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**Quality Improvement:
The Payoff from Internal Control**

September 14, 2011

Presented by:
Owen Heiserman, Meliora Partners



Part of the Beyond The Basics webinar series



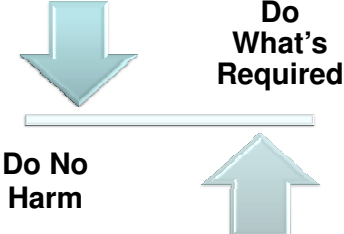
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Learning Objectives



- Key elements in quality improvement
- Turn the negative of risk management into the positive of quality improvement
- Strengthen 12 standards of excellence

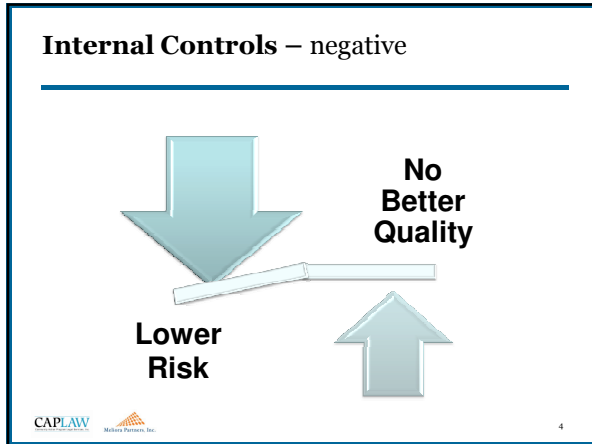
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Internal Controls - minimal

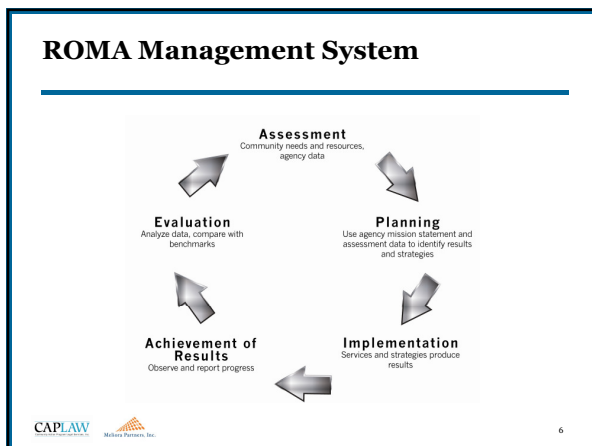


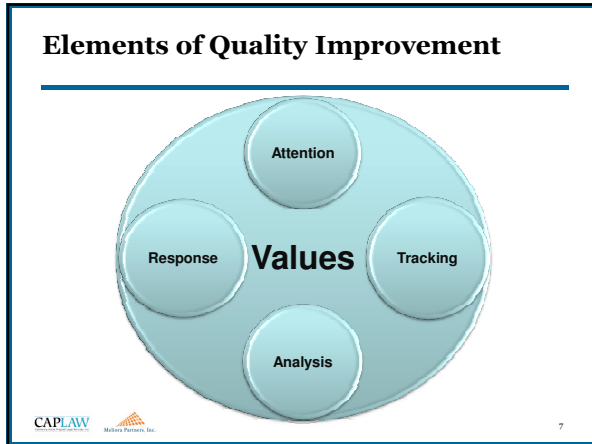
Do No Harm **Do What's Required**

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Values – driving force

Take a minute to reflect on the conversation among the leadership of your CAA about how you carry out your work.

Jot down some phrases you hear frequently when you and your colleagues talk about your work.

Poll 1: What's the Talk we Talk?

Based on the phrases you wrote down, please complete the poll Cara is going to put up:

Values set the tone – Won't get away with it

Undeserving clients; unreliable employees

Values	Control Environment
•Suspicion	•Many, specific rules, procedures
•Distrust	•"Thou shalt not's"
•Judgment	•Inflexibility
•Superiority	•Limited, narrow authority (ED, FD)
	•Little discretion

Values set the tone – Gotcha

Catch the cheaters (clients and employees)

Values	Control Environment
• Prevent fraud	•Documentation above all else
• Don't spend money	•No exceptions
• Letter of the law (rules)	•Start over
• Assume nothing	•When in doubt, don't
• I don't have to believe you/it	•Prove you are eligible

Values set the tone – Don't Bother Me


Clients are a nuisance; rules are a hassle

Values	Control Environment
- We know what people need	- Don't sweat the details
- Funders don't know how we do things here	- The auditor will straighten it out
- We take care of our families and friends	- Make it look like they're eligible
- Office hours are for staff convenience	- We have a file on that, somewhere
	- We don't do field audits

Values set the tone –
What the customer needs

Clients' convenience and understanding are most important for our success


Values	Control Environment
<ul style="list-style-type: none">- Accessible facilities- Nontraditional hours- Interpreters- Client feedback	<ul style="list-style-type: none">- Policies and procedures that facilitate client contact, assistance- Tracking, reporting, and analysis of client-focused process and goals

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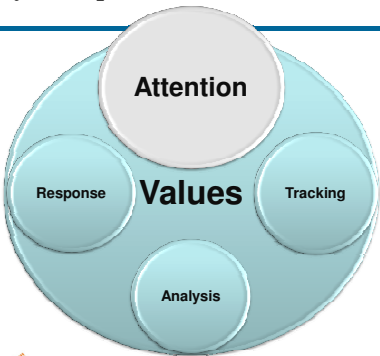
Values set the tone –
Let's work ourselves out of our job


Assistance is a tool for self-sufficiency

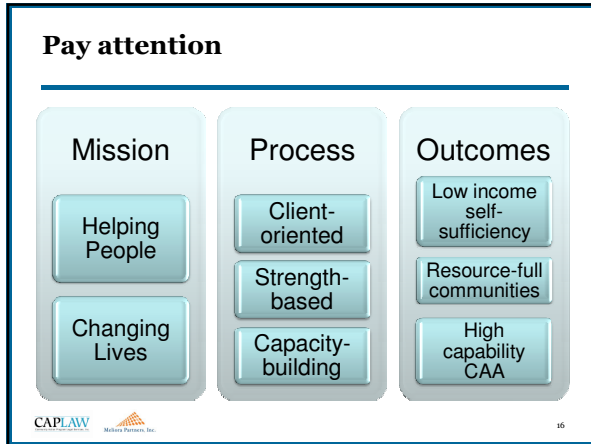
Values	Control Environment
<ul style="list-style-type: none">- Client self-sufficiency- Client autonomy- Staff are trainers not Guardians- Leverage all community resources	<ul style="list-style-type: none">- Assistance processes and outcomes well documented and transparent- Documentation tracks movement toward self-sufficiency

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Quality – Step 1



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- ### Pay Attention – Desired outcomes
- Parameters defining acceptable and desirable performance
 - Participants control more of their lives
 - Services accommodate participants' situations
 - Resources are used optimally
 - Community partnerships, resources leveraged
 - Cost-effectiveness analysis used
 - Participant barriers to success anticipated, addressed
 - Appropriately skilled staff
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Attention – process quality indicators

Program	Quality Indicator
Head Start	Children received required medical services within 45 days
Weatherization	Homes will be weatherized within 60 days of initial audit
	Fewer than 7% of completed homes will fail state field inspection
Self-Sufficiency	Case workers will spend 50% of their time in direct contact with participants
	Participants will complete at least one goal per month
Energy Assistance	Intake will be complete in one interview

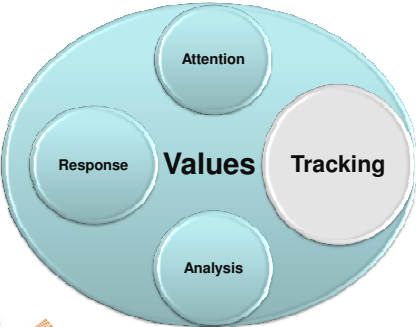
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Pay attention strategies

- Outcomes clearly defined in written plan
- Policies and procedures clearly spelled out in operational/program manuals
- Process and outcome indicators incorporated into
 - Monthly program reports
 - employee performance evaluations conducted at least quarterly
- Regular staff training

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Quality – Step 2



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Tracking

- Key process activities or milestones
- Participant status and progress toward desired outcomes
- Collect and combine all process and outcomes indicators at least monthly

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Quality – Step 3

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Analysis

- Format for data to be summarized and presented in
- Persons with responsibility for analysis
- Regular forums for discussion of data and analysis (team, management, committee and board meetings)

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Quality – Step 4

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Response

- Corrective action/program improvement process
- Corrective action plan for each issue identified
- Repeat the cycle

Quality Implementation

Results of profile questions 4, 5, 6

Quality Improvement Examples

- Weatherization
- Family self-sufficiency

Weatherization – Attention

Component	Performance Indicator	Standard
Process	"Live" prioritization	Priority list updated monthly
	Program-wide priorities	Service area a single pool
	Re-verify eligibility before audit	Applicant still occupant Not for sale Roof intact
	Work completed promptly	30 days from assignment
	Work done accurately	<5% call backs
Outcomes	Savings potential achieved	90%+ of audit projection
		Occupants change one targeted behavior

Weatherization – Tracking

Indicator	Documented/Reported	Responsible
Monthly priority list update	Printed, backed up	Logistics Coordinator
Program-wide priorities	Monthly priority list	Logistics Coordinator
Eligibility re-verification	Noted on active list	Logistics Coordinator
Work complete 60 days	Dates on active list; monthly completion report	Logistics Coordinator
<5% callbacks	Callbacks on completion report	Logistics Coordinator
Savings 90%+ of projection	Final blower door test; completion report	Final Inspector
1 targeted behavior changed	Final inspection interview	Final Inspector

Weatherization – Completion Report

Job #	ACME 10-0493	ACME 11-0008	ACME 10-0524	ACME 11-0036
Assigned to	Bud Schnell	Bud Schnell	Bud Schnell	Bud Schnell
Date	5/4/11	5/4/11	5/4/11	5/4/11
Returned	8/2/11	8/2/11	8/2/11	8/2/11
Work days	64	64	64	64
Inspection By	G Dunn	G Dunn	G Dunn	G Dunn
Date	8/17/11	8/16	8/16	8/16
Go Back notice		8/19		
Returned		8/29		
Inspection by		GD		
Date		9/1		
Passed	8/19	9/1	8/19	8/19

Questions?

- Too burdensome?
- How to integrate into existing tracking, reporting systems?

Reimbursement claims – Attention to

	Performance Indicator	Standard
Process	Accurate preparation	Claim not questioned, returned by CFO
	Timely preparation	8 th working day of month
	Timely submission to grantor	10 working days before payment processing by grantor
Outcomes	Unquestioned approval	Claim not questioned, returned
	Timely reimbursement	First payment processing after monthly closeout

Reimbursement claims – Tracking

Sample

Reimbursement Claims Tracker											
Program/Funder/Contract#	FEMA							Responsible	Christine		
Funder processes claims until 7 working days prior to check issuing dates of:							2nd Tues	4th Tues			
Our deadline to file claims no later than five working days before claims processing deadline:								4th Monday			
Closed	Target	Draft2CFO	Days	Fix	Send	Fix2CFO	Send	Days	Submitted	Time Trgt ±	
9/9/11	9/18/11	9/14/11	4	x		9/20/11	9/23/11	8	9/27/11	13 7	
10/6/11	10/24/11	10/11/11	4		x		10/13/11	3	10/15/11	7 -6	

Family S-S – Attention to

	Performance Indicator	Standard
Process	Caseworker contact time	50% of time
	Participant goal achievement	monthly
	% contact time on goals	>50%
	% contact time problem-solving	<50%
Outcomes	Education or training	Up to 10%
	Employment hours	15-20 hours/week

Family S-S – Tracking

Indicator	Documented/Reported	Responsible
50% contact time	Contact notes; timesheet	caseworkers
Monthly participant goals	Contact notes; monthly summary	caseworkers
% contact time on goals	Contact notes; monthly summary	Caseworkers; FSS Manager
% contact time problem-solving	Contact notes; monthly summary	Caseworkers; FSS Manager
Education/training time	Participant activity report	Caseworkers; FSS Manager
Employment hours	Participant activity report	Caseworkers; FSS Manager

Family S-S – Contact Log

Contact	Date	Time In	Time out	Hrs	Description
A - 123	8/5	9:30	10:05	.5	Goal review; plan
A - 135	8/5	2:30	4:00	1.5	Initial interview' schedule
A - 129	8/8	8:30	11:30	3	Review self assessment
A -137	8/8	1:00	2:15	1.25	Initial interview; schedule
A -105	8/12	10:15	11:45	1.5	Review school application
Office	8/11	8:30	4:30	8	Update files, case notes, schedule

Family S-S – Goal Achievement Record

Case File: A-123

Name: C. Jordan

Date	Activity	Assessment	Next Steps
2/16/11	Review fam assessment	Child care #1 priority	C - Contact Workforce Devt about cc subsidy
3/2/11	Review cc conditions	Qualifies	Complete, submit application
3/16/11	GED schedule Summer classes	GED test in May	Register for GED refresher Summer class list, application
3/30/11	GED test set Have \$ aid application	Steady progress	Complete aid application Start GED refresher
4/13/11	Didn't start GED	CC grant not approved	C will recontact WFD for explanation



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Family S-S – Analysis

Activity	Participants	Frequency
Caseworker contact time	Caseworker, supervisor	Monthly
Participant goal achievement	Caseworkers, supervisor	Semi-monthly
% contact time on goals	Supervisors, FSS Manager	Monthly
% contact time problem-solving		
Education or training	Same as above	
Employment hours		



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Family S-S – Corrective Action

Date Created 8/1/11 Contract CSBG-FSS Assigned to Amy Walker Completed _____

Quality Issue(s) to be Dealt With: Description

Trina Sheldon has committed to completing her GED 3 times in the past 7 months, but has failed to carry through each time. Have we failed to identify and deal with some underlying issue? Does Trina lack a real desire to move forward?

Identified By Hazel Bishop, Adams Co. FSS Coordinator How Analysis of Amy's case notes

Action Steps	Deadline	Done	Evidence
Review each instance when Trina backed out	8/17	8/16	Memo to file (MTF). Trina admits she was afraid she couldn't pass the GED test, but wasn't able to say so.
Identify barriers to entering, completing GED	8/31	9/1	MTF. Trina agrees to meet with GED instructor and students accompanied by her friend Linda.





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Questions?

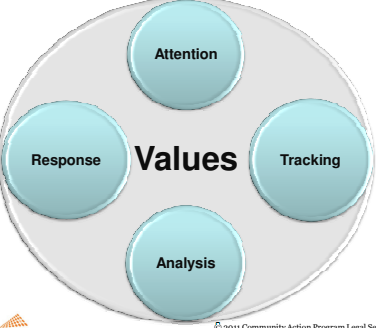
Well-oiled machine?


Spanner in the works?



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Quality Improvement Cycle




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Personalize it

What work must I accomplish this period?	By When?	Partners, Collaborators, Resources
50% of my time with clients	ongoing	
Each client defines and achieves at least one goal	monthly	
>50% of my time with clients will be spent on goals	ongoing	
<50% of my time with clients will be spent on problem-solving	ongoing	
Clients will spend up to 10% of their time on education or training	ongoing	
Clients will spend 15 to 20 hours/week working	ongoing	

What program improvement must I accomplish this period?	By When?	Partners, Collaborators, Resources
Resolve Trina Sheldon's failure to enter, complete GED review	9/16	Bobby Jones, GED Coord., PASSGO
Complete my case notes and database entries timely	weekly	Shelley Parks, IT Assistant, ACME

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Standards of Excellence Addressed

Activity	Quality Improvement Webinar	Date	September 14, 2011
1. Organizational Leadership		5. Human Resources	
1.1 Leadership Focus		5.1 Policies, Procedures, and Personnel Systems	
1.2 Mission Statement, Code of Ethics, Community Action Promise		5.2 Employee Performance Management	
1.3 Board Structure and Function		5.3 Employee Engagement/Participation/Well-Being	
1.4 Advisory Group Roles/Actions		5.4 Staff Development and Learning System	
1.5 Community Advocacy		5.5 Low Income on Staff	
1.6 Low Income Involvement		6. Organizational Process Management	
2. Strategic Planning and Direction		6.1 Financial Systems	
2.1 Strategic Plan and Deployment		6.2 Infrastructure Support	
2.2 Plan Development/Updates		6.3 Purchasing/Procurement	
2.3 Mobilizing New Resources/New Programs, New Partnerships		6.4 Communications/Public Relations	
2.4 Strategic Measures of Success		6.5 Intake, Eligibility, Assessment Case Management, and Follow-up	
3. Customer, Constituent, and Partner Focus		6.6 Project Management	
3.1 Customer/Constituent/Community Knowledge		7. Organizational Results	
3.2 Customer/Constituent Feedback System		7.1 Agency Outcomes and Program/Service Delivery Results	
3.3 Internal Improvement		7.2 Customer-Focused Results	
3.4 Partnership System		7.3 Human Resource Results	
4. Measurement, Analysis, & Performance Management		7.4 Partnership/Stakeholder/Advocacy	
4.1 Information System Technology		7.5 Financial Accountability and Health	
4.2 Information and Knowledge Management		7.6 Definitive or Noteworthy Community Recognition an Innovation	
4.3 Performance Management and Improvement Systems			

Resources

- Research papers on many dimensions of quality improvement <http://www.freequality.org/>
- Professional association resources
- <http://asq.org/learn-about-quality/seven-basic-quality-tools/overview/overview.html>
- The Program Manager's Guide to Evaluation, Second Edition, 2010 http://www.acf.hhs.gov/programs/opre/other_resrch/pm_guide_eval_reports/pmguide/pmguide_toc.html

Resources (continued)

- <http://www.inc.com/guides/201101/five-habits-of-quality-focused-companies.html>
- Quality Review Process (Fayette County Community Action) <http://www.virtualcap.org/viewprogram.cfm?pid=164>
- ACF Benchmarking Tool (Part III – Program Monitoring) http://www.virtualcap.com/downloads/US/US_ACF_Benchmarking_Tool.pdf

Your Presenter: Owen Heiserman



Owen Heiserman began his career in community action in 1977. At Mid-Iowa Community Action, the Iowa Community Action Association, as a private consultant, and now with Meliora Partners, Inc., he has been a leader at local, state, and national levels in developing innovative programs to empower low income people and the organizations that support them. Certified as a ROMA trainer in 2002, Owen has specialized in developing policies and procedures to increase accountability in management and governance. For more than thirty years, Owen has written successful proposals funding demonstration projects in community organizing, youth employment, early childhood development, energy education, and three consecutive national training and technical assistance projects: Peer-to-Peer Crisis Aversion, the National Community Action Management Academy, and the current Training and Technical Assistance for Financial Management and Administrative Governance. As a Meliora Partners consultant, Owen has delivered training and technical assistance on board development, strategic planning, employee performance evaluation, organizational risk assessment, and personnel policies and practices. He designed two state CAA monitoring instruments and has written findings and recommendation reports on more than fifty organizational assessments.

Meliora Partners, Inc. (MPI), was formed in 2007 to concentrate on training and technical assistance to the community action network. To carry out its mission of **Partnering to Do Good Better**, MPI consultants work with boards, executives, and funders to implement strategies that build organizations' capacity to help individuals and families to gain greater control over their lives.



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Contact Information

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Reimbursement Claims Tracker

Program/Funder/Contract # FEMA

Responsible Christine

Funder processes claims until 7 working days prior to check issuing dates of:

2nd Tues

4th Tues

Our deadline to file claims no later than five working days before claims processing deadline:

4th Monday

Closed	Target	Draft2CFO	Days	Fix	Send	Fix2CFO	Send	Days	Submitted	Time	Trgt ±
9/9/11	9/18/11	9/14/11	4	x		9/20/11	9/23/11	11	9/27/11	13	7
10/6/11	10/24/11	10/11/11	4		x		10/13/11	6	10/15/11	7	-6
11/4/11	11/21/11	11/9/11	4		x		11/11/11	6	11/11/11	6	-7
11/4/11	11/21/11	11/9/11	4	F		11/21/11	11/22/11	13	11/22/11	13	2

ENTER the date the books for the prior month were closed for preparation of financial statements.	ENTER the date of the 4th Monday of the month--the target for claim filing	ENTER the date the draft reimbursement claim was sent to CFO for approval
--	---	--

CHECK as appropriate: Fix -returned by CFO or grantor for correction Send -OK to submit	ENTER the date a corrected claim was sent to CFO for approval ENTER the date the approved claim was returned by CFO for submission to grantor
---	--

ENTER the date the approved claim was submitted to grantor for reimbursement

Quality Improvement Plan

Date Created 8/1/11 **Contract** CSBG-FSS **Assigned to** Amy Walker **Completed** _____

Quality Issue(s) to be Dealt With: Description

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Identified By Hazel Bishop, Adams Co. FSS Coordinator **How** Analysis of Amy's case notes

Action Steps	Deadline	Done	Evidence
Review each instance when Trina backed out	8/17	8/16	Memo to file (MTF): Trina admits she was afraid she couldn't pass the GED test, but wasn't able to say so.
Identify barriers to entering, completing GED	8/31	9/1	MTF: Trina agrees to meet with GED instructor and students accompanied by her friend Linda

Quality Improvement Plan

Date Created 11/29/11 **Program** FEMA **Assigned to** Christine Pell **Completed** 12/7/11 CP

Quality Issue(s) to be Dealt With: Description

Reimbursement claim to FEMA was returned by FEMA, citing duplicate claims for expenses reported and claimed in October.

Identified By Michael Dorn, CFO **How** When claim was returned by FEMA

Action Steps	Deadline	Done	Evidence
Determine what expenses were duplicated	12/2/11		3 invoices from Jensen Hardware for AC units
Determine the reason for the duplication	12/2/11	12/5/11	Same three air conditioning units billed in August and September; were entered into A/P in October and paid, although delivery had not been confirmed. Received confirmation in November and the confirmation was attached to the second billing and paid.
Describe steps to be taken to prevent duplication	12/7/11	12/6/11	Memo to file, self, MD <ol style="list-style-type: none"> 1. Not enter invoiced items into A/P without documentation of receipt 2. Double check A/P for invoices received 30+ days prior to receipt documentation

Weatherization Quality Improvement Plan

Date Created 8/29/11 **Contract** DOE 2011-COR-4839-B **Assigned to** Gitter Dunn **Completed** 9/28/11

Quality Issue(s) to be Dealt With: Description

Bud Schnell took 64 days to complete his last bid packet of 4 houses. The five-house bid packet before that took him 79 days. The five house bid packet before that took him 71 days.

Identified By K Franklin Wx Dir **How** From monthly complete reports for July, May, and February

Action Steps	Deadline	Done	Evidence
Interview Bud; explain delays	9/8	9/6	Interview notes attached: interrupted by other work; special/back order materials
Determine solutions	9/8	9/9	<ol style="list-style-type: none"> 1. Notice to program by contract about legitimate delays 2. Require written waiver for acceptable delays 3. Make consequences of delay more explicit in contract 4. Limit contractor to 2-house bids 5. Bar contractor from bidding
K Franklin assumes responsibility		9/9/11	<i>KFranklin</i>
Request for use of Change Order to document unavoidable delay submitted to state DOE for approval		9/15	<i>KF</i> – attached copy of email
State DOE approval received		9/28/11	<i>KF</i> – copy of letter attached