

Extending the Exercise: Supervisory Functions – Who Does What?

REVISED 11/21/2017

During the 11/2/2017 meeting, the members of the Social Services Working Group (SSWG) divided up into three groups and were asked to brainstorm about the role each level of government – central, regional, and county – should have with respect to several key supervisory functions. Each small group was assigned a different cluster of supervisory functions to discuss. The groups reported out to the full SSWG on the results of their brainstorming activity. After the meeting, all group members were provided an opportunity to expand on the lists and provide additional comments about the functions and allocations. That feedback was integrated into table or is reflected in the accompanying notes. The SOG team also gathered additional information in interviews with DHHS staff, some of which was integrated into the table.

Please note: This table represents a brainstorming activity. It is not intended to be a clear definition of functions, roles, and responsibilities. Rather, it is intended to be used as a tool for guiding the group as it discusses the general framework for a regional system of supervision for social services.

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
BEST PRACTICE DISSEMINATION	Facilitate open lines of communication to share practice strategies across programs and counties ¹	<ul style="list-style-type: none"> • Create/share/recognize best practices • Approve new statewide models • Select a statewide evidence-based practice model (child welfare) • Collect and post in central clearinghouse for easy access for regional and county leadership • Develop training on best practices/strategies for statewide use • Promote a culture of innovation 	<ul style="list-style-type: none"> • Duplicate/share best practices • Conduct training on best practices/strategies • Help counties implement those strategies (per county request) • Create/pilot/inform best practice development in collaboration with central office • Identify best practices upon visits to counties; document for sharing with central and counties • Promote a culture of innovation 	<ul style="list-style-type: none"> • Replicate/implement best practices • Develop/create and demonstrate² • Request training on practices/strategies, as needed • Request resources to implement those practices • Provide feedback to regional/central re: implementation, clarifications, etc. • Promote a culture of innovation

* General comment: The document should do a better job reflecting partnership between the three levels. Appears very top-down. Should also emphasize need for strong communication between levels.

¹ Best practices will emerge from a quality performance management system.

² One of the strengths of the current social services system is that counties have and continue to develop best practices that lead to good outcomes for adults, families and children. Often these best practices are not effectively shared or disseminated statewide. Consequently, they are rather unknown outside the county except when submissions are made for best practice awards.

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
COMPLIANCE MONITORING	Evaluate compliance with applicable federal and state laws and policies and direct changes when necessary	<ul style="list-style-type: none"> • Establish benchmarks with realistic measures • Provide clear guidance about how benchmarks might be attained • Provide tools for quality assurance (QA) activities • Develop and maintain the statewide dashboard • Create/develop statewide continuous quality improvement (CQI) model for all programs • Prepare and execute DSS written agreements • Provide guidance and interpretation on federal and state policy • Develop standardized protocols/forms • Make decision to take over county service in underperforming counties • Oversee regional offices to ensure timely and consistent monitoring across regions • Hire competent and knowledgeable staff in the central and regional office to perform monitoring in county offices 	<ul style="list-style-type: none"> • Routinely monitor/audit programs and services for compliance with law and policy • Training and coaching on CQI • Develop and oversee corrective action plan • Monitor written agreements and performance dashboard • Hold counties accountable for dashboard performance • Provide governing body of county agency with reports related to county department performance (based on dashboard) 	<ul style="list-style-type: none"> • CQI • Implementation of corrective action plans • Develop internal controls policy and system for self-monitoring • Fully utilize the statewide performance and county specific dashboards to continuously improve performance • Conduct quarterly progress evaluations regarding the performance dashboard

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
CONFLICT OF INTEREST (COI) MANAGEMENT	Managing situations when a conflict of interest arises related to a program or service	<ul style="list-style-type: none"> Develop policy and standard protocols on managing COI cases 	<ul style="list-style-type: none"> Handle conflict of interest cases³ 	<ul style="list-style-type: none"> Identify COI cases and report to regional office Coordinate with regional on the COI cases

³ - More detail needed. Options could include (1) regional personal staff the case or (2) regional staff direct one county to handle a COI case from another county.

- Explore Pennsylvania Model where Regional Offices investigates/administers conflict of interest cases. Use conflict cases as opportunities to mentor and train counties if Penn Model adopted.
- At this time, the State is not a service provider. Additionally, the state does not have the staff to complete the casework for COI. This could amount to a number of cases that would make the state office County 101.
- Related questions to consider --who handles the court actions? will there be a regional attorney? where are the court actions held? who handles the ancillary services for the COI family – i.e., daycare services?

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
FISCAL MONITORING ⁴	Ensure that all financial resources are used effectively, efficiently, and in compliance with applicable federal and state laws.	<ul style="list-style-type: none"> • Federal and state reporting • Budget projections of state/federal funding for counties • Provide timely and accurate reports to counties • Reimbursement policy guidance, processing • Policy guidance and interpretation • Audits • Re-basing allocations to counties • Space and facility policy requirements • Support region and county in planning and presenting need for additional resources 	<ul style="list-style-type: none"> • Routinely monitor programs and services for compliance with applicable fiscal laws, practices, and policies • Identify needed resource • Provide fiscal management consultation • Audit space and facility requirements • Review reports with county staff on a regular basis • Provide training, coaching and mentoring 	<ul style="list-style-type: none"> • Developing and implementing internal controls • Monitoring use of allocations, day sheet coding, etc. • Budget development and management • Resource need identification • Strategically utilize federal/state/county funding to maximize the benefit to local citizens • Manage grants outside DHHS oversight with appropriate funders

⁴ This section is vague. Difficult to determine the level of accountability between the region and the county. Would be helpful to have more specificity, i.e., who are we training, coaching, and mentoring on the regional level? Do we want the counties to develop internal controls or just implement those specified on a higher level for consistency?

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
INTEGRATED RECORDKEEPING	Maintain accurate, thorough records that can be accessed for the purpose of service provision, review, monitoring, or consultation	<ul style="list-style-type: none"> • Develop, maintain and update a reliable and efficient data system for record keeping in an electronic format • Train regional staff on effective data analytics • Develop and maintain policy on record retention • Establish policy on secondary workflow process for the purposes of business continuity of operations. • Provide counties with reports that are timely and accurate on a regular basis and as requested • Correct defects in a timely manner 	<ul style="list-style-type: none"> • Oversee the data collection by counties • Train county staff on data collection, proper record keeping, system operations and meeting requisite deadlines • Consult and evaluate county performance based on data performance measures • Employ a planning and evaluation model with business analysts trained to provide data analysis to inform programmatic and fiscal concerns • Gather feedback from counties as issues arise to recommend improvements and updates 	<ul style="list-style-type: none"> • Enter all data and maintain compliance with deadlines and other expectations • Understand data reports/analytics, etc. and how to use to evaluate performance and CQI • Request and evaluate data and reports regularly • Use data to make changes related to staffing levels, program improvement, training, etc. • Report challenges and defects to regional and/or central offices <p data-bbox="1539 883 1556 899">5</p>

⁵ One barrier at the county level may be costs associated with technology enhancements associated with integrated recordkeeping.

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
LICENSING AND CERTIFICATIONS ⁶	Authorize entities to provide services consistent with applicable laws and regulations	<ul style="list-style-type: none"> • Issue licenses • Set standards for all licenses 	<ul style="list-style-type: none"> • Perform inspections to support licensure and make recommendations for licensing to central office⁷ • Hold trainings in various locations throughout the region • Develop licensed trainers to serve region (both public and private trainers) • Handle communications between pending and approved licensees related to their license. 	<ul style="list-style-type: none"> • Handle communications between applicants, licensees and the regional office • Recruit people / entities for new licenses • Perform the inspections to support licensure and make recommendations for licensing to central office • Conduct licensing studies and submit complete licensure application study • Investigate complaints
POLICY GUIDANCE ⁸	<p>Ensure a common understanding of program policy and provide clarification or additional explanation when necessary</p> <p><i>Note: Arrows (↓↑) refer to sharing up/down the natural hierarchy</i></p>	<ul style="list-style-type: none"> • Develop policy in conjunction with legislature and legal (AG) • ↓ Train regional office in policy and in oversight so they can inform and supervise counties • ↑ Make recommendations for policy modifications to NCGA and legal 	<ul style="list-style-type: none"> • ↓ Train county in policy implementation • ↓ Oversight of county operations – are they implementing policy appropriately? • ↑ Collect and assess data from counties to determine needs at the local level and inform potential 	<ul style="list-style-type: none"> • Oversee county operations • Identify needs at the county level • ↑ Provide data to regional office • ↓ Implement policy as trained • Develop local policies when appropriate • ↑ Provide recommendations to regional office regarding

⁶ Different allocations of responsibility may be appropriate depending on the licensure/certification function. It may be different for foster care licensure and adult care home certifications.

⁷ Inspections should remain a county function as it will require interfacing with fire departments and public health.

⁸ Would be useful to adopt a simplification mindset where decisions are made in a way that does not require duplication of effort and technology is used to increase efficiency and quality of work.

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
		<ul style="list-style-type: none"> • Cooperate with state auditors to ensure consistent policy and fiscal congruence⁹ • Cross-walk policy with other departments (DAAS, DMA, DHSR, AOC, etc.) to ensure no conflicting information • Vet policy changes with directors' association • Ensure policy guidance is provided to the staff/program impacted with enough time to prepare • Integrate policy and NCFAS functionality • Update policy manual and administrative letters in a timely manner (concurrent with changes) • Provide consistent formatting of policy throughout the manual with searchable indexes • After risk assessment identifies weakness, update policy guidance (or seek legislative change) • Be the arbiter on any violations of rule or law 	<p>modifications to central office policy</p> <ul style="list-style-type: none"> • Train county in policy implementation in timely manner that ensures successful implementation • Consistent guidance and supervision are provided by DHHS on a timely basis (24 hours) 	<p>modifications, clarifications, etc.</p> <ul style="list-style-type: none"> • Provide feedback on policy and implementation plan through directors' association

⁹ Note: Compliance supplements must be signed off by division staff before going to audit staff who then use this information as direction to guide audits. Need to guard against possible misinterpretation in transition.)

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
RESOURCE PROVISION	Ensure that service providers have the non-monetary resources they need	<ul style="list-style-type: none"> • Provide cross-regional “view” to leverage resources and best practices across county/regional lines 	<ul style="list-style-type: none"> • Identify needed resources for each county • Establish/cultivate relationships (local leaders; teamwork; constructive feedback) • Evaluate counties’ reserve capacity to deliver services • Respond to requests from counties 	<ul style="list-style-type: none"> • Allocate the resources needed to provide quality services and meet federal state laws and rules (facility space, personnel, etc.) • Provide flexible space • Respond to requests from regional office (provide support as needed) • Build and maintain relationships within the community so as to assess needs, improvements, modifications, etc. and provide this information to regional office. • Facilitate communication between community and regional office regarding resource needs and allocation. • Provide recommendations regarding allocation of internal resources

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
RISK ASSESSMENT	Evaluating programs and services to identify potential weaknesses that could expose individuals, families, or the government to unnecessary risk	<ul style="list-style-type: none"> Develop protocols/practice and policy to identify potential weaknesses Evaluate potential weaknesses and develop preventive structures and policies Respond and correct weaknesses identified by region and county 	<ul style="list-style-type: none"> Identify county specific weaknesses Help counties learn how to identify their own weaknesses Require county corrective action plans when necessary 	<ul style="list-style-type: none"> Identify county specific weaknesses Make changes in policy or practice as necessary Complete corrective action plans Provide data to region-central office as needed
ROOT CAUSE ANALYSIS ¹⁰	<p>Assess contributing factors that resulted in a situation of non-compliance and determine what can be done to mitigate those factors in the future</p> <p>CCA: Critical case analysis CQI: Continuous quality</p>	<ul style="list-style-type: none"> Develop a consistent CCA process Develop CQI program Educate the regional office on the oversight of CCA process Establish standards for number of CCA/CQI staff needed in each county Provide resources to counties to implement routine CCA and CQI processes Be the arbiter on any violations of rule or law 	<ul style="list-style-type: none"> Provide training to counties on root causes so as to strengthen local agencies ability to identify and address Routinely participate in county CCA and CQI processes Follow up on instances of non-compliance and develop/require corrective action plans Notify central office of rule or law violations Train county CCA/CQI staff Provide CCA/CQI resources to counties 	<ul style="list-style-type: none"> Inform regional office of instances of non-compliance Seek assistance of regional office on instances of non-compliance Implement a routine CCA and CQI process Request assistance in implementing CCA/CQI in county

¹⁰ This has been and will continue to be a difficult area for agencies to navigate given that some of the influence on procedures derives from how judges in each jurisdiction operate. Until there is more uniformity, I see this continuing to be a difficult area for agencies.

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
SERVICE REVIEW	Use case records and data to review service trends, progress, strengths and weaknesses	<ul style="list-style-type: none"> • Develop plan for use of service reviews for oversight of county operations • Monitor regions' implementation of plan • Maintain high-quality data warehouse¹¹ • Provide/share data, trend analysis, best practices, lessons learned, etc. from service reviews • Train regional staff on the multiple uses of data warehouse to provide quality data informed consultation to counties 	<ul style="list-style-type: none"> • Conduct service reviews to monitor counties (data, reports, outcomes, overlaps, trends) • Coordinate/oversee service/case reviews associated with monitoring efforts¹² • Report to central office • Respond/react to county (use of evidence based, best practice solutions) • Utilize data warehouse data to provide quality supervision to counties • Train counties on how to effectively utilize the data warehouse for providing insight for CQI • Provide information and resources regarding practical solutions and/or implementation of national/state/county practices to encourage high quality service provision 	<ul style="list-style-type: none"> • Be accountable, timely and efficient in conducting service reviews • Conduct self-assessment (gap analysis) • Request support/resources as needed • Utilize the data warehouse and other internal databases to provide quality services and for continuous improvement • Develop effective processes for service provision • Utilize guidance offered from regional supports

¹¹ Overhaul the state data warehouse and make it a 21st century repository of which is easily queried and downloadable data to create beneficial reports and research for the state, counties, universities and the public in general.

¹² Goal should be to streamline, rather than add to, the current service review/audit schedule.

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
TRAINING	Ensure that personnel involved in the provision of services are competent and well-prepared to discharge duties associated with their position	<ul style="list-style-type: none"> • Curriculum development and distribution • Establish training mandates • Develop train-the trainer programs for regional staff; provide oversight of regional office training staff • Ensure consistent training across regions • Ensure training is timely , accessible, and able to accommodate all county staff in need of the training 	<ul style="list-style-type: none"> • Maintain a “bank” of training resources • Identifies training needs • Deliver training • Collect and maintain training reports for staff throughout region; evaluate compliance with training mandates; require corrective action if mandates not satisfied • Secure training space that is sufficient for regional training programs when they need to be in person • Provide a comprehensive fiscal training program, conduct training and refresher on a regular basis • After risk assessment identifies a weakness, provide targeted training to address it • Provide training to counties on root causes so as to strengthen local agencies ability to identify and address 	<ul style="list-style-type: none"> • Request training; assist with needs identification • Evaluate compliance with training mandates • Document training; submit reports to regional • Provide internal training¹³ • Provide space for training if needed

¹³ Important to emphasize the importance of allowing counties to use internal resources (or those from neighboring counties) to do training.

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
WORKFORCE DEVELOPMENT	Setting standards for social services workforce and supporting those standards ¹⁴	<ul style="list-style-type: none"> • Set minimum qualifications requirements for all central, regional and county positions • Provide oversight for human resource consultants • Work with the legislature to establish caseload limits in child protective, adult protective and foster care services • Ensure regional offices staffed appropriately to effectively carry out assigned duties • Identify workforce gaps and identify solutions. • Recruit and retain experts (i.e. the best of the best). • Consider more flexibility in front line staff hiring and firing (confer with legislature on SHRA adjustments or elimination) 	<ul style="list-style-type: none"> • Monitor for compliance with minimum qualifications requirements and HR policy • Provide HR consultant for recruitment, selection and dismissal of employees • Participate in interviews for the director and advise the hiring authority selection • Provide support to the director by instructing, coaching, and mentoring • Provide feedback on the performance of the director as part of the annual performance evaluation • Monitor/audit counties for compliance with federal merit based hiring and dismissal requirements • Identify and communicate uniqueness of counties that impact workforce and standards, i.e., military • Routinely review staffing standards with counties (and upon request) • Provide recommendations to counties to address workforce gaps • Assist counties in identifying staff weaknesses 	<ul style="list-style-type: none"> • Maintain adequate number of personnel to provide quality and timely services • Comply with minimum qualifications hiring requirements • Monitor workforce levels/needs; request assistance or guidance as needed • Hold staff accountable; discipline/dismiss poor performing staff • Utilize regional HR consultant for consultation on adverse action and employee relations issues • Request additional resources from Central and Regional office when levels rise above established standards

SUPERVISORY FUNCTION	DEFINITION	CENTRAL	REGIONAL	COUNTY
TECHNOLOGY DEVELOPMENT	Implementing technology systems that support reporting, data collection, dashboard performance and information sharing needs	<ul style="list-style-type: none"> • Designing technology to create efficiencies for work processes • Ensure the system supports policy and reporting requirements • Ensure the system is designed to be as end user friendly as possible • Ensure training is designed for learning to use the technology • Fix system defects 	<ul style="list-style-type: none"> • Train county staff on the technology • Provide feedback on how the technology is working in the counties 	<ul style="list-style-type: none"> • Learn how to use the technology • Provide feedback on how the technology is working in the field • Submit helpdesk tickets for system defects

¹⁴ This is one of the most important sections. With most social workers only lasting 2-3 years, it is imperative we focus on workforce resiliency. When cases constantly change hands, things get missed. The better an agency's retention rate, the higher quality of the work being produced.