ORR SOT Program Monitoring and Evaluation
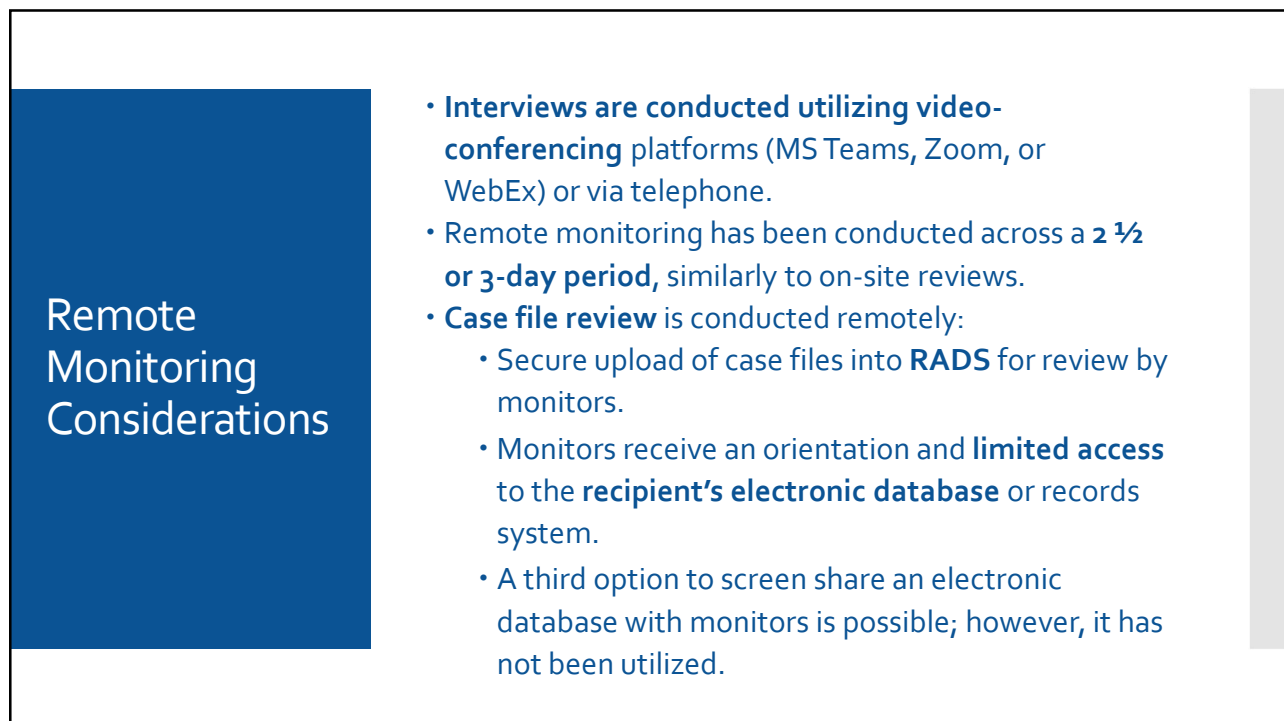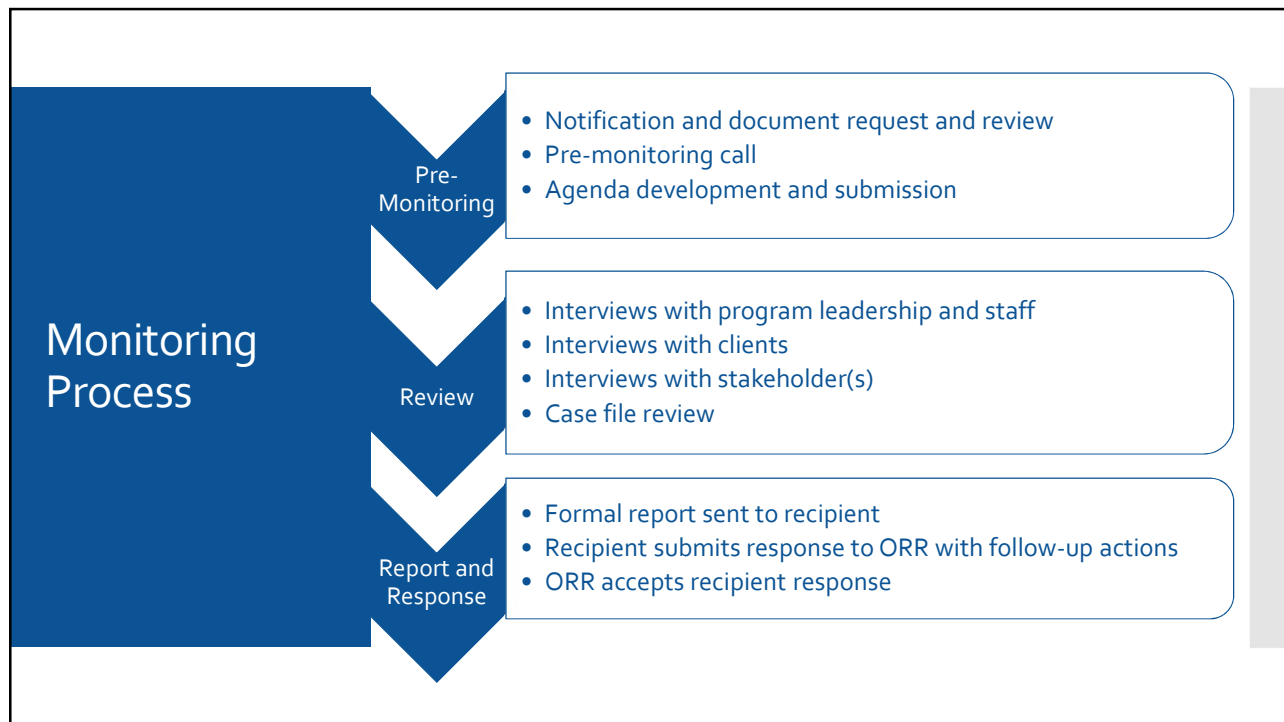
Town Hall Meeting

Tim Kelly, Sabrina Torres, and Diane Baird

August 2021

ORR's Monitoring Initiative

- Assess compliance with the funding opportunity announcement, program requirements, and federal regulation and policies.
- Evaluate program performance and outcomes.
- Assess technical assistance needs.
- Identify promising or notable practices.
- Collect programmatic data to enhance ORR's ability to make evidence-based funding and administrative decisions.

Monitoring Process

Pre-Monitoring
- Notification and document request and review
- Pre-monitoring call
- Agenda development and submission

Review
- Interviews with program leadership and staff
- Interviews with clients
- Interviews with stakeholder(s)
- Case file review

Report and Response
- Formal report sent to recipient
- Recipient submits response to ORR with follow-up actions
- ORR accepts recipient response

Remote Monitoring Considerations

- **Interviews are conducted utilizing video-conferencing** platforms (MS Teams, Zoom, or WebEx) or via telephone.
- Remote monitoring has been conducted across a **2 ½ or 3-day period,** similarly to on-site reviews.
- **Case file review** is conducted remotely:
  - Secure upload of case files into **RADS** for review by monitors.
  - Monitors receive an orientation and **limited access** to the **recipient's electronic database** or records system.
  - A third option to screen share an electronic database with monitors is possible; however, it has not been utilized.

Assessment Criteria

- ORR will provide holistic feedback across three program areas:

  - **Program Area 1:** Client Services and Case Management
  - **Program Area 2:** Program Administration and Organizational Capacity Development
  - **Program Area 3:** Community Outreach and Education

How our Monitoring Instruments are Evolving: Example #1

ADMINISTRATION FOR
CHILDREN & FAMILIES
Office of Refugee Resettlement | 330 C Street, S.W., Washington, DC 20201
www.acf.hhs.gov/programs/orr

No. of Compliance Issues:
No. of Recommendations:

Corrective Action Plan: Grantee must submit a corrective action plan within 30 days of the date of this monitoring report. The corrective plan should include the following elements:
- Clear and concise statements of actions (include person/s responsible and timelines);
- Thorough descriptions of actions that reference specific documents, procedures etc.;
- The date of completion of the corrective actions, evidence supporting the claim that a corrective action has been fully and effectively implemented and that the corrective action has been performed in the way it was described (if applicable); and
- For those corrective actions pending completion, the timeframe for when the corrective actions will be fully implemented.

Recommendation Response: Grantee should submit a response to the recommendation for program improvement within 30 days of this monitoring report. The response should include any action to address the identified issue, including the following elements:
- Clear and concise statements of actions (include person/s responsible and timelines);
- Thorough descriptions of actions that reference specific procedures, practices, documents, etc.;
- The date of completion of the recommended actions, evidence supporting the claim that a recommended action has been fully and effectively implemented and that the recommended action has been performed in the way it was described (if applicable); and
- For those recommended actions pending completion, the timeframe for when the recommended actions will be fully implemented.

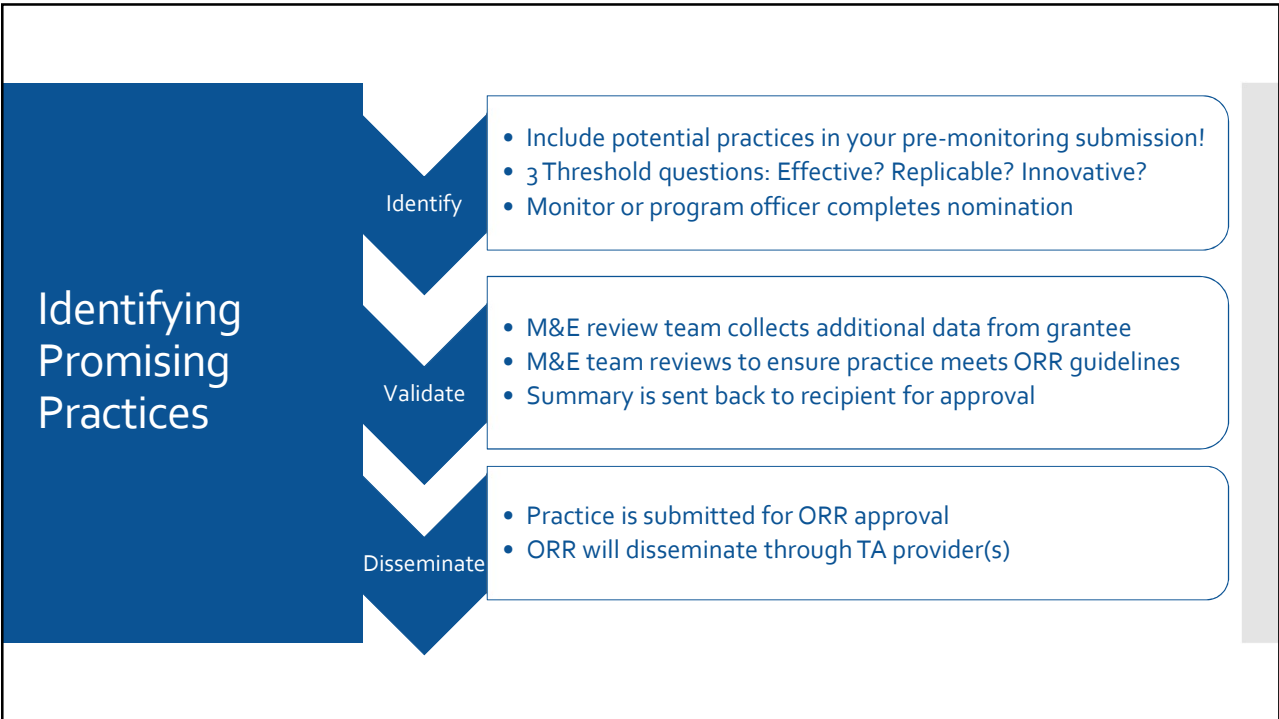**SECTION 2: CORRECTIVE ACTIONS FOR PROGRAM COMPLIANCE**

#	POLICY/PROCEDURE CITATION	SUPPORTING OBSERVATIONS	CORRECTIVE ACTION
1			
2			

SECTION 3: RECOMMENDATIONS FOR PROGRAM IMPROVEMENT

#	PROGRAM AREA	SUPPORTING OBSERVATIONS	RECOMMENDATION
1			

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How our Monitoring Instruments are Evolving: Example #2

Program Area 1: Client Services and Case Management		
Direct Services for Survivors of Torture FOA Section 1		
FY 2020 Client Data Proposed SOT clients: # Total SOT clients served: # • Asylum seekers: # • Legal Permanent Residents: # • Refugees: # • Others: # New enrollments: # Continuing clients: # Client cases closed: #	**FY 2021 to DATE Client Data** Proposed SOT clients: # Total SOT clients served: # • Asylum seekers: # • Legal Permanent Residents: # • Refugees: # • Others: # New enrollments: # Continuing clients: # Client cases closed: #	**Client Progress** Clients at stable or safe level of need in the following domains in FY 2020: • Legal (immigration): # • Housing: # • Physical health: # • Mental health: # • Support system in the U.S.: # • Accessing community resources: #
Assessment Criteria	**Monitors' Observations**	**Corrective Actions or Recommendations**
• All enrolled clients are eligible for SOT services • Eligibility determination forms verify status as a primary or secondary survivor, are completed upon enrollment, and eligibility documentation is maintained in case file • Clients receive a comprehensive assessment at intake		
• Treatment plans are strengths-based and developed collaboratively between SOT staff and clients • Treatment plans include specific, measurable, and achievable client-centered goals that appropriately address client needs		

Identifying Promising Practices

Identify
- Include potential practices in your pre-monitoring submission!
- 3 Threshold questions: Effective? Replicable? Innovative?
- Monitor or program officer completes nomination

Validate
- M&E review team collects additional data from grantee
- M&E team reviews to ensure practice meets ORR guidelines
- Summary is sent back to recipient for approval

Disseminate
- Practice is submitted for ORR approval
- ORR will disseminate through TA provider(s)

Promising Practice Example (from URM)

Lutheran Community Services Northwest	
What is the practice?	LCSNW implemented an annual recognition program to celebrate the educational successes of current and former URMs who earn diplomas, degrees, and certificates. This event facilitates 1) data collecting and reporting on URM graduation and educational outcomes; and 2) maintenance of URM contact information needed for follow-up.
How is it implemented?	• Cultivate community partnerships to reduce program costs. • Ensure the program focus remains on URMs. • Create a safe space for URMs to share their experiences and celebrate their accomplishments in their own way. • Include all families in the URM Program. • Have a system in place to capture data on graduation, program completion, or other educational successes.
Outputs/Outcomes	Improved data to better report graduation rates and educational outcomes. Continual high attendance compared to attendance at other appreciation and training events.

QUESTIONS?