

Supervisory Functions – Allocation of Responsibilities

Background

In November, the Social Services Regional Supervision and Collaboration Working Group (SSWG) began the process of identifying, defining, and discussing supervisory functions for the state's social services system. The SSWG refined this list and allocated supervisory responsibilities across the three levels of government involved in the system – central, regional, and county. The group discussed many of these functions in detail in small groups and in the larger group. After additional revisions were made to reflect the discussions, the group identified areas of agreement and flagged areas of concern or confusion.

This version of the supervisory functions is different. It is intentionally more general and high-level. The previous versions drilled down into specifics to stimulate discussion. This version is intended to capture the high level, consensus summaries related to each of these functions. It includes fewer functions – eliminating those that were not appropriate to include (licensing, root cause analysis) and combining related functions (risk assessment + monitoring, technology development + integrated recordkeeping). The list of supervisory functions now includes:

- Compliance monitoring
- Fiscal monitoring
- Policy guidance and technical assistance
- Integrated data systems and recordkeeping
- Evidence-based practice dissemination
- Workforce development
- Training
- Conflict of interest management

In the tables below, each function is defined and activities related to those functions are allocated to each level of government (central, regional, county).

Goals for a Successful System of Regional Supervision

When reviewing the supervisory functions, it is important to remember the goals for a successful system developed by the SSWG in October. These goals are intended to provide a foundation for all of the group's work in Stage One. The goals identified are:

- Consistent interpretation and application of laws, regulations, and rules
- Policy guidance – issuance of policies, technical assistance
- Clearly defined roles and responsibilities
- Timely and efficient responses, consistent with law and policy
- Productive and trusting relationships
- Successful innovation/problem-solving/conflict resolution/leadership
- Fair enforcement
- Accountability
- Supporting quality assurance and improvement, informed by data and practice
- Fiscal stewardship (control, efficiency, and accountability)
- Help agencies prioritize among the goals

- Transparency and accessibility for the counties and the public re: law, policy, and practice; feedback opportunities for the public and counties
- Effective technology tools and support

SSWG Assignment for 1/9/18

Review the revised tables of supervisory functions below. There is now a separate table for each function. Please take notes after each function as you review it to prepare for group discussions at the upcoming meeting. For each function/table, specifically consider:

- Does anything require clarification at this stage?
- Do you have a major disagreement with a concept reflected in the table?
- Do you have any other concerns or questions about this function?

Keep in mind that this version of the document is intentionally more general than our previous versions. Our hope is that many of the specific examples and activities discussed in previous meetings are encompassed in the more general concepts incorporated in this summary document. If you identify an important gap or omission, please make a note and raise it in the group discussion.

This will not be the group's last time to review and revise this list. It will be integrated into the draft report the group will review in late February or early March. It is important, though, that there is general agreement about these high-level concepts before moving into the next stage of the work because they will inform issues such as staffing, size, and location of regional staff.

Compliance Monitoring

Evaluate compliance with applicable federal and state laws and policies and direct changes when necessary. Compliance monitoring includes the concept of risk assessment.

	General Description of Role
Central	<ul style="list-style-type: none"> • Establish statewide plan for routine compliance monitoring • Provide tools that facilitate/support compliance monitoring, quality assurance activities, and risk assessment • Oversee regional offices to ensure timely, coordinated, and consistent monitoring across regions • Make final determination regarding corrective action and state intervention in county administration
Regional	<ul style="list-style-type: none"> • Perform compliance monitoring as provided in statewide plan • Coordinate scheduling of compliance monitoring activities across programs for counties within the region • Work with counties to develop corrective action plans and oversee implementation of those plans • Support county offices in their efforts to monitor compliance internally and perform continuous quality improvement (CQI) activities • Share, interpret and discuss monitoring results and dashboard data with agency directors • Maintain open communication with county departments and others in the county regarding compliance duties, challenges, and successes
County	<ul style="list-style-type: none"> • Develop and implement internal CQI practices with support from regional office • Cooperate with monitoring activities performed by the regional office • Work with regional office to develop and implement corrective action plans when appropriate

Notes (clarifying questions/major points of disagreement/other): _____

Fiscal Monitoring

Ensure that all financial resources are used effectively, efficiently, and in compliance with applicable federal and state laws (includes risk assessment).

	General Description of Role
Central	<ul style="list-style-type: none"> • Steward federal and state funds and manage reporting obligations • Establish statewide plan for routine fiscal monitoring • Oversee regional offices to ensure timely, coordinated, and consistent fiscal monitoring across regions • Make final determination regarding corrective action and state intervention in county administration
Regional	<ul style="list-style-type: none"> • Perform fiscal monitoring • Coordinate scheduling of fiscal monitoring activities across programs for counties across region • Support county offices in their efforts to effectively develop and manage their budgets internally • Maintain open communication with county departments and others in the county regarding fiscal condition • Work with the counties to identify resource gaps or a need for re-basing at the county level; communicate those needs to the central office
County	<ul style="list-style-type: none"> • Develop and implement internal control with the support of the regional offices • Develop and manage budgets with support from the regional office • Identify resource gaps and provide feedback to the regional offices

Notes (clarifying questions/major points of disagreement/other): _____

Policy Guidance and Technical Assistance

Promote consistent interpretation of state and federal law through development of clear and consistent statewide program policies. Provide clarification, additional explanation, or implementation support when necessary.

	General Description of Role
Central	<ul style="list-style-type: none"> • Establish and maintain statewide program policies that are consistent with state and federal law • Crosswalk policy with other departments (DAAS, DMA, DHSR, AOC, etc.) to ensure consistency • Provide support and guidance to regional offices in the implementation of statewide policy and the supervision of county offices • Provide policy updates to regional offices in a timely manner to ensure consistency in implementation • Review and react to feedback from regional and county offices, update policy accordingly
Regional	<ul style="list-style-type: none"> • Support county offices in the consistent implementation of policy with training and technical assistance • Promote the consistent implementation and interpretation of policy between and within regions through policy expertise • Use data analytics and other sources of information to identify situations or challenges that may stem from inappropriate interpretation and application of law or policy and work with the county to evaluate and align practices when necessary • Maintain a proactive relationship with central office that increases timeliness and consistency of implementation • Receive and respond to feedback from county offices about policy guidance • Provide feedback to central office regarding any disconnect between law, policy and/or practice

County	<ul style="list-style-type: none">• Implement statewide policy• Develop and maintain internal policies that are consistent with state and federal policy• Request guidance and technical assistance from regional office when clarification is needed or issues arise• Provide feedback to regional offices throughout the implementation process
---------------	--

Notes (clarifying questions/major points of disagreement/other): _____

Integrated Data Systems and Recordkeeping

Develop reliable data systems to support service delivery and recordkeeping. Maintain accurate, thorough statewide records that are accessible for the purpose of service provision, review, monitoring, or consultation. Examples include NCFAST and centralized registries.

	General Description of Role
Central	<ul style="list-style-type: none"> • Establish and maintain statewide, dependable, electronic, program-specific data systems to support service provision and recordkeeping • Ensure that systems comply with applicable federal and state laws • Provide regional and county offices with reports that are timely and accurate upon request • Support regional staff with effective data analytics • Provide training and technical support to regions and counties related to data systems and recordkeeping • Ensure that systems comply with federal and state laws and policies regarding record retention • Respond to feedback received from county and regional offices regarding data systems
Regional	<ul style="list-style-type: none"> • Provide technical assistance to counties to support accurate data collection, proper recordkeeping, and timeliness • Gather feedback from counties as issues arise to recommend improvements and updates to the data systems

County	<ul style="list-style-type: none">• Develop and implement internal policies that support accurate data collection and proper recordkeeping that are consistent with state and federal law and policy• Request reports and/or assistance from central and regional offices to facilitate the effective use of systems and data analytics• Provide feedback to the regional and/or central office regarding data systems
---------------	--

Notes (clarifying questions/major points of disagreement/other): _____

Evidence-Based Practice Dissemination

Facilitate open lines of communication to share evidence-based practice strategies across programs and counties.

	General Description of Role
Central	<ul style="list-style-type: none"> • Identify and select evidence-based practices that can be implemented statewide • Facilitate the implementation of evidence-based practices statewide through resource provision and guidance • Respond to feedback regarding evidence-based practices and make final determination regarding statewide applicability • Promote a culture of innovation that allows for improvement on practice models and strategies
Regional	<ul style="list-style-type: none"> • Support county offices in the implementation of evidence based-practices through training and resource provision • Assess innovative practice strategies developed by counties for region-wide or statewide applicability • Facilitate sharing of evidence-based practices at the regional and county levels when appropriate • Share information with the central office regarding evidence-based practice implementation at the regional and county levels
County	<ul style="list-style-type: none"> • Implement evidence-based practices while assessing for areas that need improvement • Request support from and provide feedback to regional offices throughout implementation process • Share innovations and lessons learned with regional offices • Share evidence-based practices with other counties when appropriate

Notes (clarifying questions/major points of disagreement/other): _____

Workforce Development

Setting standards for social services workforce and supporting those standards

	General Description of Role
Central	<ul style="list-style-type: none"> • Establish and maintain statewide minimum qualifications requirements for all central, regional, and county positions* • Provide support, guidance, and oversight in unresolved human resource (HR) conflicts* • Identify workforce gaps and possible solutions • Recruit and retain experts at the central and regional levels
Regional	<ul style="list-style-type: none"> • Participate in development and revision of minimum qualifications requirements to ensure that they adequately account for local needs and challenges • Monitor counties for compliance with minimum qualifications requirements* • Provide human resource expertise to county offices upon request* • Provide feedback to directors and supervisory staff at the local level regarding staff performance, based on data analytics, monitoring, and other interactions
County	<ul style="list-style-type: none"> • Implement internal human resource policies that are consistent with federal, state, and local law and policy • Maintain an adequate number of competent personnel to provide quality and timely services • Cooperate with any monitoring activities performed by regional staff regarding human resources and minimum qualifications requirements* • Request support and guidance from regional offices when policy clarification is needed or HR conflicts arise • Regularly evaluate staff performance and make adjustments as necessary

Notes (clarifying questions/major points of disagreement/other): _____

Training

Ensure that personnel involved in the provision of services are competent and well-prepared to discharge duties associated with their position

	General Description of Role
Central	<ul style="list-style-type: none"> • Establish and maintain statewide curriculum and training standards • Establish and maintain “train the trainer” curriculum and support for the regional staff • Ensure consistent training across regions • Ensure training is timely, accessible, and able to accommodate all regional and county staff
Regional	<ul style="list-style-type: none"> • Provide “train the trainer” curriculum and support to directors and supervisory level staff at the local level • Provide training related to root cause analysis and budgeting • Provide training to local staff directly when appropriate • Maintain a “bank” of training resources accessible to county offices • Monitor compliance with training mandates at the local level to ensure competency and consistency • Identify training needs within the region using data analytics and respond accordingly
County	<ul style="list-style-type: none"> • Develop and maintain internal training policy that is consistent with state and federal policy • Document training and cooperate with any monitoring activities performed by regional offices • Use internal assessment to identify training needs and respond accordingly • Request guidance and support in the training of county staff and community partners when necessary

Notes (clarifying questions/major points of disagreement/other): _____

Conflict of Interest Management

Managing situations when a conflict of interest arises related to a program, service, or individual.

	General Description of Role
Central	<ul style="list-style-type: none"> • Establish a statewide policy regarding the management of conflict of interest (COI) cases • Assist with resolution of conflicts that involve multiple counties or regions
Regional	<ul style="list-style-type: none"> • Assist counties with decisions related to management of COI cases • If counties are not able to reach a resolution, assign cases and responsibilities (e.g., court filings, costs) to counties consistent with state policy • If conflict crosses regional lines, coordinate with other regional office(s) to ensure the case is handled in accordance with state policy
County	<ul style="list-style-type: none"> • Identify COIs promptly • Attempt to remedy the conflict by coordinating case management with another county consistent with state policy • Cooperate with other counties that are seeking assistance with remedying a conflict consistent with state policy • Accept COI cases from other counties consistent with state policy or regional assignment

Notes (clarifying questions/major points of disagreement/other): _____

 Any other concerns/questions/gaps about the supervisory functions? _____
