA Cycle Audit Narrative

**Date:** 15 July 2019

<table>
<thead>
<tr>
<th>ROMA Cycle</th>
<th>Documentation includes:</th>
<th>Timeframe</th>
<th>Organizational Standards</th>
<th>Who is Responsible?</th>
<th>Identified need for additional help</th>
<th>What type of help is needed</th>
<th>Who will be providing the help?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment</td>
<td>3 to 5 year CNA team establishes a timeline (handout for entire Management team) for all activities (organizing the survey team, focus group team, community group team, ID CNA Facilitator for Board/community/Employee group)</td>
<td>1 Jan - 4 Apr</td>
<td>Performance Standard</td>
<td>CNA team divides up duties, Resource Development Director is facilitator of CNAs</td>
<td>First time to gather leadership team in this full process for 2020. Identify any challenges with CEO in December 2019. Will need an outside facilitator.</td>
<td>Ensure WX Energy Burden is included in CNA</td>
<td>Will need to ID a person</td>
</tr>
<tr>
<td></td>
<td>Provide CNA team with assessment data from MO CAN Assessment and CAP Assessment websites</td>
<td>4 county area assessment from Missouri CAN or CAP Assessment website, Kid's County, CHAS, PITCH, Surveys (Parents, Board, Staff and Community). Four required areas: gender, age, race, ethnicity.</td>
<td>Resource Development Director</td>
<td>OS 3.1, 3.2, 3.3</td>
<td>January - February</td>
<td>Weatherization team member</td>
<td>Will need to ID a person to help gather the information</td>
</tr>
<tr>
<td></td>
<td>Agency CNA team identifies existing resources found in communities</td>
<td>Make sure Board members have been ID as part of the CNA team</td>
<td>CNA team</td>
<td>OS 3.1</td>
<td>Dec</td>
<td>CEO</td>
<td>Will need to have a member(s) who have flexible schedules to work with staff</td>
</tr>
<tr>
<td></td>
<td>State CSBG Office CNA training</td>
<td>ESC will need to make sure they have their data and most current Community Needs Assessment</td>
<td>Development Director notifies the team, mandatory attendance by Community Development Director and Resource Development Director</td>
<td>March or April</td>
<td>CEO. Identify leadership team members that will need to attend training.</td>
<td>Identify anything different that the State CSBG office will be requiring</td>
<td>Will need CEO to assist with this process</td>
</tr>
</tbody>
</table>
### ESC’s Weatherization ROMA Audit - Planning

<table>
<thead>
<tr>
<th>ROMA Cycle</th>
<th>Documentation includes:</th>
<th>Who is Responsible?</th>
<th>Organizational Standards</th>
<th>Head Start Performance Standard</th>
<th>Month Work Starts</th>
<th>Identified need for additional help</th>
<th>What type of help is needed</th>
<th>Who will be providing the help?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>ESC updated data (MO CAN Assessment site), other research links, noting significant changes that would require noting in the updated Community Needs Assessment</td>
<td>Resource Development Director, Head Start/Early Head Start Director and Community Development Director</td>
<td>Wkly</td>
<td></td>
<td>X</td>
<td>Oct.-Sept</td>
<td>Other than HS/EHS and CD, the other departments don’t usually provide input, not a good idea since we are building housing and we have energy programs and no data in our community needs assessment that really shows need.</td>
<td>Identify what needs to be different</td>
</tr>
<tr>
<td></td>
<td>Annual updates to the CNA and works with ESC’s management staff members</td>
<td></td>
<td>Mthly</td>
<td>Yrly</td>
<td>3 yrs.</td>
<td>5 yrs.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 year Community Needs Assessment</td>
<td>Includes a Key Findings Section or Executive Summary (Poverty Causes and Conditions must be noted)</td>
<td>Resource Development Director and Community Needs Assessment Team</td>
<td>Qrty</td>
<td></td>
<td>X</td>
<td>30-Sep</td>
<td>May need help from an outside source (facilitator), Discussion with CEO and Leadership Team</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Community Needs Assessment data and key findings presented to Board of Directors</td>
<td>CNA team</td>
<td>OS 3.4</td>
<td></td>
<td>X</td>
<td>X</td>
<td>30-Sep</td>
<td>Figure out a better to be inclusive of Board members who work in the day time, earlier meetings?</td>
</tr>
<tr>
<td>Planning</td>
<td>Copy of the State WX plan that establishes #</td>
<td>Weatherization Director</td>
<td>OS 3.5</td>
<td></td>
<td>X</td>
<td>30-Jun</td>
<td>Weatherization Director</td>
<td>ROMA Trainer and Implementor need to understand this process</td>
</tr>
<tr>
<td>ROMA Cycle</td>
<td>Documentation includes:</td>
<td>Who is Responsible?</td>
<td>Organizational Standards</td>
<td>Head Start Performance Standard</td>
<td>Wkly</td>
<td>Mthly</td>
<td>Qrty</td>
<td>Yrly</td>
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</tr>
<tr>
<td>1 year LIHEAP plan</td>
<td>Copy of the LIHEAP Plan?</td>
<td>How does WX participate in this process?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Ensure the Strategic Plan and State plans are consistent with ESC's TOC (Mission and Vision)</td>
<td>Strategic Plan includes challenges or responsibilities or strategies. Include customer satisfaction data in plan or Appendix (include</td>
<td></td>
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</tr>
<tr>
<td>Weatherization Budget established</td>
<td>Budget submitted to the Fiscal Director</td>
<td>Weatherization Director is the lead, but the Fiscal Director is there for support and guidance</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>ROMA Cycle</td>
<td>Documentation includes:</td>
<td>Who is Responsible?</td>
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<td>Head Start Performance Standard</td>
<td>Wkly</td>
<td>Mthly</td>
<td>Qrly</td>
<td>Yrly</td>
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</tr>
<tr>
<td>Implementation</td>
<td>Agency Best Practice: All programs would be part of an agency wide logic model.</td>
<td>WX logic model</td>
<td>WX Director and ROMA staff</td>
<td>OS 4.2</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Weatherization, LIHEAP and Other Public Utilities plans implemented</td>
<td>Missouri WX State Plan</td>
<td>Weatherization Director is the lead for Weatherization program implementation, Assistant WX Director takes care of the day to day operations and the WX crew make sure work is completed by work orders.</td>
<td></td>
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</tr>
<tr>
<td>Strategies are implemented</td>
<td>ESC's Strategic Plan and Missouri WX Plan</td>
<td>Weatherization Director, Assistant Director, Weatherization Clerk, Energy Auditor, WX Crew Chief and WX Crew</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Budget becomes operational</td>
<td>MIP Budget</td>
<td>Weatherization Director is the lead, with support from the Fiscal Director</td>
<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>Data Collection</td>
<td>WX programs collects data using the MO WAP</td>
<td>WX Director is the lead and Who enters day into the MO WAP (Matt or Bill??) Who completes the data reporting (what does that look like?)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ROMA Cycle</td>
<td>Documentation includes</td>
<td>Who is Responsible?</td>
<td>Organizational Standards Head Start Performance Standard</td>
<td>Wkly</td>
<td>Mthly</td>
<td>Qrtly</td>
<td>Yrly</td>
<td>3 yrs.</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>How does this program get reported on ???LIHEAP collects data using the State's LIHEAP software system</td>
<td>Unclear</td>
<td>WX Director and ROMA Implementer/Trainer</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public Utility Funds - What do we report versus what we should be reporting. Will need help with this??</td>
<td>Unclear</td>
<td>WX Director and ROMA staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation of WAP?? plans outcomes and objectives. Ask the WX Director what does this look like??</td>
<td>Unclear</td>
<td>WX Director and ROMA staff</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation of LIHEAP ?</td>
<td>Unclear</td>
<td>WX Director and ROMA staff</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation of Public Service Commission and Liberty Utilities &quot;good people&quot;</td>
<td>Unclear</td>
<td>WX Director and ROMA staff</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Weatherization Staff Development, equipment and facility needs</td>
<td>Unclear</td>
<td>WX Director and ROMA staff</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Presenting Analysis and Evaluations to Board Agency grade card</td>
<td>WX Director and ROMA staff</td>
<td>OS 4.4, 5.9, 6.5, 9.3</td>
<td></td>
<td>X</td>
<td></td>
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</tr>
</tbody>
</table>
Head Start & Early Head Start

Results-Oriented Management and Accountability (ROMA) Cycle

Evaluation
Program Governance, Annual Self-Assessment & Oversight 3-D group evaluating data collected monthly, make course corrections regularly

Community Needs Assessment
Conducted every 5 years or an update, annually

Strategic Planning
Establish long-term goals and measurable objectives. Annually, review goals & objectives. Create an Action Plan & Budget that reflect Goals

Data Collection
Analyze Progress & Compliance, Child Plus, TS Gold, Parent Surveys, Program collected data, ongoing monitoring

Implementation
Action Plan, Strategies and Services are Implemented

Key
= Agency-wide ROMA
= Program Level ROMA
Conducting Community Needs Assessments and Strategic Planning

A new look at these activities
Community Needs Assessment:
Moving Beyond a Community Profile
First Steps

- Committee
  - Executive Director
  - Agency staff
  - Community Partners
  - Agency customers
Begin with the end in mind!

We want to ultimately know what the top needs are for families, for the community and for the agency.

The questions we ask will determine the answers that we get.

Remember, the assessment is not so much about gathering a ton of data, but more about being able to turn that data into information.

Too much data is not necessarily a good thing!

If the data doesn’t tell us “Whose Need Is It?” then it doesn’t tell us what we need to know!
Who, What, When, Where, Why, How?

- What is the community being assessed?
- What do we want to know? What categories do we want to assess (i.e., Domains of CSBG Act)?
- Why do we want to know it?
- What do we have? (i.e., do surveys exist or do they need to be revised?)
- What do we need? (i.e., new survey tools? Recent agency report data? addresses to mail surveys?)
- Who will we ask?
- What will we ask?
- How will we ask it?
- Where will we get it (i.e., what is the source)?
- Who will get it?
- When will we get it by?
Lessons Learned

**Strengths**

- Whole agency approach
- Qualitative and quantitative data, customer satisfaction data, agency report data and community resources are included
- Emphasis on collecting data to tell us ‘whose need it is.’

**Challenges**

- Regular attendance at standing meetings.
- Which data set is the right data set?
- Limitations of survey responses
Strategic Planning
Asking the Departments/Programs:

<table>
<thead>
<tr>
<th>Budget for FY 19/20</th>
<th>Expenditures for 19/20</th>
<th>Budget for 20/21</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**What is the Need my program addresses:**

**Whose need is it? Per Org. Standard 6.3, Indicate whether it is a:**
- [ ] Family
- [ ] Community
- [ ] Agency

**What do we want our outcome to be?**

**We can report outcomes related to this need in which CSBG Domain (check one):**
- [ ] Employment
- [ ] Education
- [ ] Income Management
- [ ] Housing
- [ ] Emergency Services
- [ ] Nutrition
- [ ] Linkages
- [ ] Self-Sufficiency
- [ ] Health
- [ ] Other: [ ]

**What services do we provide to help achieve this outcome?**

**Who do we partner with in the community to help meet this need?**
Both Program Specific and Agency Wide Views

When looking at each program, ask these questions:
• Does it meet a clearly identified need?
• Does it produce results?
• Can we justify the resources we expend?
• Is it essential to our agency and mission?
• Is it sustainable?
• Is there someone else in the community that can offer this service

Then ask these questions about the overall agency involvement:
• Are we meeting our mission?
• Are we meeting the needs of the community that we serve?
• What choices need to be made?
  – Are there any decisions that are non-negotiable?
• Are we financially secure?
  – Short term? Long range?
• Do we have systems and organizational capacity to meet the needs of our community?
  – (Human potential, leadership, communications, tech, space, funding)
Considering Program Elements

Using Logic Models
A Logic Model is

• A “graphic” depiction

• A “snapshot” of what is supposed to happen and why we expect it will happen

It demonstrates linkages and relationships among the various elements of a program.
Many kinds of Logic Models

Figure 1. Elements of the Logic Model.

- **SITUATION**
  - What we invest!
    - time, money, partners, equipment, facilities

- **INPUTS**
  - What we invest!
  - Workshops, publications, field days, equipment demonstrations

- **OUTCOMES**
  - Who we reach!
    - customers, participants

- **OUTCOMES**
  - What we do!
    - knowledge, skills, attitude, motivation, awareness

- **OUTCOMES**
  - Change in:
    - behaviors, practices, policies, procedures

- **OUTCOMES**
  - Change in situation:
    - environment, social conditions, economic conditions, political conditions

- **OUTCOMES**
  - Continuous measurements
    - Knowledge change, behavior change

- **OUTCOMES**
  - Changes in program delivery
    - Know the audience, IPM adoption rate
      - Who is not benefiting? Barriers to IPM adoption

- **OUTCOMES**
  - Long-term outcomes (program impacts)
    - Describe in terms of social, economic and/or environmental changes

- **Implementation**
  - Before Best Start
    - Needs assessment
      - What does the community need?
  - Design and implement Best Start Plan
    - Logic Model/Work Plan
  - Evaluability assessment
    - Is the plan clear? Is the plan plausible?
  - Formative Evaluation
    - Did we follow the plan in implementing?
    - Are stakeholders interested in evaluation?
    - Modify Best Start activities based on evaluation findings
  - Outcome Evaluation
    - Is Best Start achieving its desired outcomes?
    - Reconsider, redesign, expand or end program

- **Process**
  - Life of Best Start
    - Best Start in existence for some time

- **Outcome**
  - Life cycle of Best Start
## Logic Model – With Short, Intermediate, Long Term Dimensions

*National ROMA Peer-To-Peer Training Program*

<table>
<thead>
<tr>
<th>Organization:</th>
<th>Program:</th>
<th><strong>Family Level</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Identified Problem, Need, Situation</td>
<td>Service or Activity (Output)</td>
<td>Outcome</td>
</tr>
<tr>
<td>Identify the timeframe. Identify the # of clients served or the # of units offered.</td>
<td>(General statement of results expected)</td>
<td>Outcome Indicator</td>
</tr>
<tr>
<td>(1) Planning</td>
<td>(2) Intervention</td>
<td>(3) Benefit</td>
</tr>
<tr>
<td>Short Term</td>
<td>Short Term</td>
<td>Short Term</td>
</tr>
<tr>
<td>Intermediate Term</td>
<td>Intermediate Term</td>
<td>Intermediate Term</td>
</tr>
<tr>
<td>Long Term</td>
<td>Long Term</td>
<td>Long Term</td>
</tr>
</tbody>
</table>

**Mission:**

Proxy Outcome: Yes or No
Why Create a Logic Model?

• A new program
• A program that has been underperforming
• A program that is very successful and the agency must make decisions about expansion or other activities to build on the success
• When you are getting ready for agency wide strategic planning
Example from the Field

Examples of program logic models
<table>
<thead>
<tr>
<th>State the Identified problem/s need the program will address. One need per row.</th>
<th>CSBG Domains- Choose One That Applies</th>
<th>NPA Domains- Choose One That Applied</th>
<th>CSBG National Performance Indicator Category</th>
<th>Partners to Support Family In Achieving</th>
<th>Service, Target Number to Receive Service and Time Frame</th>
<th>Identify the Anticipated Outcomes</th>
<th>Projected Outcome Indicator and Success Rate, Corresponding FNPI</th>
<th>Measurement Tool</th>
<th>Data Collection</th>
<th>Frequency of Data Collection</th>
<th>Frequency of Reporting</th>
<th>Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>individuals living in Clark County NV need employment</td>
<td>Employment</td>
<td>Employment</td>
<td>FNPI 1</td>
<td>XYZ Agency</td>
<td>15 clients will receive a range of services from resume workshops, mock interviews, clothing support, child care and/or transportation vouchers depending upon need during FY 19</td>
<td>Individuals living in Clark County NV obtain employment</td>
<td>10 out of 15 individuals, or 66% of unemployed adults will obtain employment (up to a living wage) during FY 19 (FNPI 1b); 5 out of 15, or 33% will obtain and maintain employment for at least 90 days (up to a living wage) during FY 19 (FNPI 1c)</td>
<td>Service: Resume, job search log; Outcome: check stub, letter from employer;</td>
<td>What CM; process CM collects data during office visits with customers; or via email request from employer; location: CM scans copies of output and outcome data and retains copy in client file in central database;</td>
<td>CM collects service data at time of visit, outcome data at time of job offer and every 90 days thereafter;</td>
<td>reports on services and outcomes quarterly (March 2019, June 2019, September 2019, and December 2019 and at program year end December 2013;</td>
<td>What CM, Supervisor and PA; When: during monthly staff meetings; What CM, Supervisor and PM evaluate benchmarks, compare targets to actual outcomes, discuss barriers to achievement, progress</td>
</tr>
</tbody>
</table>
# Logic Model from WV

## CASEWV - 2018 Family Day Care Food Program

**ROMA Next Gen Logic Model**  
**Agency: Community Action of South Eastern WV**

<table>
<thead>
<tr>
<th>Program: CASEWV - Family Day Care Food Program</th>
<th>Date Range: 01/01/2019 - 12/31/2019</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Type:</strong> Individual/Family Level Initiative</td>
<td></td>
</tr>
<tr>
<td><strong>Domain:</strong> Health and Social/Behavioral Development</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
<th>Column 3</th>
<th>Column 4</th>
<th>Column 5</th>
<th>Column 6</th>
<th>Column 7</th>
<th>Column 8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identified Problem, Need, Situation</td>
<td>Individual/Family Services or Community Strategies</td>
<td>Actual Services or Actual Strategies</td>
<td>Outcome</td>
<td>Outcome/Indicator</td>
<td>Actual Outcomes</td>
<td>Implementation</td>
<td>Evaluation</td>
</tr>
<tr>
<td>Family day care centers need assistance in providing meals to children</td>
<td>Identified the intended # of clients to be served or the # of units to be offered</td>
<td>Identify the actual # of clients served or the # of units offered</td>
<td>Projected # and % of clients who will achieve each outcome or Projected # and % of units expected to be achieved</td>
<td>Actual # and % of clients who achieve each outcome or Actual # and % of units achieved</td>
<td>Who's responsible, Frequency, etc.</td>
<td>Who's responsible, Frequency, Method, Data Source, etc.</td>
<td></td>
</tr>
<tr>
<td>86 individuals will participate in SRV 5th Skills Classes (Gardening, Cooking, Nutrition)</td>
<td>67 of 67 or 100% of individuals participated in SRV 5th Skills Classes (Gardening, Cooking, Nutrition)</td>
<td>Individuals report improved financial well-being.</td>
<td>82 of 86 or 95% of FNPI 3h The number of individuals engaged with the Community Action Agency who report improved financial well-being.</td>
<td>0 of 0 or NaN% of FNPI 3h The number of individuals engaged with the Community Action Agency who report improved financial well-being.</td>
<td>Nutritional instruction provided by program staff</td>
<td>Home visits conducted by program staff</td>
<td></td>
</tr>
<tr>
<td>86 individuals will receive SRV 3rd Incentives (e.g. gift card for food preparation, rewards for participation, etc.)</td>
<td>113 of 125 or 90% of individuals received SRV 3rd Incentives (e.g. gift card for food preparation, rewards for participation, etc.)</td>
<td>Individuals demonstrated increased nutrition skills</td>
<td>82 of 86 or 95% of FNPI 5a The number of individuals who demonstrated increased nutrition skills (e.g. cooking, shopping, and growing food).</td>
<td>0 of 0 or NaN% of FNPI 5a The number of individuals who demonstrated increased nutrition skills (e.g. cooking, shopping, and growing food).</td>
<td>Reimbursements processed by program staff</td>
<td>Outcome data entered into FACS Pro</td>
<td></td>
</tr>
<tr>
<td>50 individuals will receive SRV 7th Referrals</td>
<td>0 of 0 or NaN% of individuals received SRV 7th Referrals</td>
<td>0 of 0 or NaN% of individuals received SRV 7th Referrals</td>
<td>0 of 0 or NaN% of individuals received SRV 7th Referrals</td>
<td>0 of 0 or NaN% of individuals received SRV 7th Referrals</td>
<td>Client files maintained by program staff</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Applying this concept to the whole agency

Creating Local Theory of Change
A Theory of Change (TOC) is a framework which addresses a complex system, identifying expectations, assumptions and activities that support the outcomes to be accomplished.

- It is usually a graphic presentation
  - It is similar to a mission statement in that it says the agency’s purpose
  - It is similar to a logic model, but it incorporates the whole system (or agency).
What Questions Does it Answer?

1. Who are you seeking to influence or benefit?
2. What are you seeking to achieve?
   - Are these really the only outcomes required to reach the long term goal?
   - Are there conditions outside our control that will impact our ability to produce these outcomes?
3. How will you and others make this happen?
   - Where and under what circumstances will this get done?
4. Why do you believe your theory will work?
   - Do you have the resources needed to implement?
Why We Need TOC

- Make a complicated system easier to understand
  - to share with stakeholders.
  - Guide discussions about the way Community Action responds to issues of poverty
- Unify the agency – know what we have in common.
- Articulate core principles and assumptions.
- Identify overarching goals for the agency
• Think about how “we have always done” the work of the agency
  • What is real, what is true, what is good, what has been done?

• Think about the outcomes (changes) that you have achieved in the past.
• Think about WHAT ELSE your agency could achieve if you were not focused on the provision of services (but rather on change).

The ideas that are generated by this kind of thinking will influence your creation of your local Theory of Change.
Different Approaches for Different Results

Basic Services

Advocacy

Jobs

Education & Training

Health Care Prevention/Treatment

Improved Living Conditions

Self Sufficiency

Improved Quality Of Life

Asset Accumulation

More Basic Services

Basic Services

OR
Local TOC is About the Whole Agency

The “Whole Agency” Approach Eliminates Silos
A Grants Management Business Model

Head Start

Outcome

Indicators

Community Services

Outcome

Indicators

Housing

Outcome

Indicators

Weatherization

Outcome

Indicators
A Results-Oriented Community Action Integration Model

Family Problems → Agency Strategic Commitments → Outcome → Indicators → Strategies → Program

Community Problems → Agency Strategic Commitments → Outcome → Indicators → Strategies → Program

Agency Problems → Agency Strategic Commitments → Outcome → Indicators → Strategies → Program

Jeannie Chaffin, LLC
Local TOC Includes the Community

Acknowledgment of the real need to do community level work
Example from the Field

Economic Security Corporation
Easy Strategic Planning

Strategic Plan and Theory of Change
Field report

• Creating a local TOC as part of the planning process provides focus for prioritization of needs.
• Guides the decision making about what the agency will do and will expect to achieve
• Will be a “yardstick” when you come to analyze your data.
Economic Security Corporation Local Theory of Change

Assumptions
- Everyone can get help
- ESC has comprehensive services to provide
- People don’t have hope and ESC can instill hope
- ESC can eliminate the conditions of poverty in SW Missouri
- Neighbors are struggling
- ESC has opportunity to share to help neighbors achieve self-sufficiency

Services/Strategies
- Head Start
- Step Up to Leadership Classes
- Asset Development
- Rental Assistance
- Housing Assistance
- Chance
- Case Management
- Soar
- Utility Assistance
- Agency Capacity Building
- Resource Development
- Communication Strategy
- Weatherization
- Home Repair
- Housing Development
- Transportation
- Job Creation

Outcomes
- Family
  - Increased engagement child development
  - Increased engagement in community
  - Sufficient income to support needs
  - Insured and equipped with medical payment options
- Agency
  - Increased knowledge of agency programs internally and externally
  - Higher Employee Wages
  - Increased flexible funding
  - Established communication strategy
- Community
  - Increased reliable transportation options
  - Increased affordable/quality childcare options
  - More living wage employment opportunities
  - Additional safe, healthy, affordable, energy-efficient housing units

Broad Agency Goals
- Children are ready for school
- Families are ready to engage
- The agency is ready to support
- The community is ready to invest

Basic Needs | Housing | Education | Health | Food Security | Economic Stability | Thriving Community | Thriving Agency

Vision: A thriving community of neighbors that is free from poverty.

Mission: To provide comprehensive services that instill hope and share opportunities to eliminate the conditions of poverty and help neighbors achieve self-sufficiency.
Economic Security Corporation Local Theory of Change

BROAD AGENCY GOALS:
- Children are ready for school
- Families are ready to engage
- The agency is ready to support
- The community is ready to invest

OUTCOMES:
- FAMILY
  - Increased engagement child development
  - Increased engagement in community
  - Sufficient income to support needs
  - Insured and equipped with medical payment options
- AGENCY
  - Increased knowledge of agency programs internally and externally
  - Higher employee wages
  - Increased flexible funding
  - Established communication strategy
- COMMUNITY
  - Increased reliable transportation options
  - Increased affordable/quality childcare options
  - More living wage employment opportunities
  - Additional safe, healthy, affordable, energy-efficient housing units

SERVICES/STRATEGIES:
- Early Head Start
- Head Start
- Asset Development
- Rental Assistance
- Housing Assistance
- Employment Assistance
- Case Management
- Utility Assistance
- Agency Capacity Building
- Resource Development
- Communication Strategy
- Poverty Simulations
- Weatherization
- Home Repair
- Housing Development
- Job Creation
- Leadership
- Training

COMMUNITY ACTION CORE PRINCIPLES

PERFORMANCE MANAGEMENT

VISION: A thriving community of neighbors that is free from poverty

MISSION: To provide comprehensive services that instill hope and share opportunities to eliminate the conditions of poverty and help neighbors achieve self-sufficiency
Wayne Metro Theory of Change

https://www.waynemetro.org/strategicplan3-0/
Analysis and Use of Data

Monitoring your progress and your success
Using ROMA to Track Performance

How often?
- Monthly reporting of activities and outcomes
- Quarterly summary, including financial data
- Six month review of progress
- Annual report for funding source
- Agency wide annual report

Who is involved?
- Program staff and supervisors
- Management Team
- Team of direct service staff from across the agency
- Fiscal Department
- Executive Staff
- Board
## ROMA Tool: Elements of a Scorecard

| Strategic Priority: |
|-------------------|-----------------|-----|-----------------|--------------------|
| Outcome           | Indicator       | Strategy | Measurement of Success | Year to Date | Progress R/Y/G |
|                   |                 | 1       |                             |                |                |
|                   |                 | 2       |                             |                |                |
|                   |                 | 3       |                             |                |                |
|                   |                 | 1       |                             |                |                |
|                   |                 | 2       |                             |                |                |
|                   |                 | 1       |                             |                |                |
Balanced Scorecard Toolkit

Mayberry Community Action Agency (MCAA)

Mission: Helping people, changing lives by offering opportunities through Education, Wealth Building, Advocacy & Community Organizing that empower low income residents to achieve self-sufficiency.

Vision: A thriving, self-sufficient Mayberry, powered by a community alliance delivering cost-effective, high impact services to citizens in need.

Strategic Themes: Operational Excellence, Strengthening Partnerships, High Impact Services, Capacity Building

<table>
<thead>
<tr>
<th>Strategic Themes</th>
<th>Objectives</th>
<th>Indicators</th>
<th>Targets</th>
<th>Initiatives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operational Excellence</td>
<td>Improve Client Outcomes</td>
<td>Client outcome index, including indicators of training, employment, and income (RNOS A01 A1)</td>
<td>&gt;95% (2021 level=84%)</td>
<td>Revised job training program, Advocacy Program</td>
</tr>
<tr>
<td>Strengthening Partnerships</td>
<td>Improve Family Outcomes</td>
<td>Unrestricted funds, % (RNOS A01 A5)</td>
<td>&gt;20%</td>
<td>Funder Cultivation</td>
</tr>
<tr>
<td>High Impact Services</td>
<td>Improve Advocacy</td>
<td>Program Benefits/Cost Index (RNOS A01 A4 A5)</td>
<td>&gt;20%</td>
<td>Online Access Program, Strategic Plan and Scorecard Graph, Fowler Cultivation</td>
</tr>
<tr>
<td>Capacity Building</td>
<td>Improve Cost Effectiveness</td>
<td>Client Access Score, Family Development Scale (RNOS A01 A7)</td>
<td>&gt;85% (prior year increased)</td>
<td>Career Development, Balanced Scorecard Initiative, SmartCIP Program</td>
</tr>
<tr>
<td></td>
<td>Improve Program Development</td>
<td>Community Steering Team (RNOS A01 A7)</td>
<td>90%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Improve Service Quality</td>
<td>Employee skills assessment score</td>
<td>8 out of 10</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Improve Partnering</td>
<td>Culture survey score</td>
<td>65th percentile, reduce 15% from last year</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Improve Program Development</td>
<td>Paper usage (RNOS A01 A7)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 16: Strategic Plan and Scorecard Graphic

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This publication was created by the National Association of Community Action Agencies – Community Action Partnership, in the performance of the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Community Services Grant Number 90ET0428. Any findings, and conclusions, or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Health and Human Services, Administration for Children and Families. The publication is provided free of charge to CSBG grantees and is part of the National T/TA Strategy for Promoting Exemplary Practices and Risk Mitigation for the CSBG program. To download the report, please visit www.communityactionpartnership.com.
**ESC Score Card**

Economic Security Corporation’s Community Action Impact Report  
October 1, 2018 through March 31, 2019

2nd Quarter Target = 50%; 40% and up is on track, if under 40%, over 120%, need an explanation

### INFRASTRUCTURE AND ASSET BUILDING

<table>
<thead>
<tr>
<th>NPI</th>
<th>GOAL</th>
<th>TARGET</th>
<th>ACHIEVED</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>SP</td>
<td>CNPI 3a6 Number of new accessible assets/resources created in the</td>
<td>2</td>
<td>C</td>
<td></td>
</tr>
<tr>
<td>CNPI 3b6</td>
<td>identified community. Other Public Assets/Physical</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Improvements by 2021. (Early Head Start - Childcare</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Partnership repurposed community buildings)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Progress: federal application was made before 12.31.2018. We were</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>notified in March 2019 that we were not selected.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>1</td>
<td>C</td>
<td></td>
</tr>
</tbody>
</table>

### CIVIC ENGAGEMENT & COMMUNITY INVOLVEMENT

<table>
<thead>
<tr>
<th>NPI</th>
<th>GOAL</th>
<th>TARGET</th>
<th>ACHIEVED</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>FNPI 6a1a</td>
<td>The number of Community Action Program participants who improved</td>
<td>9</td>
<td>11</td>
<td>122%</td>
</tr>
<tr>
<td></td>
<td>their leadership skills. (all low-income ESC, Head Start</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Policy Council, Jasper County Public Housing Agency</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Resident Advisory Board members)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Progress: we had not included the Head Start Policy Council members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FNPI 6a1b</td>
<td>in the target. we will get them added to the target next year.</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FNPI 6a2</td>
<td>The number of Community Action Program participants who improved</td>
<td>9</td>
<td>11</td>
<td>122%</td>
</tr>
<tr>
<td></td>
<td>their social networks. (all low-income ESC, Head Start</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Policy council, Jasper County Public Housing Agency</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Resident Advisory Board members)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Progress: we had not included the Head Start Policy Council members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>in the target. we will get them added to the target next year.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

SP=Strategic Plan Updated item, Green= within 20% of the target, Yellow=within 30% of the target, Red=less than 31% of the target
Implementing Performance Management System

Daniel Ofori-Addo, Director of Performance Management
Operationalizing Performance Management

• Modification of Existing Performance Measurement Reporting

• COO Reports Renamed: Performance Measurement Reports
  – Enhancements Included:
    • Tracking Human Resource Allocation, Availability and Use
    • Tracking Budget to Actual Spending Relative to Program Performance
    • Tracking Resource Leveraging
    • Tracking of Performance on Tactical Plans

• Necessity for A Robust Agency-Wide Scorecard
  – Need to Aggregate Programmatic, Administrative and Operational Performance
  – Need to Aggregate Performance on Tactical Plans and Strategic Plan
  – Results of Pathways Self-Study Pointed to the Need for a Scorecard.
Operationalizing Performance Management

- Creation of an *Office of Performance Management* by UPO’s Executive Team by re-organizing existing reporting, evaluation and monitoring functions.
  - Guiding Principle:
    - To optimize UPO’s effectiveness, efficiency and impact by serving as a catalyst for continuous improvement
  - Staffing:
    - Monitoring and Evaluation Analysts & Performance Data Analyst
- Journey to Excellence: Kick off and monthly check-in meetings between Executive Director and Senior Management team,
Components of the System

- Service Delivery and Data Collection
  - Policies and Standard Operating Procedures
- Customer File Management
- Programmatic Monitoring
  - Site Visits/ Desk Audits (Quality/ Compliance/Performance)
- Administrative Monitoring
  - Site Visits/ Surveys (Quality/ Compliance/Performance)
- Monthly Reporting and Analyses
- Monthly Issue Log Reviews with Executive Staff
- Performance Management Report Presentations
- Follow-up
  - Verification of Required Corrective Actions that have been Completed
  - Customer Satisfaction Assessment
Example -- Service Delivery and Data Collection

• Client Intake Standard Operating Procedure
  • Client’s proof of identity;
  • Client’s proof of residency;
  • Client’s proof of income or certification of zero income;
  • Data System (CASA) Client Intake Form
  • Economic Security Assessment; and
  • CSBG Customer Child Support Information Sheet

• Data Collection Standard Operating Procedure
  • Completeness of Clients’ Files;
  • Frequency of Data entry in Data System (CASA);
  • Conditions for Late Reporting of Outcomes and Services
Example -- Monthly Reporting and Analyses by Programs

• Frontline Staff
  • Required to Ensure All Outcomes and Services Are Recorded in the Data System

• Program Managers
  • Required to
    – Spot Check Data Entry
    – Analyze Trends
    – Extract and Transcribe Key Performance Data to Performance Measurement Reports
    – Review Staff Sufficiency
    – Review Financial Spending Relative to Budget
    – Review Programmatic or Administrative Key Performance Indicators
    – Review Dollars Leveraged
    – Update and Review Progress on Strategic Plan
## UPO’s Agency-Wide Score Card:

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Progress</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Organizational Standards</strong></td>
<td></td>
</tr>
<tr>
<td>- Percentage Organizational Standards Met or Not Met</td>
<td></td>
</tr>
<tr>
<td><strong>Agency Strategic Plan Progress</strong></td>
<td></td>
</tr>
<tr>
<td>- Percentage of Tactical Steps Completed</td>
<td></td>
</tr>
<tr>
<td><strong>Financial Strength</strong></td>
<td></td>
</tr>
<tr>
<td>- Percentage of Financial Oversight Review by Board of Directors and Managers Completed</td>
<td></td>
</tr>
<tr>
<td>- Completion of Audit</td>
<td></td>
</tr>
<tr>
<td>- Filing of 990</td>
<td></td>
</tr>
<tr>
<td><strong>Customer / Staff Input</strong></td>
<td></td>
</tr>
<tr>
<td>- Percentage of Scheduled Surveys Completed &amp; Analyzed (Customers; Staff; Funders; Board Members; Volunteers)</td>
<td></td>
</tr>
</tbody>
</table>
# UPO’s Agency-Wide Score Card:

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Progress</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Capacity Building / Maintenance</strong></td>
<td></td>
</tr>
<tr>
<td>- Percentage of Scheduled Quarterly ROMA Training Facilitated</td>
<td></td>
</tr>
<tr>
<td>- Percentage of Scheduled Board Meetings and Board Committee Meetings Conducted</td>
<td></td>
</tr>
<tr>
<td>- Percentage of Scheduled Performance Review Meetings Conducted at Management Level</td>
<td></td>
</tr>
<tr>
<td>- Percentage of Scheduled Performance Review Meetings Conducted at Board Level</td>
<td></td>
</tr>
<tr>
<td>- Percentage of Scheduled Central Client Data Tracking and Case Management Training Facilitated</td>
<td></td>
</tr>
<tr>
<td><strong>Program and Administrative Monitoring</strong></td>
<td></td>
</tr>
<tr>
<td>- Percentage of Scheduled Quarterly Programmatic Monitoring Reviews Conducted</td>
<td></td>
</tr>
<tr>
<td>- Percentage of Scheduled Semi-Annual Administrative Office Reviews Conducted</td>
<td></td>
</tr>
<tr>
<td><strong>ROMA / Programmatic Outcomes / Customer Self-Sufficiency</strong></td>
<td></td>
</tr>
<tr>
<td>- Actual Performance as a Percentage of Projected Performance Levels</td>
<td></td>
</tr>
<tr>
<td>- Emphasis is on the impact that services have on customer progress to self-sufficiency.</td>
<td></td>
</tr>
</tbody>
</table>
Summary

What can you do?
What this means ..... 

• Being informed and involved with community needs assessments
  – Sharing what YOU see and know
  – Keeping top needs in mind when working with clients
• Goal planning strategically to address both community and client needs
• Offering bundles of services (when appropriate), collaborating with community partners, and reporting on the results
• Utilizing data systems effectively
• Providing evaluative feedback to help improve service delivery, results, and agency operations
• Clearly identify the need that is being addressed and the outcomes expected.
  – Identify the connections with services.
• Develop formats for aggregation and analysis prior to data collection efforts.
• Identify if different funders can “accept” the same data elements for their reporting requirements.
• Develop a data “map” like a flow chart that shows the flow of information across the organization.
  – This can help determine if a given software application (database) will do what you want it to do.
NV Service Delivery Model

Diagram showing the service delivery model with steps such as:
- Start Here: Initial Contact (Walk-in, phone call, appointment)
- Type of Contact
- Intake (A)
- Ineligible: Exit
- Eligible for Service: NV Intake Assessment (B)
- Type of Client (C)
- Case Management (E)
- Direct Service (D)
- Direct and Referral Services Provided
- On-going Reassessment and Follow-up
- Type of Client Can Change
- Immediate Reassessment and Follow-up
- Completes Goal Plan: Achieves Outcomes: Case Closed
- Does Not Complete Goal Plan: Case Closed
Recognize how ROMA is integrated in what you are already doing!
Do a ROMA Audit!

- What are you already doing?
  - Meeting org standards
  - Have a comprehensive Community Assessment? Agency wide Strategic Plan
  - Implementing high quality direct services and engaged in community strategies
  - Reporting on the CSBG Annual Report using National Performance Indicators
  - Integrating reports for other funding sources into agency wide report
  - Considering what the reports tell you about your success (and the success of your customers)
  - Creating systems for the analysis of data and use of data for improvements
QUESTIONS FROM PARTICIPANTS?
Take Action

- What did you learn that gave you ideas about how you could better implement ROMA at your agency?
- What do you think could change (improve)?
- What is one thing you will do when you get back to your office?
- What ROMA Principle or Practice will that impact?
For More Information

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Your feedback is important to the Partnership.

We invite you to complete a brief evaluation of this session so we can continue to provide timely content.

Please complete the evaluation on paper or in the Event App.