

**STATE OF WEST VIRGINIA PRELIMINARY PERFORMANCE REVIEW
OF THE**

**GOVERNOR'S CABINET
ON
CHILDREN AND FAMILIES**

**THE GOVERNOR'S
CABINET ON CHILDREN
AND FAMILIES DID NOT
HAVE GOALS AND
OUTCOME MEASURES
FROM 1990 THROUGH
1994 AND WILL NOT
HAVE DATA FOR ITS
CURRENT MEASURES
UNTIL 1997.**

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September 5, 1996

The Honorable A. Keith Wagner
State Senate
Box 446
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The Honorable Joe Martin
House of Delegates
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Gentlemen:

Pursuant to the West Virginia Sunset Law, we are transmitting this Preliminary Performance Review of the Governor's Cabinet on Children and Families, which will be reported to the Joint Committee on Government Operations on Sunday, September 15, 1996. The issue covered herein is "The Governor's Cabinet on Children and Families did not have goals and outcome measures from 1990 through 1994 and will not have data for its current measures until 1997."

Please let me know if you have any questions regarding this report.

Sincerely,

A handwritten signature in cursive script, appearing to read "Antonio E. Jones".

Antonio E. Jones

AEJ/Ahs

Enclosure

Joint Committee on Government and Finance

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EXECUTIVE SUMMARY

In the Third Extraordinary Session of 1990 the Legislature created the Governor's Cabinet on Children and Families (the Cabinet) as part of education reform legislation. The Cabinet acts as an interagency facilitator "to establish a flexible system of comprehensive, unified, effective and efficient administration of programs and services to children and families which avoids fragmentation and duplication of programs and services and which facilitates and promotes cooperation among state agencies, as well as regional, local and private service agencies."

The Cabinet is chaired by the Governor and includes the Secretaries of Health and Human Resources, Commerce, Labor and Environmental Resources (later filled by the Commissioner of Employment Programs), Administration, the State Superintendent of Schools, the Attorney General, advisory members from the House of Delegates and Senate and any other administrative heads of government the Governor may appoint.

Family resource networks are the Cabinet's primary vehicle for accomplishing its mission. Family resource networks or FRN's are county or multi-county coalitions that plan and coordinate local service improvements for children and families. FRN members may consist of government, business, community religious and civic representatives, local service providers and consumers.

FRN's are responsible for assessing community needs, defining current service resources or gaps in services, and coordinating these services to best benefit the community's consumers. To empower FRN's, the Cabinet issues grants to FRN's based on proposals submitted to the Cabinet. These proposals reflect local action plans which illustrate the county or multi-county population needs, available services, services needed and FRN's plan to meet the community's needs with local resources in a more efficient and effective way. The Cabinet assesses the FRN's ability to accomplish its plan for service improvement as outlined in the grant proposal. Once the Cabinet has entered into a contract with an FRN, the Cabinet should evaluate the success of the FRN in meeting its community's needs.

ISSUE 1: THE GOVERNOR'S CABINET ON CHILDREN AND FAMILIES DID NOT HAVE GOALS AND OUTCOME MEASURES FROM 1990 THROUGH 1994 AND WILL NOT HAVE DATA ON ITS CURRENT MEASURES UNTIL 1997.

From its creation in 1990 to 1994 the Cabinet did not have adequate goals and performance measures that would enable interested parties to determine the impact or outcomes of its programs. In 1995, the Cabinet adopted its present policies and procedures for monitoring and coordinating FRN formation and grant allocation. The processes established by the policies and procedures provide the Cabinet with an opportunity to collect and evaluate performance information for family resource networks and their operations. In 1995, the Cabinet established goals, performance measures and a data collection instrument to monitor the outcomes of its grant activities. However, the performance measures that will be used to measure the impact of the Cabinet's activities will not be available until 1997. Also, planned survey instruments will not

provide performance measures that will provide information on the impact of the various grants issued by the Cabinet. Without outcome measures that describe programmatic impact in place the Cabinet cannot be evaluated for performance.

OBJECTIVE, SCOPE AND METHODOLOGY

This review of the Governor's Cabinet on Children and Families was conducted in accordance with West Virginia Sunset Law, Chapter 4, Article 10, of the West Virginia Code, as amended. A preliminary performance review is a means to determine for an agency whether or not the agency is performing in an efficient and effective manner and to determine whether or not there is a demonstrable need for the continuation of the agency. Completion of the Preliminary Performance Review will assist the Joint Committee on Government Operations in determining the following:

- if the agency was created to solve a problem or provide a service;
- if the problem has been solved or the service has been provided;
- the extent to which past agency activities and accomplishments, current projects and operations and planned activities and goals for the future are or have been effective;
- the extent to which there would be significant and discernable effects on public health, safety or welfare if the agency were abolished;
- whether or not the agency operates in a sound fiscal manner;
- whether or not the conducting of a full performance evaluation on the agency is in the public interest.

The preliminary review of the Governor's Cabinet on Children and Families covers the period of 1990 to present. However, the review may include events preceding this period to help address the criteria of the preliminary performance review.

The preliminary performance review of the Governor's Cabinet included: a planning process; identification of the agency's mission; development of a risk analysis to identify factors that may impede accomplishment of such mission; and development of audit steps to measure the probability of such factors identified from being realized. The preliminary review followed generally accepted government auditing standards.

As will be described below, much of the Cabinet's work surrounds the establishment and funding of family resource networks. Therefore, the preliminary review evaluated whether the Governor's Cabinet on Children and Families has established a performance measurement system for its grant activities. The grant process requires FRN's to report information that enables the Cabinet to evaluate the performance of each family resource network. Also, the Cabinet's policies and procedures should enable the Cabinet to assess its performance or the family resource network formation and grant process as a whole.

A properly formulated performance measurement system establishes management controls, such as policies, procedures and a reporting mechanism that ensures programmatic accountability. Management controls establish a basis for funding decisions and informs interested parties on the effectiveness of the agency. The presence of a performance measurement system is a prerequisite for evaluating the performance effectiveness of an agency. If a system of controls dedicated to performance is not in place then it is difficult to establish a causal link between the activities of the agency and the desired outcomes.

To determine whether the Cabinet has established a performance measurement system answers to the following questions were sought.

- Has the Cabinet established performance expectations (goals)?
- Has the Cabinet established performance measures and supporting data to evaluate the performance of family resource networks?
- Does the Cabinet compare actual performance (measures) to expectations (goals)?
- Does the Cabinet have a process to determine why actual performance may vary from expectations?
- Does the Cabinet take appropriate action to address the causes of variances?
- Does the Cabinet have a process that allows for continuous improvement and adjusts expectations as appropriate?

Information relating to the Governor's Cabinet was obtained through interviews of agency personnel, field visitations and the examination of documents relating to Cabinet operation. Information presented in the evaluation is derived from files relating to the seven originally funded family resource networks. The use of the seven original FRN's provided a longer time series of information for the review. However, management documents relating to the totality of the Cabinet's activities were reviewed.

**Mission
of the
Governor's Cabinet on Children and Families**

...to enhance the ability of families to protect, nurture, educate and support the development of their children so that each child's full potential is achieved.

In the Third Extraordinary Session of 1990 the Legislature created the Governor's Cabinet on Children and Families (the Cabinet) as part of education reform legislation. The Cabinet is to act as an interagency facilitator "to establish a flexible system of comprehensive, unified, effective and efficient administration of programs and services to children and families which avoids fragmentation and duplication of programs and services and which facilitates and promotes cooperation among state agencies, as well as regional, local and private service agencies." In order to achieve this vision the Cabinet and its staff were given the following duties and responsibilities:

1. ...analyze ways to best utilize information and evaluations obtained from existing programs...;
2. ...monitor and report on head start, early intervention and other preschool programs...;
3. ...provide for the holistic coordination of programs and services for all children and families....the goal being to reduce the number of adolescent pregnancies by 50% by the year 2000...;
4. ...promote the delivery of early prenatal care services for all pregnant women through local health care providers...;
5. ...assure the development of parenting education services and outreach efforts using the media and supportive activities for children and care givers with a focus on children 3-5 living in rural areas...;
6. ...provide for the coordination of programs and services for comprehensive developmental screening and well-baby visits for all preschool children and parental involvement...;
7. ...identify facilities and properties that may be required and available for the efficient and effective provision of programs and services, emphasizing the use of state facilities...;
8. ...prepare a proposed budget...;
9. ...create an independent case management system for all children in the custody of the state, for families requiring services from multiple agencies, and whatever else the cabinet deems necessary...;
10. ...develop coordinated information systems and examples of forms for use at local, regional and state levels...;
11. ...promote the cabinet...;
12. ...provide public information on services and programs available to children and families...;
13. ...address specifically the provision of programs and services to children living in rural areas...;
14. ...report annually to the legislature...;

As shown in item three the only specific outcomes contemplated in the statute is that "...successful intervention by a combined effort of government, the people of West Virginia and the Legislature can successfully reduce the number of pregnancies to unmarried, adolescent females and the instances of drug and alcohol abuse by children by the year 2000. However, the statute does not make it clear that these goals should be the over-arching purpose of the Cabinet.

The Legislature empowered the Cabinet to: negotiate agreements between agencies; enter into contracts for facilities, services and equipment; develop and implement rules; delegate its duties; develop programmatic standards; and review rules of other agencies. The Code delegated to the Cabinet the power to establish family resource networks (FRN's). FRN's are the vehicle

for achieving the imperative to establish a more efficient and effective service delivery system to children and families. The primary focus of the Cabinet since its creation has been to establish and fund the family resource networks.

The Cabinet is chaired by the Governor and includes the Secretaries of Health and Human Resources, Commerce, Labor and Environmental Resources (later filled by the Commissioner of Employment Programs), Administration, the State Superintendent of Schools, the Attorney General, advisory members from the House of Delegates and Senate and any other administrative heads of government the Governor may appoint. The Cabinet members serve as broad policy steering body while the staff is responsible for the day to day operation of the agency.

DEVELOPMENT OF FAMILY RESOURCE NETWORKS

Family resource networks or FRN's are county or multi-county coalitions that plan and coordinate local service improvements for children and families. FRN members represent government, business, community religious and civic representatives, local service providers and consumers.

FRN members assess community needs, current service resources or gaps in services, and coordinate these services to best benefit the community's consumers. To enable FRN's to do this, the Cabinet issues grants to FRN's based on proposals submitted to the Cabinet. These proposals reflect local action plans which illustrate the county or multi-county population needs, available services, services needed and how the FRN is planning to meet the community's needs with local resources in a more efficient and effective way. The Cabinet assesses the FRN's ability to accomplish its plan for service improvement as outlined in their grant proposal.

After approval of the proposal and a recommendation to fund has been made, the FRN enters into a contract with the Cabinet and receives grant funds. The Cabinet evaluates the FRN's progress towards implementing the community's plan. Much of the work of the Cabinet surrounds grant administration, technical assistance and evaluation. The Cabinet has issued grants in two phases, grants issued from 1992 through 1993 and grants issued from 1995 to present. There were no new grants given in 1994.

PHASE 1

In August 1991, the Governor's Cabinet distributed Letters of Solicitation to several hundred organizations and agencies statewide. These Letters of Solicitation announced the availability of family resource network grants. FRN's were to return Letters of Response which included information about the applicant, service area, community service needs, community population needs, opportunities to address need issues, broad community representation, needed technical assistance and support to aide the community in addressing issues, commitment by community leaders and organizations to collaborate and in-kind match. Thirty-five Family resource networks submitted grant proposals, ten were selected to submit a more detailed response.

FRN grant proposals were to address: problem identification through population and service needs; identification of target population and services; goals and objectives of planning; family resource coordination (single point of access); governing board composition and capacity to implement project; budget; evaluation and accountability; and technical assistance. The grant proposals were evaluated by Cabinet staff based on community involvement, consumer involvement in planning and implementation, understanding of community needs, trends, and issues, available community services and gaps in services, community organization commitment, and in-kind match. Of the ten proposals submitted, five FRN's were selected for funding. Mercer, Monroe, Ohio, and Ritchie County FRN's and the Regional FRN of Boone, Clay, Kanawha and Putnam were selected to receive funds. These grants were multi-year grants for the period of March 1992 to December 1993. However, in 1994 these FRN's did not receive additional monies. Additional money received by the Cabinet enabled them to fund the Cabell-Wayne FRN and the Fayette County FRN. These two FRN's followed the same processes as the five funded in 1991. Grants for both rounds of funding were multi-year. Table 1 lists the grant amounts for the original seven FRN's.

The Governor's Cabinet on Children and Families went through a period of reorganization in 1994 and did not issue new grants. In the fall of 1994, a new director of the Cabinet was hired and in 1995 new policies and procedures were adopted that reflected the WV Families First Program and the newly developed five year Children and Family Service Plan. These changes were in response to the 1993 passage of the federal Family Preservation and Support Services Act, the Office of Social Services under the Department of Health and Human Resources contracted with the Cabinet to administer and oversee the development and implementation of West Virginia's family preservation and support program called West Virginia Family's First. A five-year Child and Family Service Plan which would reform current services in the state for children and families was developed pursuant to the program. The changes in the service system were consistent with the Cabinet's mission. The Cabinet evaluates FRN grant proposals and makes final recommendations for funding to the West Virginia Family's First Council.

	Cabell- Wayne	Fayette	Mercer	Monroe	Ohio	Regional	Ritchie
CY1990	\$0	\$0	\$0	\$0	\$0	\$0	\$0
CY1991	\$0	\$0	\$0	\$0	\$0	\$0	\$0
CY1992	\$0	\$0	\$250,000	\$250,000	\$250,000	\$249,025	\$202,000
CY1993	\$110,000	\$110,000	\$0	\$0	\$0	\$0	\$0
CY1994	\$0	\$0	\$0	\$0	\$0	\$0	\$15,000

PHASE 2

In conjunction with the WV Families First program implementation a second phase of funding occurred in the Spring of 1995. The process followed in phase 2 incorporated the changes in policies and procedures regarding FRN development and recognition, new types of grants, annual reviews and standardization of reporting measurements. All 55 counties have FRN contact persons and as of April 1996, 41 counties had officially recognized FRN's.

Formation and Recognition

The initial stage of FRN development involves interested citizens convening to discuss the formation of a FRN. A Cabinet representative may provide information to the group and answer questions. Subsequently, the group establishes a mission and governing structure and submits this to the Cabinet for their formal recognition as a FRN

To be formally recognized the group must meet the following criteria: a single governing entity; agreement to engage in activities to improve service systems for children and families within the community; identify a single-county or multi-county area to be addressed by the organization; the FRN's governing board must include non-providers and a majority of non-providers must be consumers who receive publicly funded services; the FRN's governing board must include representatives from the public health department, regional behavioral health center, the local health and human resource agency and the county school district; and finally the group must agree to accept the Cabinet's mission and principles as part of its guiding philosophy. The original seven FRN's received formal recognition in the summer of 1995. It should be noted that some of the grants which are described below require formal recognition to receive funds (Table 2).

TABLE 2 CABINET GRANTS REQUIRING FORMAL RECOGNITION	
Type of Grant	Grant Requires Formal Recognition
Planning and Coordination - Mini	No
Planning and Coordination - Major	Yes
Child Abuse and Neglect Prevention - Mini	No
Starting Points	Yes
Respite Care	Yes
Plan Implementation	Yes
FAIR Implementation	Yes
Source: Governor's Cabinet on Children and Families	

Planning

Once an organization has been formally recognized by the Cabinet as a FRN they are eligible to receive the various grants available through the Cabinet. In addition, the FRN is now ready to proceed with the development of the major planning components. FRN planning begins with the development of a community needs assessment which determines the target population and local service resources and service gaps. General social, health and economic statistics are considered as baseline data. The information derived by the FRN through the community needs assessment is then used to develop a local action plan. Local action plans are intended to achieve an integrated service delivery system that is community based and family focused. These plans are the long term goals and objectives of the FRN. The Cabinet's staff provides technical assistance to FRN's in the preparation of these documents.

Implementation

Upon completing the needs assessment and local action plan, the FRN refines their vision into a short term, specific plan of implementation called a strategic plan or evaluation plan. The evaluation plan should be based directly on the community needs assessment and local action plan. The evaluation plan identifies what goals and objectives the FRN's intends to meet to achieve an integrated, holistic coordination of local service resources. The plan also states the activities to meet the objectives, method to measure progress toward goals, baseline data, instruments needed to generate new data and when and who will be responsible for generating the data. The evaluation plans were standardized by the Cabinet in the summer of 1995 and also serve as a method for the Cabinet to evaluate the FRN's progress towards goals and objectives.

Evaluation and Accountability

A contract between the FRN and the Cabinet requires deliverables such as a proposed budget, evaluation plan, quarterly cost and progress reports, community needs assessment, local action plan and consumer satisfaction surveys. Consumer satisfaction surveys and provider surveys were implemented this year and are due back to the Cabinet in June 1996. This will enable the Cabinet to assess a FRN's progress towards the coordination of local services and how the consumers and providers view that progress. In addition, the Cabinet's Technical Assistance Team performs annual reviews to ensure that the FRN is still in compliance with formal recognition requirements and is making progress towards the FRN's goals.

WV SERVICE SYSTEM IMPROVEMENT GRANTS

SOURCES OF GRANT FUNDS

There are four separate funds from which the Cabinet administers grants: The Family Preservation and Support Fund, The Family Resource Planning Fund, and the Children's Trust Fund and Private Gifts, Grants and Donations. Tables 3 and 4 Cabinet funding for FY93 through FY96 and the percentage of those funds that were used for grants, respectively. Table 5 describes the allocation of grants to the original FRN's.

Family Preservation and Support Fund

The Family Preservation and Support Fund or WVFIMS Fund 1013 is a federal grant used to implement the state's five-year Child and Family Service Plan. In 1993, Congress passed the Family Preservation and Support Services Act which would give funds to the states in order to coordinate and integrate services for children and families. West Virginia's Family Preservation and Support program, West Virginia Families First, is the response to the federal legislation. Through the West Virginia Families First Council, a five-year plan was developed to achieve the directive. The Governor's Cabinet contracted with the Department of Health and Human Resources to administer these funds to the FRN's through West Virginia Families First Council.

Family Resource Planning Fund

The Family Resource Planning Fund or WVFIMS Fund 1019 is a pool of federal and state funds to enable the Cabinet to fund the FRN's' administrative activities. This would include local planning, evaluation, and problem solving. The fund also allows the Cabinet to provide technical assistance, policy development and general administration. In FY 96, the Family Resource Planning Fund received money from Medicaid, AFDC, Community Services Block Grant, Child Care and Development Block Grant, Family Preservation and Support, State Cabinet Allocation, State Department of Education, State Department of Human Resources, Governor's Contingency Fund and Private Funds.

Children's Trust Fund

The Children's Trust Fund, WVFIMS Fund 1011, is a state fund with revenue from state income tax return check off program. Federally derived revenue appropriated to WVFIMS fund 8792 is also transferred to the Children's Trust Fund. The money from this fund is to be used for child abuse and neglect prevention according to *West Virginia Code §5-26-6*.

TABLE 3				
GOVERNOR'S CABINET ON CHILDREN AND FAMILIES FUNDING				
(FY93 through FY96)				
WVFIMS Fund	FY 93	FY94	FY95	FY96
General Fund 0104	\$430,000	\$395,600	\$350,000	\$325,000
Federal Funds 8792*	\$33,000	\$39,551	\$120,000	\$120,000
Other				
Children's Fund 1011	\$63,300	\$111,428	\$338,252	\$200,000
Transition Grant 1013	\$268,664	\$584,753	\$0	\$0
Family Preservation 1013	\$0	\$0	\$519,825	\$1,332,825
Private Gifts, Grants and Donations 1014	\$75,000	\$212,750	\$428,780	\$197,000
Family Resource Planning Fund 1019	\$0	\$0	\$64,395	\$925,000
TOTAL...	\$869,964	\$1,344,082	\$1,821,252	\$3,099,825
SOURCE: Expenditure Schedules, Unaudited.				
NOTES: * This represents only a portion of the total appropriation to the fund.				

TABLE 4
GOVERNOR'S CABINET ON CHILDREN AND FAMILIES
GRANTS AS A PERCENTAGE DISBURSEMENTS
(FY93 through FY96)

WVFIMS Fund	FY94	FY95	FY96
General Fund 0104	17%	65%	71%
Federal Funds 8792*	N/A	N/A	N/A
Other			
Children's Fund 1101	46%	39%	92%
Transition Grant 1013	87%	--	--
Family Preservation 1013	--	50%	64%
Private Gifts, Grants and Donations 1014	38%	48%	33%
Family Resource Planning Fund 1019	--	--	75%
SOURCE: Governor's Cabinet on Children and Families.			
NOTES: * This information was not immediately available.			

TYPES OF GRANTS

Planning and Coordination Mini Grants

Planning and Coordination Mini grants are used to support initial development of family resource networks. They are issued on a noncompetitive basis for funding the development of the FRN's community needs assessments, publicity, community organizing, board development, consumer involvement, initial plan development, and related activities. The FRN must have a board or project advisory committee but the group does not need to be a formally recognized FRN by the Cabinet. However, the board must meet composition requirements of an FRN. An FRN is eligible for maximum of 2 mini-grants but they can not be obtained in concurrent grant periods. An FRN can apply for to \$4,000 for a single county group and up to \$5,000 for a multi-county group. Finally, the applicant must provide a 10% match.

Planning and Coordination Major Grants

Planning and Coordination Major grants are used to support the ongoing operations of an FRN. The funds can be used for community needs assessment, development and update of a local plan, plan implementation, evaluation, board development and consumer involvement. The recipient FRN must be formally recognized through a recognition review process that assess whether the FRN has met the Cabinet's recognition criteria, including an initial local plan. The grants are renewable based on satisfactory achievement of grant objectives and subject to availability of funds. Grants can be obtained in an amount of up to \$50,000 for single county plus \$10,000 for each additional county. The FRN can not exceed five counties. Finally, the FRN must provide a 10% match.

Child Abuse and Neglect Prevention Mini-grants

Child Abuse and Neglect Prevention Mini Grants are used to support small, time-limited projects directed at primary or secondary prevention of child abuse and neglect. Examples of activities funded by these grants include: parenting education; awareness sessions for children under protection from abusive situations; and public awareness and education on child abuse prevention. The recipient must have a board or project advisory committee. While the group does not need to be a recognized FRN it must meet the composition requirements of an FRN. Additionally, if the applicant is an FRN, they must specify a direct service provider that will implement the project. Groups are eligible for a maximum of 3 mini-grants. The grants cannot be received concurrently. Applicants may request up to \$5,000 for a single county or up to \$6,000 for a multi-county project. Finally, the applicant provide a 25% match.

Starting Points Grants

Starting Points Grants were established to develop early childhood centers. A Center's core services must include family intake and assessment, family resource coordination (case management), health, nutrition and developmental screening, referral to needed services, parent education, pre-school education, home-based outreach, referral to other services and follow-up.

Under the grant the recipient must bring together existing services and programs through interagency collaboration. To be eligible the recipient must be a formally recognized FRN and meet recognition criteria through Cabinet recognition review. Also, the applicant must have submitted initial questionnaire on the Starting Points grant to the Cabinet. The FRN must specify a service provider that will administer the program if funded. The grants are renewable for an additional 12 month period based on satisfactory achievement of grant objectives and availability of funds. Grants are awarded in amounts up to \$50,000 subject to a 25% match.

Respite Care Grants

Respite Care Grants are used to provide respite care services for families. The successful applicant must be a formally recognized FRN and meet recognition criteria through Cabinet recognition review. Further, the FRN must specify a service provider. The grants are renewable for an additional 12 month period based on satisfactory achievement of grant objectives and subject to the availability of funds. Applicants can request up to \$25,000 and must provide a 25% match.

Plan Implementation Grants

Plan Implementation grants are used to support the implementation of direct service improvements identified in the FRN's local plan. The successful recipient must be a formally recognized FRN and meet recognition criteria established through a Cabinet recognition review. In addition, the applicant must have an initial local plan for improving services as well as specify service provider. The grants are renewable for an additional 12 month period based on satisfactory achievement of grant objectives and subject to the availability of funds. The applicant may request up to \$50,000 for a single-county area, plus up to \$10,000 for each additional county. Also, the applicant must provide a 25% match.

FAIR Implementation Grants

These grants are used to implement the Family Assessment, Intake, and Referral or FAIR. The project must be coordinated with other similar initiatives in the community such as educational improvement projects, community schools, employment programs, one-stop shops, multi disciplinary teams. The applicant must be formally a recognized FRN and meet recognition criteria through a Cabinet recognition review. The nonrenewable grants are available in amounts up to \$10,000 for start up costs. The funds are to be used for computer hardware, networking, and other necessary one-time costs. Additionally, the successful applicant must obtain a commitment from local service providers to engage in local planning and systemic change for implementation of FAIR. Those FRN's willing to participate must complete cover sheet and submit names of a task team participants including two FRN representatives, one consumer, one non-consumer and written commitment of local service providers. .

**TABLE 5
PHASE 2 FUNDING FOR ORIGINAL FRN'S
(Calendar Year of Grant Award)**

FISCAL YEAR/ TYPE OF GRANT	Cabell- Wayne	Fayette	Mercer	Monroe	Ohio	Regional	Ritchie
FY1995							
Community Planning Grant Awards (1/95 - 6/95)	\$5,000	\$3,000	\$3,000	\$4,000	\$3,000	\$4,000	\$4,000
FY1995 Total...	\$5,000	\$3,000	\$3,000	\$4,000	\$3,000	\$4,000	\$4,000
FY1996							
Direct Service Grants (7/96 - 9/96)	\$9,931	\$7,500	\$9,999	\$9,999	\$9,999	\$9,999	\$9,999
Planning & Coordination Major (7/95 - 6/96)	\$50,000	\$50,000	\$50,000	\$50,000	\$50,000	\$80,000	\$50,000
Service Delivery Major (1/96 - 6/96)	\$25,000	\$25,000	\$25,000	\$25,000	\$0	\$40,000	\$25,000
FY1996 Total...	\$ 84,931	\$ 82,500	\$ 84,999	\$ 84,999	\$ 59,999	\$ 129,999	\$ 84,999
FY1997¹							
Planning and Coordination Major (7/96 - 6/97)	\$60,000	\$50,000	\$50,000	\$50,000	\$50,000	\$80,000	\$50,000
Child Abuse and Neglect Mini (7/96 - 6/97)	\$6,000	\$0	\$0	\$0	\$0	\$0	\$6,000
Starting Points Grant (7/96 - 6/97)	\$50,000	\$50,000	\$50,000	\$0	\$0	\$50,000	\$0
Respite Care Grant (7/96 - 6/97)	\$0	\$0	\$25,000	\$0	\$0	\$0	\$25,000
Planned Implementation Grant (7/96 - 6/97)	\$50,000	\$50,000	\$50,000	\$50,000	\$0	\$80,000	\$50,000
FAIR Implementation Grant (up to grant award) (1/97 - 6/97)	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000
FY1997 Total...¹	\$ 131,000	\$ 160,000	\$ 185,000	\$ 110,000	\$ 60,000	\$ 220,000	\$141,000
SOURCE: Governor's Cabinet on Children and Families							
¹ All FY1997 Figures are projected.							

ISSUE 1: THE GOVERNOR'S CABINET ON CHILDREN AND FAMILIES DID NOT HAVE GOALS AND OUTCOME MEASURES FROM 1990 THROUGH 1994 AND WILL NOT HAVE DATA FOR ITS CURRENT MEASURES UNTIL 1997.

From its creation in 1990 to 1994 the Cabinet did not have adequate goals and performance measures that would enable interested parties to determine the impact or outcomes of its programs. In 1994, the Cabinet revised its policies and procedure for monitoring and coordinating FRN formation and grant allocation. The processes established by the policies and procedures provide the Cabinet with an opportunity to collect and evaluate performance information for family resource networks and their own operations. In 1995, the Cabinet established goals, performance measures and a data collection instrument to monitor the outcomes of its grant activities. However, the Performance measures that will be used to measure the impact of the Cabinet's activities will not be available until 1997. Also, planned survey instruments will not provide performance measures that will provide information on the impact of the various grants issued by the Cabinet. Without outcome measures that describe programmatic impact in place the Cabinet cannot be evaluated for performance.

Performance Expectations (goals), Performance Measures and Supporting Data

Performance expectations or goals are precise statements of measurable expectations which, if achieved, contribute to accomplishing the agency's mission. Good goals are clear, specific, measurable, practical, attainable within a specific time frame and related to the agency's mission. Performance expectations or goals can be put into four categories. First, *input economy* goals and measures are related to obtaining inputs at the most economical price. Second, *process efficiency* goals and measures are related to the ability of the agency to produce various level of output at a stated level of input. Third, *output effectiveness* goals and measures are related to the delivery of good and services to customers. Finally, *outcome effectiveness* goals are related to the impact of the program.

Throughout most of the period covered by the evaluation the Cabinet did not monitor the outcomes or impact of FRN's. The goals and measures identified in FRN evaluation materials did not differentiate between process outputs (how FRN's are to be developed) and performance (what societal impact the FRN's are supposed to cause). The reports were broken into seven general categories: organization and administration; dissemination; staff development; networking; priority issues; funding; and evaluation and research. While some of the FRN's may have been implementing consumer and provider surveys, which are evaluation activities, at this early stage of development, a large portion were focusing more on process. The FRN's concern with the formation process may be partially attributable to the newness of the FRN concept. On the other hand, the Cabinet did not have a policy defining an acceptable amount of time for completing the formation and planning stages.

In 1995, the Cabinet developed *Child and Family Service Plan* for West Virginia. The five year plan included goals that the Cabinet will pursue for the next five years. The goals identified in the plan include:

- Focus on the whole family still being flexible enough to attend to individual needs.
- Coordinate and integrate programs.
- Respect cultural, community and family strengths and meaningful relationships.
- Emphasize safety for all members.
- Overall inter-related system change such that the systems becomes increasingly prevention based across all agencies.

Three tiers of outcomes were specified for each of the goals including Consumer/Family, Community and System. In 1996, the Cabinet developed protocols for consumer satisfaction surveys and provider surveys that will be used as the outcome measures for their stated goals. The results of these surveys were due from the FRN's and were to be compiled the summer of 1996.

During the most recent grant period FRN's have begun to follow the model established by the Cabinet in the *Child and Family Service Plan*. An example of information provided by one of the FRN's follows.

GOAL 1:	Maintain a primary planning and coordination structure
OBJECTIVE A:	Maintain administrative and management practices to improve overall outcomes
MEASUREMENT:	Documentation of meetings
GOAL 2:	Bring resources together that serve communities.
OBJECTIVE:	Expand the concept of Family Resource Centers
MEASUREMENT:	Documentation of meetings with Superintendent
GOAL 3:	Enhance the service delivery system so that it is more consumer/family driven and consumer family centered.
OBJECTIVE:	Increase consumer satisfaction and family feed back on service delivery system
MEASUREMENT:	Consumer Survey

While goals 1 and 2 still have a process orientation goal three contemplates a program goal and measure that will help to provide the FRN's and the Cabinet with information to assess the program's impact. In addition, the information submitted by the FRN in its evaluation plan included date for task accomplishment as well as the person responsible for the activity.

The Cabinet's FY97 entry in the Governor's budget document describing *Operating Detail* includes a number of output measures that are a positive addition to the Cabinet's performance reporting. The indicators identified in the document included: FRN's recognized by the state; peer reviews and self-assessments performed; community, agency and consumer participants in FRN's as reflected in membership; public awareness as surveyed; consumer satisfaction with services; increase in resources available to support community based planning and coordination activities; decrease in time and effort cost of grant application process, increase in number, integration and coordination of services supported by grant; increase in availability and number of services for children and families; increase in capabilities and competencies of parents,

providers and support systems; consumer effectiveness increased; I&R calls responded to and child and family services community based. However, the same indices are not included in various reports issued by the Cabinet prior to the last budget cycle and are not found in any of the management documents subsequently obtained during the evaluation.

The measures created pursuant to the budget process as well as the consumer and provider surveys are measures that will help to establish the accountability of the Cabinet. However, they are not performance measurements that will provide objective, concrete indices of programmatic impact resulting from the various grants that the Cabinet issues. For example, the Cabinet issues grants for child abuse neglect and prevention. To determine the impact of these grants, the Cabinet should identify a commonly accepted outcome measure that will provide an indication of the impact of the grants on the incidence of child abuse.

The first source of outcome measures for any agency is its enabling legislation. When outcome measures are adopted by agencies and subsequently they can inform interested parties on the agency's impact on the societal problem that the Legislature initially wanted to address. By the same token, the enabling legislation should be clear enough to provide the agency with direction. However, the statute that created the Cabinet does not provide the Cabinet with sufficient direction. The statute lists 14 duties and responsibilities and suggests that one of the goals that the Cabinet should monitor is decreasing the number of teenage pregnancies by 50%. However, the statute is not directive.

Management Controls are in Place

As described in the preceding background section, the Cabinet has established a variety of policies and procedures that are used to monitor and control the establishment and funding of family resource networks. The procedures require reports that are being provided to the Cabinet. Their procedures provide for a review process for proposals and required grant deliverables. The review process enables the Cabinet to provide family resource networks with technical assistance to guide their development. In other words, beginning in 1995 there are affirmative answers to the evaluation questions examined during the preliminary review. However, the data necessary to evaluate Cabinet's activities, especially programmatic impact, will not be fully compiled until 1997.

Conclusion

The processes adopted by the Cabinet in 1995, the goals, outcome measures and the survey instrument implemented by the Cabinet are all important additions to the Cabinet's ability to monitor and control its grant process. However, they should continue to explore the development of various goals and measures in the four categories input economy, process efficiency, output effectiveness and outcome effectiveness defined above. Examples of performance measurements that would enhance the Cabinet's ability to determine its level of performance include reports on: the number of consumers each FRN serves; the length of time it will take before all counties in the state have a recognized and active FRN; the amount of funding that the Cabinet will provide FRN's in the formation; the level of programmatic impact on target populations defined in the needs assessment and consumer satisfaction relative to the available of services. Without this collection and use of this information the Cabinet cannot obtain the standard of accountability codified in the Sunset Law of establishing that there is a demonstrable need for the continuation of the agency.

For example, the Cabinet's mission is to support the development of children so that they reach their fullest potential. The mission statement implies that educational achievement is an important variable in the success of the Cabinet. However, the Cabinet does not have an outcome indicator to inform interested parties about its impact on this portion of their mission. In order to provide an example of an appropriate outcome measure for the Cabinet, PERD staff contacted the Brookings Institute in Washington D.C. Staff spoke with Dr. George Akerlof, Professor of Economics at the University of California at Berkeley and a Senior Fellow with the Institute. Dr. Akerlof was provided with a brief description of the Cabinet and its mission. Then Dr. Akerlof was asked to provide an appropriate outcome measure for the Cabinet. The outcome measure provided by the professor was the proportion of children that were out of grade step. The measure could be reported by school district or FRN since both are based at the county level. The measure is useful because it is indicative of educational advancement which attaches nicely to the Cabinet's mission. Also, with this measure comparisons could be made for a single FRN against previous performance, between FRN's and with other states. Not only would the incorporation of the measure be advantageous for determining the accountability or impact of the Cabinet but it would also provide diagnostic information for the Cabinet. With diagnostic information from such a measure the Cabinet could compare and contrast the successes of various FRN's and redesign policies or approaches as necessary. The process of establishing a baseline, collecting data, evaluating and redesigning programmatic standards is the essence of a performance measurement system and management excellence.

Recommendation:

The Governor's Cabinet should provide reports to the Joint Committee on Government Operations detailing the results of its customer and provide surveys, as well as, reports detailing the agency's impact on the outcome indicators described in its long range plan.

APPENDIX 1
Membership of the Governor's Cabinet on Children and Families
(West Virginia Code §5-26-2)
(2/25/93 through 5/6/96)

Governor

Gaston Caperton (Attended 10 of the 13 meetings held in this period)

Secretary, Health and Human Resources or Designee

Ruth Ann Panepinto, Secretary (Attended 4 of the 13 meetings held in this period)

Garrett Moran, Designee (Attended 2 of the 13 meetings held in this period)

Gretchen Lewis, Secretary (Attended 4 of the 13 meetings held in this period)

Sue Sergi, Designee (Attended 5 of the 13 meetings held in this period)

Secretary Lewis replaced Secretary Panepinto.

Secretary, Commerce, Labor and Environmental Resources or Designee

John Ranson, Secretary (Attended 2 of the 13 meetings held in this period)

Carla Dunn, Designee (Attended 1 of the 13 meetings held in this period)

Mary Hunt, Designee (Attended 1 of the 13 meetings held in this period)

This Department was eliminated.

Secretary, Department of Administration

Chuck Polan, Secretary (Attended 8 of the 13 meetings held in this period)

Diana Stout, Designee (Attended 1 of the 13 meetings held in this period)

Cheri Montgomery, Designee (Attended 1 of the 13 meetings held in this period)

State Superintendent of Schools

Henry Marockie, Superintendent (Attended 4 of the 13 meetings held in this period)

Keith Smith, Designee (Attended 3 of the 13 meetings held in this period)

Mary Jane Christian, Designee (Attended 1 of the 13 meetings held in this period)

Sharon Flack, Designee (Attended 4 of the 13 meetings held in this period)

Attorney General

Darrell McGraw, Attorney General (Attended 1 of the 13 meetings held in this period)

Fran Hughes, Designee (Attended 6 of the 13 meetings held in this period)

Dawn Warfield, Designee (Attended 3 of the 13 meetings held in this period)

Steve Van Camp, Designee (Attended 1 of the 13 meetings held in this period)

Debra McHenry, Designee (Attended 2 of the 13 meetings held in this period)

Member of the Senate (Advisory)

Sondra Lucht (Attended 1 of the 13 meetings held in this period)

Martha Walker (Attended 1 of the 13 meetings held in this period)

Senator Lucht left the Senate in 1994.

Senator Walker was appointed in 1995.

Member of the House of Delegate (Advisory)

Pat White (Attended 3 of the 13 meetings held in this period)

Richard Browning (Attended 2 of the 13 meetings held in this period)

Delegate White left the House of Delegates in 1994.

Delegate Browning was appointed in 1995.

Other Administrative Heads of Government

Secretary, Department of Education and the Arts

Barbara Harmony-Schamberger, Secretary (Attended 1 of the 13 meetings held in this period)

David Mohr, Designee (Attended 2 of the 13 meetings held in this period)

Frances Bennett, Designee (Attended 1 of the 13 meetings held in this period)

Tom Domaux, Designee (Attended 2 of the 13 meetings held in this period)

Robert Gassner, Designee (Attended 3 of the 13 meetings held in this period)

Vice Chancellor for Health Sciences

Donald Weston, Vice Chancellor (Attended 12 of the 13 meetings held in this period)

Commissioner, Bureau of Employment Programs

Andy Richardson, Commissioner (Attended 1 of the 13 meetings held in this period)

Quetta Muzzle, Designee (Attended 1 of the 13 meetings held in this period)

Sharon Carey, Designee (Attended 1 of the 13 meetings held in this period)

The Commission of the Bureau of Employment Programs succeeded the Secretary of Commerce, Labor and Environmental Resources due to the elimination of the Department.

Other

Lyle Sattes (Attended 12 of the 13 meetings held in this period)

Mr. Sattes served as head of the Cabinet's staff through the middle of 1994 and as a citizen member of the Cabinet since that time.

TABLE 6
GOVERNOR'S CABINET ON CHILDREN AND FAMILIES STAFF
 (as of June, 1996)

Position	Person	Type of Position
Director	Julie Pratt	Governor's Office exempt
Deputy Director	Barbara Merrill	DHHR, non-exempt
Development Coordinator	Steve Heasley	Individual Contract
Evaluation Coordinator	Vacant	Contract with WVU
Training and Technical Assistance Coordinator	Mike Toothman	Contract with WVU
Early Childhood Coordinator	Kim Veraas	Individual Contract
Head Start Coordinator	Bill Huebner	Individual Contract
Head Start Assistant	Lynn Divjak	Individual Contract
Technical Assistance Specialist (2)	Vacant	Contract with WVU
Fiscal Officer	Nancy Malecek	Governor's Office, exempt
Contract Administrator	Genny Ferri	Department of Administration, non- exempt
Secretary	Debbie Waller	Governor's Office, exempt
Secretary	Marilyn Bowe	DHHR, non-exempt
SOURCE: Governor's Office on Children and Families		

AGENCY RESPONSE



GOVERNOR'S CABINET ON CHILDREN AND FAMILIES

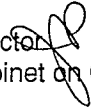
Building 1, Room 9 1900 Kanawha Boulevard East Charleston, WV 25305

Phone: (304) 558-0600 Fax: (304) 558-0596

GASTON CAPERTON,
GOVERNOR

MEMORANDUM

TO: Dr. Antonio E. Jones, Director
Performance Evaluation and Research Division

FROM: Julie Pratt, Director 
Governor's Cabinet on Children and Families

DATE: August 27, 1996

RE: Comments on Preliminary Performance Review (8/22/96)

Thank you for the opportunity to comment on the draft report on the Preliminary Performance Review of the Governor's Cabinet on Children and Families. There were a few factual corrections that I provided to David Ellis on August 26th, so I won't repeat them here.

I am largely in agreement with the report as it pertains to the Cabinet's work at the community level through local Family Resource Networks. There are two areas, however, that I feel the report does not sufficiently address:

1. The report focuses solely on the Cabinet's work at the local level and does not address our equally important responsibilities at the state and federal levels.
2. The report does not adequately describe our system for evaluating our performance and outcomes.

I will describe each of these points and will be available to answer further questions when the report is presented the Joint Committee on Government Operations.

1. **The report focuses solely on the Cabinet's work at the local level and does not address our equally important responsibilities at the state and federal levels.**

Helping West Virginia's children reach their fullest potential.

West Virginia was recently recognized as one of only eight states with comprehensive interconnected sets of initiatives focused on young children and families. (National Center for Children in Poverty, 1996). We were joined in this distinction by Colorado, Georgia, Minnesota, North Carolina, Ohio, Oregon and Vermont.

The report noted that "West Virginia supports state and community planning initiatives to develop and coordinate programs for children and families. The development of new programs is linked to systems reform, and a number of components focus specifically on young children." It identifies the Governor's Cabinet on Children and Families as the state's primary, cross-agency planning initiative.

The thrust of the Cabinet's efforts have been to *strengthen the partnerships among local, state and federal agencies that are concerned about children*. We work with communities to identify local needs, priorities and solutions. We work with state and federal government to develop and coordinate policies and funding to support service improvements at the local level. We believe that the multifaceted problems affecting children and families require the coordinated efforts of all levels of government and the private sector.

One example of this multi-level, interagency approach is our early childhood initiative. The Cabinet staffs the Governor's Early Childhood Implementation Commission, which is comprised of state and local representatives who fund, provide and/or use early childhood services. In conjunction with the Commission, the Cabinet:

- works with FRNs to assess, improve and expand local early childhood services, using a combination of state, federal and private foundation funding;
- works with higher education to improve professional development for people who work in early childhood programs;
- contracts with the WV KIDS COUNT Fund to coordinate a "Business Champions" group to garner private sector support for early childhood programs;
- worked with the Legislature during the 1996 session to secure funding for the Governor's Child Care Initiative, which will expand and improve child care at the local level;
- coordinates cross-agency child care initiatives (such as school-based child care centers funded by the Department of Health and Human Resources and administered by the Department of Education) through its Child Care Committee, in order to avoid duplication and improve effectiveness; and
- measures improvements in early childhood program capacity and outcomes through its WV Child and Family Database.

Another example of local/state/federal collaboration is the Family Resource Planning Fund. The legislation authorizes the Cabinet to develop Family Resource Networks to plan, coordinate and improve services at the local level. The Planning Fund was developed to provide a basic operating grant to each FRN to pay for a coordinator and office expenses. To accomplish this, Cabinet staff:

- negotiated with White House staff and federal agency representatives and received permission to use certain types of federal funds to support FRN activities (resulting in a 1:1 federal match beginning in FY 95);
- works with the Cabinet's state agency members to pool a small amount of state dollars that could be used to capture the federal match;
- obtains contributions to the fund from private foundations;
- develops contracts with FRNs, with input from the various funders, that specify the goals, objectives and activities required; and
- measures FRN performance and outcomes through annual reviews, consumer and provider surveys and the WV Child and Family Database.

We have found that the most effective (and perhaps only) way to change systems is to involve stakeholders at all levels of government and the private sector. FRNs are vital to improving services for children and families at the local level, but they need state and federal support to be truly successful.

2. The report does not adequately describe our system for evaluating our performance and outcomes.

The report does not provide a complete picture of the Cabinet's system of establishing its goals and measuring its outcomes, so I will further describe it here.

Phase 1 (1991-1994)

During the Cabinet's early years, our goals and objectives were focused primarily on process. A few states were just beginning to undertake comprehensive, cross-agency initiatives, so there were no established models to draw from. The seven FRNs that received grants during this period were provided with technical assistance and considerable latitude as they experimented with various approaches to planning and improving local services.

Phase 2 (late 1994-present)

Beginning in late 1994, the Cabinet took the lessons learned from the demonstration projects and began formulating more consistent goals, policies and desired

Children's Cabinet Response - Page 3

outcomes. Since mid-1995, we have had a system for planning and accountability that includes the following:

- **WV Child and Family Service Plan:** The Plan provides 5-year goals, objectives and outcome measures for improving the service system for children and families. The Plan is based on input from the Families First Council (the Cabinet's interagency "operations" group), FRNs, and families that use publicly funded services. It is reviewed and updated annually.
- **Annual Cabinet Work Plan:** The Cabinet, in conjunction with the WV Families First Council, develops annual goals and objectives that are consistent with the 5-year Child and Family Service Plan. The objectives serve as the measures by which the Cabinet and Families First Council evaluate their performance in a given year.
- **Annual contracts with FRNs:** The Cabinet enters into an annual contract with each FRN which specifies its goals, activities and deliverables. The FRN's performance is measured through quarterly progress reports and an annual site visit by a Cabinet representative to assess the following:
 - A. How well has the FRN assessed the needs of children and families within its county(ies)?
 - B. How well has the FRN identified and analyzed the services currently available for children and families within its area?
 - C. Has the FRN developed a local plan to improve services through better coordination of programs and funding?
 - D. What specific steps has the FRN taken to implement the goals and objectives identified in its local plan?
 - E. Has the FRN developed and implemented an evaluation plan?
 - F. Has the FRN submitted quarterly cost reports and progress reports to the Cabinet? (Due on April 15, July 15, October 15 and January 15)
 - G. How well has the FRN involved the community, including families who use services, in its activities?
 - H. Has the FRN assisted state agencies in developing coordinated services delivery systems, such as "multi-disciplinary teams" (MDTs), "one-stop shops," etc?
 - I. What other specific accomplishments has the FRN achieved? What has been the impact on children and families?

- **WV Child and Family Database:** The Cabinet, in conjunction with numerous state agencies, has established and maintains an extensive database of indicators of child/family well-being and service capacity and utilization. The initial database was created in early 1995 and the first annual update is near completion. The database will be used over time to measure the community-level outcomes identified in the WV Child and Family Service Plan, including:
 - > increase in # and rate of 2-year-olds immunized
 - > increase in # and rate of children ready for school (complete immunizations, corrected vision or hearing defects, children living in own families or stable foster care, preventable diseases and health problems treated)
 - > increase in # and rate of healthy births
 - > lower # and rate of low birth weights
 - > lower # and rate of mothers with late or no prenatal care
 - > lower # and rate of births to school-age mothers
 - > lower # and rate of adolescent substance abuse
 - > decrease in # and rate of adolescents involved in violence as victim or perpetrator
 - > decrease in # and rate of teens not in school or work
 - > increase in # and rate of children in families living above poverty line
 - > increase in # and rate of children succeeding in school based on advances in academic achievement measures, lower truancy and drop-out rates, lower truancy and drop-out rates, fewer special education placements, fewer students retained in grade, fewer school suspensions
 - > decrease in # and rate of adolescents adjudicated for delinquency
 - > decrease in # and rates of arrest or criminal charges for child welfare cases

- **Consumer and provider interviews:** To supplement the objective measures obtained through the database, consumer and provider interview protocols have been developed to obtain insights into why outcomes are changing and identify correlations with FRN activities. The interview protocols were field-tested in FY 96 and will be fully implemented in FY 97.

- **Budget and policy analysis:** State and federal budgets and policies are reviewed and analyzed for their consistency with the 5-year plan and goals.

In the Cabinet's early years, our attention was focused primarily on process measures as we developed the FRN model. When we entered Phase 2, we developed a long-term plan with clear goals and outcome measures to guide our work and are taking the necessary steps to implement our evaluation plan. We are committed to being accountable to our state's families, policy-makers and the public, and believe that our evaluation plan will help us achieve this. Any suggestions on further improvements will be most welcome by the Cabinet.

